



BRANCH/AUTHORIZED PERSONS(AP), INSPECTIONS

Branches/ APs are inspected periodically by HO and Internal Auditor of the Company. Branches/APs will be monitored by phone and personal visit by HO officials at a regular interval.

Branches/ APs are monitored randomly to ensure below points:

- No Cash dealings with clients are carried out.
- No Contract note / confirmation has been issued to clients other than the ones sent by HO.
- No Commission, brokerage or fees has been accepted from any client by associate.
- No funds have been transferred from clients account to the account of associate or from account of one client to the account of another client.
- No personal trades of the associate have been executed in clients account under any circumstances.
- Whether records/ registers are maintained.

If any irregularities are found, the Branches/ APs are informed about the same during inspection and proper guidance are provided to them to eliminate the irregularities. The Branches/ APs may contact the Customer Care Relation team or the Compliance Department in case of any enquiry.

For Anjaney Stock Broking Ltd.

A handwritten signature in black ink, appearing to read "Rajendra", is written over a faint, circular, embossed or stamped seal.

Compliance Officer