

L/ENF/SS-322/IR-Offsite-AP/2024-2025/993

November 22, 2024

To,
Compliance Officer and Designated Directors
J.G.Shah Financial Consultants Pvt.Ltd (Clg. No.322)
R-418, P.J Tower 4th Floor
Dalal Street , Fort
Mumbai 400001

Dear Sir /Madam,

Sub: Final letter pertaining offsite alert generated regarding details of AP Inspections submitted to the Exchange for the quarter ended September 30, 2024

Following action has been taken for non-compliance observed in submission of AP reports for the quarter ended September 30, 2024:

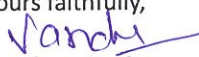
| Sr. No. | Violation | Notice / Regulatory Requirement | Action |
|---------|---|---|--|
| 1. | Member stated 'NA' in the column 'Maintenance of Visitor Register.' After receiving clarification from the Member, it was observed that the Member inadvertently written NA instead of YES. | BSE Notice no. 20211021-38 dated October 21, 2021 | You are advised to ensure to make correct submissions to the Exchange with regard to AP Inspection |

You are advised to take necessary steps to ensure that such non-compliances do not recur.

Please note that in case similar non-compliances are observed during a subsequent inspection by the Exchange, applicable action including an escalated penalty may be imposed pursuant to the various Notices issued by the Exchange from time to time.

You are required to place the letter before your Board for necessary action and the letter is to be taken into consideration by your Board for the performance appraisal of the concerned individual who is responsible for the lapse/ deficiency.

We thank you for your co-operation during the inspection.

Yours faithfully,

Vandana Vania
Asst. General Manager
(Enforcement)


Sandhya Sapaliga
Associate Manager
(Enforcement)