

L/ENF/JB-62/IR-Offsite-AP/2024-2025/1007

November 22, 2024

To,
Compliance Officer and Designated Directors
B.R.Jalan Securities Pvt.Ltd. (Clg. No.62)
903, 9th Floor, Marathon Icon,
Marathon Nextgen Campus, Veer Santaji Lane,
Off G. K. Marg, Lower Parel,
Mumbai-400013

Dear Sir /Madam,

Sub: Final letter pertaining offsite alert generated regarding details of AP Inspections submitted to the Exchange for the quarter ended December 31, 2023 and March 31, 2024.

Following action has been taken for non-compliance observed in submission of AP reports for the quarter ended December 31, 2023 and March 31, 2024:

Sr. No.	Violation	Notice / Regulatory Requirement	Action
1.	Member mentioned 'NO' in the column 'Availability of Voice recording. After receiving clarification from the Member, it was noted that call recording is maintained at head office.	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
2	Member mentioned 'YES' in 'BASIC OF INSPECTION (Ad-Hoc /Market Intelligence). It was noted that the Member inadvertently mentioned YES in the respective column.		

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

Vandana Vania
Asst. General Manager
(Enforcement)

Janvi B

Janvi Bhujbal
Assistant Manager
(Enforcement)

JB