

MONTHLY STATUS REPORT FOR MONETARY PENALTY – APRIL 2025

Details of Penalty Levied on DPs:

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED	1,000	PAN Modification
11300	PRABHUDAS LILLADHER PVT LTD	200	Delay in scanning and uploading the DIS images
11300	PRABHUDAS LILLADHER PVT LTD	500	PAN Modification
11700	DALAL & BROACHA STOCK BROKING PVT. LTD	300	Delay in scanning and uploading the DIS images
12500	CHURIWALA SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
12800	DINDAYAL BIYANI STOCK BROKERS LIMITED	200	Delay in scanning and uploading the DIS images
13500	CIL SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
13700	MEHTA EQUITIES LIMITED	600	Delay in scanning and uploading the DIS images
14301	ICICI BANK LIMITED	3,000	Delay in scanning and uploading the DIS images
17000	INDIRA SECURITIES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
17000	INDIRA SECURITIES PRIVATE LIMITED	15,000	Delay in submitting Inspection compliance
17500	KANTILAL CHHAGANLAL SECURITIES PRIVATE LIMITED	500	PAN Modification
18700	BOB CAPITAL MARKETS LIMITED	500	PAN Modification
19100	SMC GLOBAL SECURITIES LIMITED	1,800	Delay in scanning and uploading the DIS images
19101	SMC GLOBAL SECURITIES LIMITED - NEW DELHI	4,200	Delay in scanning and uploading the DIS images
19103	SMC GLOBAL SECURITIES LIMITED - KOLKATA	500	PAN Modification
20800	BOI SHAREHOLDING LIMITED	500	PAN Modification
22800	VEDIKA SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
22800	VEDIKA SECURITIES PRIVATE LIMITED	1,000	Inspection Observation
23000	EMKAY GLOBAL FINANCIAL SERVICES LIMITED	500	PAN Modification

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
24400	MONEYCARE SECURITIES AND FINANCIAL SERVICES LIMITED	1,200	Delay in scanning and uploading the DIS images
24400	MONEYCARE SECURITIES AND FINANCIAL SERVICES LIMITED	15,000	Delay in submitting IAR Compliance
24500	R B K SHARE BROKING LIMITED	200	Delay in scanning and uploading the DIS images
25900	UNION BANK OF INDIA	2,700	Delay in scanning and uploading the DIS images
25900	UNION BANK OF INDIA	1,500	PAN Modification
28100	PRAGYA SECURITIES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
29200	JSEL SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
31400	PRABHAT FINANCIAL SERVICES LIMITED	500	PAN Modification
31600	KALPATARU MULTIPLIER LIMITED	200	Delay in scanning and uploading the DIS images
31600	KALPATARU MULTIPLIER LIMITED	500	PAN Modification
32400	FINANCE MONITOR (INDIA) PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
33200	ANGEL ONE LIMITED	1,500	PAN Modification
35100	MARWADI SHARES AND FINANCE LIMITED	400	Delay in scanning and uploading the DIS images
35300	RAJCHANDRA CAPITAL SERVICES PRIVATE LIMITED	1,400	Delay in scanning and uploading the DIS images
35300	RAJCHANDRA CAPITAL SERVICES PRIVATE LIMITED	500	PAN Modification
35602	KAMAL KUMAR JALAN SECURTIES PVT LTD-SHAHDOL	2,700	Delay in scanning and uploading the DIS images
35800	THE AKOLA URBAN COOPERATIVE BANK LIMITED, AKOLA	500	PAN Modification
36000	SHAREKHAN LIMITED	2,000	Delay in submitting IAR Compliance
36200	INANI SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
39800	FAIR INTERMEDIATE INVESTMENT PRIVATE LIMITED	1,500	Delay in scanning and uploading the DIS images
41400	RELIANCE SECURITIES LIMITED	500	PAN Modification
41500	JAINAM BROKING LIMITED	8,000	Inspection Observation

