

**NBRANCH MONTHLY COMPLIANCE REPORT**

**Branch located at IFIN Lower Parel, Mumbai  
Compliance Report for the Month of 2026 FEB**

**Branch Code: MU01**

<b>Sl. No</b>	<b>Particulars</b>	<b>Yes or No</b>	<b>Remarks</b>
1	Prominent display of Compliance Board	YES	
2	Prominent display of SEBI Registration Certificates	YES	
3	Whether client complaint register is maintained at the branch.	YES	
4	Whether Voice Loggers are installed and its working properly	YES	
5	Landline numbers mapped under voice loggers, kindly specify	YES	
6	Whether day end trade confirmations are given to clients through recorded lines only	YES	
7	Whether Terminals are operated by Certified users only	NISM to check at HO	
8	Whether in person verification of clients was done by the branch personnel	YES	
9	Whether copy of cheque received from the clients are retained at the branch	NA	Only Instt Trades
10	Whether register is maintained for cheque inward.	NA	Only Instt
11	Whether client visit register is maintained	YES	
12	Whether branch employees are aware of PMLA policies and procedures	YES	

**Details of logins available at the location:**

<b>S N</b>	<b>NEAT/ CTCL</b>	<b>Segment</b>	<b>Login Id</b>	<b>12 Digit Id</b>	<b>Operated by</b>	<b>NCFM No.</b>	<b>NCFM Cert. Exp. Date</b>
	NEATPlus	CM	33728		Mr Krishnakumar V	2100265611	25/10/2027
	NEATPlus	CM	26700		Ms Prajvita J Kotian	2510362163	08/09/2028

I hereby declare that the above information provided by me is true and correct.

**Signature of Branch Manager:**

**Branch Manager Name:**

**Date:**



**R C MITTAL  
March 5, 2026**