

L/ENF/AG-6281/IR-Offsite-AP/2024-2025/1066

November 25, 2024

To,
Compliance Officer and Designated Directors
ANUSH SHARES & SECURITIES PVT.LTD (Clg. No.6281)
New No.247 (Old No.119) R.K.Mutt Road
Chennai-600028

Dear Sir /Madam,

Sub: Final letter pertaining offsite alert generated regarding details of AP Inspections submitted to the Exchange for the quarter ended March 31, 2024.


Following action has been taken for non-compliance observed in submission of AP reports for the quarter ended March 31, 2024:

Sr. No.	Violation	Notice / Regulatory Requirement	Action
1.	The Member mentioned 'NA' in the column 'Maintenance of Client Visit Register'. Upon receiving clarification from the Member, it was noted that the AP has not maintained the Client Visit Register.	SEBI Adjudication order no. Order/SV/RM/2024-25/30382-30384 dated August 21,2024 ;Order/BM/JR/2024-25/30664 dated August 19,2024 20070906-10 dated September 06,2007	You are advised to ensure that the Authorized Person maintains Client Visit Register at all times.

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.

Yours faithfully,

Vandana Vania
Asst. General Manager
(Enforcement)


Janvi Bhujbal
Assistant Manager
(Enforcement)