

THAMARAPALLIL ABRAHAM JOSEPH
SEBI RIA-INA000018115 (INDIVIDUAL)

Permanent Address:

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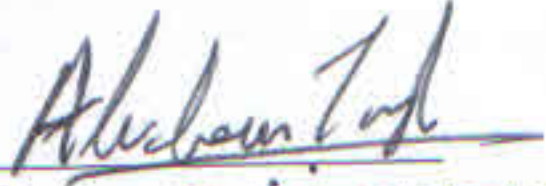
Communication Address:

Mayfair Building
Chackola Colony Road
Thevara
Kochi-682015
Mobile No-+91 9847050776

Action Taken Report (ATR)

Name of Investment Adviser:	THAMARAPALLIL ABRAHAM JOSEPH
SEBI Registration No.:	INA000018115
BSE Enlistment No.:	2010
Entity Type:	IA
Financial Year:	2024-2025

Sr. No	Regulation	Particulars	Compliance Status	Reason for non-compliance	Auditor Comments Accepted (Yes/No)	Action taken on adverse findings
1	SEBI Master circular Ref. No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2024/50 dated May 21, 2024 - VI(18)	Know Your Client (KYC) Norms for the Securities market Whether IA had followed the master circular no. SEBI/HO/MIRSD/SECFATF/P/CIR/2023/169 dated October 12, 2023 on 'Know Your Client (KYC) norms for securities market'.	Not-Complied	Reason for non compliance being that the KYC documents were collected for all clients but the KYC and CKYC registration were not completed due to administrative delay the same in process and client has assured completion soon	Yes	CAMS KRA and CKYC registration was under process at the time of Audit, subsequently both registrations have been confirmed



Signature of IA / Partner / Director:

Date and Place: 21-10-25
Kochi

THAMARAPALLIL ABRAHAM JOSEPH
RIA - INA000018115