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
41600	FORTUNE WEALTH MANAGEMENT CO. INDIA (P) LIMITED	200	Delay in scanning and uploading the DIS images
41900	ALMONDZ GLOBAL SECURITIES LIMITED	1,000	Inspection Observation
45200	L F C SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
45600	NARIMAN FINVEST PRIVATE LIMITED	800	Delay in scanning and uploading the DIS images
46700	ADROIT FINANCIAL SERVICES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
47700	NORTHEAST BROKING SERVICES LIMITED	600	Delay in scanning and uploading the DIS images
48600	AFN LANGRANA SHARE AND STOCK BROKERS PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
48600	AFN LANGRANA SHARE AND STOCK BROKERS PRIVATE LIMITED	2,000	Delay in submitting IAR Compliance
50900	INDO THAI SECURITIES LIMITED	400	Delay in scanning and uploading the DIS images
51300	PUNJAB NATIONAL BANK	200	Delay in scanning and uploading the DIS images
52200	BHH SECURITIES PRIVATE LIMITED	50,000	Delay in submitting IAR Compliance
53700	COMFORT SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
54200	SAMCO SECURITIES LIMITED	400	Delay in scanning and uploading the DIS images
55800	EUREKA STOCK & SHARE BROKING SERVICES LIMITED	1,000	Inspection Observation
55800	EUREKA STOCK & SHARE BROKING SERVICES LIMITED	500	Inspection Observation
60800	NCJ SHARE & STOCK BROKERS LIMITED	2,500	Inspection Observation
62700	AIRAN FINSTOCKS PRIVATE LIMITED	1,000	Inspection Observation
64400	ALLWIN SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
64800	ABANS SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
65600	PSB SECURITIES LIMITED	600	Delay in scanning and uploading the DIS images
65900	TRADESWIFT BROKING PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
66400	INTELLECT STOCK BROKING LIMITED	600	Delay in scanning and uploading the DIS images
67800	JRK STOCK BROKING PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
68100	FRR SHARES AND SECURITIES LIMITED	400	Delay in scanning and uploading the DIS images
69000	MOTISONS SHARES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
69000	MOTISONS SHARES PRIVATE LIMITED	5,000	Delay in submitting IAR Compliance
69200	HPMG SHARES AND SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
69700	RAGHUNANDAN CAPITAL PRIVATE LIMITED	900	Delay in scanning and uploading the DIS images
70200	TRADEBULLS SECURITIES PRIVATE LIMITED	500	PAN Modification
70300	GLOBALWORTH SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
70900	AFFLUENCE SHARES AND STOCKS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
71300	A C AGARWAL SHARE BROKERS PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
71300	A C AGARWAL SHARE BROKERS PRIVATE LIMITED	25,000	Delay in submitting Inspection compliance
71600	PRITHVI FINMART PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
71700	ARHAM SHARE PRIVATE LIMITED	800	Delay in scanning and uploading the DIS images
72000	SHREE BAHUBALI STOCK BROKING LIMITED	15,000	Delay in submitting Inspection compliance
72100	EVERMORE STOCK BROKERS PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
72800	CHUKNOO SECURITIES LIMITED	400	Delay in scanning and uploading the DIS images
73400	DIVYA CAPITAL ONE PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
75900	ACHINTYA SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
76400	WEALTH DISCOVERY SECURITIES PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
79300	MUTHOOT FINCORP LIMITED	200	Delay in scanning and uploading the DIS images
79700	F R RATNAGAR AND COMPANY PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
81000	KHANDWALA SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
81300	MNM STOCK BROKING PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
81500	TIPSONS STOCK BROKERS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
83000	JBS SECURITIES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
85500	WEALTHSTREET FINANCIAL SERVICES PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
89400	FYERS SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
91000	INCRED CAPITAL WEALTH PORTFOLIO MANAGERS PRIVATE LIMITED	500	PAN Modification
94100	GROWTH SECURITIES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
96400	NU INVESTORS TECHNOLOGIES PVT LTD	400	Delay in scanning and uploading the DIS images
97700	EQUIRUS WEALTH PRIVATE LIMITED	500	PAN Modification
98100	SB PATIL SECURITIES PRIVATE LIMITED	5,000	Inspection Observation
98900	OUR BROKING SERVICES LLP	500	PAN Modification
100200	AUM SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
100300	NIKUNJ STOCK BROKERS LIMITED	1,000	Delay in scanning and uploading the DIS images

Details of Penalty Levied on RTAs/ Issuers directly connected to depository:

RTAs/ Issuers	RTAs/ Issuers Name	Imp Monetary	Audit Type/ Reasons
117	FREEDOM REGISTRY LIMITED	1,000	Delay in submitting Investor Grievance Report
296	SANWARIA CONSUMER LIMITED	6,000	RTA Internal Audit Report Non-Submission of Report and RTA Internal Audit Report Compliance not submitted
384	INDO MONEY SECURITIES PRIVATE LIMITED	5,000	RTA Internal Audit Report Compliance not submitted