

MONTHLY STATUS REPORT FOR MONETARY PENALTY - APRIL 2026

Details of Penalty Levied on DPs:

DP ID	DP NAME	Penalty Imposed (Rs.)	Audit Type/ Reasons
10600	ANAND RATHI SHARE AND STOCK BROKERS LIMITED	20,000	Non-closure of open vulnerabilities identified in the annual VAPT report
10700	KRCHOKSEY SHARES AND SECURITIES PRIVATE LIMITED	1,000	PAN Modification
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED-KOLHAPUR	55,000	Non-closure of open vulnerabilities identified in the annual VAPT report
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED-KOLHAPUR	500	PAN Modification
12101	SURESH RATHI SECURITIES PRIVATE LIMITED - JODHPUR	400	Delay in scanning and uploading the DIS images
13500	CIL SECURITIES LIMITED	1,400	Delay in scanning and uploading the DIS images
14200	JANATA SAHAKARI BANK LTD.,	600	Delay in scanning and uploading the DIS images
14301	ICICI BANK LIMITED	1,800	Delay in scanning and uploading the DIS images
16700	VSE STOCK SERVICES LIMITED	500	PAN Modification
17500	KANTILAL CHHAGANLAL SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
17500	KANTILAL CHHAGANLAL SECURITIES PRIVATE LIMITED	1,000	DP Operational non-compliance
18700	BOB CAPITAL MARKETS LIMITED	500	PAN Modification
19103	SMC GLOBAL SECURITIES LIMITED - KOLKATA	200	Delay in scanning and uploading the DIS images
20800	BOI SERVICES LIMITED	1,000	PAN Modification
23900	COCHIN STOCK BROKERS LIMITED	200	Delay in scanning and uploading the DIS images
25900	UNION BANK OF INDIA	1,400	Delay in scanning and uploading the DIS images
25900	UNION BANK OF INDIA	500	PAN Modification
27500	AXIS BANK LIMITED	200	Delay in scanning and uploading the DIS images
29600	PASHUPATI CAPITAL SERVICES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
31600	KALPATARU MULTIPLIER LIMITED	500	PAN Modification
33200	ANGEL ONE LIMITED	15,000	Delay in submitting Special Inspection compliance
33200	ANGEL ONE LIMITED	500	Thematic Inspection Observation

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33201	ANGEL ONE LIMITED	1,000	DP Operational non-compliance
33201	ANGEL ONE LIMITED	1,000	DP Operational non-compliance
33202	ANGEL ONE LIMITED	1,000	DP Operational non-compliance
33900	PROGRESSIVE SHARE BROKERS PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
34200	JAMNADAS VIRJI SHARES AND STOCK BROKERS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
35000	MONARCH NETWORTH CAPITAL LIMITED	200	Delay in scanning and uploading the DIS images
41400	INDUSIND SECURITIES LIMITED	2,000	DP Operational non-compliance
41400	INDUSIND SECURITIES LIMITED	500	DP Operational non-compliance
41400	INDUSIND SECURITIES LIMITED	500	PAN Modification
41500	JAINAM BROKING LIMITED	200	Delay in scanning and uploading the DIS images
41500	JAINAM BROKING LIMITED	15,000	Delay in submitting Special Inspection compliance
41500	JAINAM BROKING LIMITED	35,000	Non-closure of open vulnerabilities identified in the annual VAPT report
42100	KHAJANCHI AND GANDHI STOCKBROKING PRIVATE LIMITED	500	PAN Modification
47200	SBICAP SECURITIES LIMITED	500	PAN Modification
48600	AFN LANGRANA SHARE AND STOCK BROKERS PRIVATE LIMITED	5,000	Delay in submitting Internal Audit compliance
48600	AFN LANGRANA SHARE AND STOCK BROKERS PRIVATE LIMITED	11,000	Inspection Observation
53600	MUNOTH CAPITAL MARKET LIMITED	300	Delay in scanning and uploading the DIS images
54200	SAMCO SECURITIES LIMITED	1,500	Thematic Inspection Observation
54500	HSB SECURITIES & EQUITIES LIMITED	600	Delay in scanning and uploading the DIS images
54500	HSB SECURITIES & EQUITIES LIMITED	500	PAN Modification
55800	EUREKA STOCK & SHARE BROKING SERVICES LIMITED	200	Delay in scanning and uploading the DIS images
59100	LAKSHMISHREE INVESTMENT AND SECURITIES LIMITED	1,000	PAN Modification
59300	FORT SHARE BROKING PVT LTD	200	Delay in scanning and uploading the DIS images
59400	FAST CAPITAL MARKETS LTD.	600	Delay in scanning and uploading the DIS images
59500	NIRMAN SHARE BROKERS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
61200	SPFL SECURITIES LIMITED	1,000	Inspection Observation

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64200	NJ INDIAINVEST PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
65600	PSB SECURITIES LIMITED	900	Delay in scanning and uploading the DIS images
65900	TRADESWIFT BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
66800	ELITE WEALTH LIMITED	400	Delay in scanning and uploading the DIS images
66900	CHOICE EQUITY BROKING PRIVATE LIMITED	500	Thematic Inspection Observation
67800	JRK STOCK BROKING PRIVATE LIMITED	2,200	Inspection Observation
68000	MANU STOCK BROKING PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
68100	FRR SHARES AND SECURITIES LIMITED	5,000	Delay in submitting Inspection compliance
68500	NINE STAR BROKING PRIVATE LIMITED	1,000	Inspection Observation
69000	MOTISONS SHARES PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
69400	BHAIJEE BROKING & INVESTMENTS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
70400	MULTIGAIN SECURITIES SERVICES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
70400	MULTIGAIN SECURITIES SERVICES PRIVATE LIMITED	50,000	Delay in submitting Inspection compliance
70400	MULTIGAIN SECURITIES SERVICES PRIVATE LIMITED	5,000	Delay in submitting Internal Audit compliance
71200	KNA SHARE BROKERS PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
72000	SHREE BAHUBALI STOCK BROKING LIMITED	5,000	Delay in submitting Inspection compliance
77800	BADJATE STOCK AND SHARES PRIVATE LIMITED	1,500	Inspection Observation
79700	F R RATNAGAR AND COMPANY PRIVATE LIMITED	1,000	Delay in submitting Internal Audit compliance
80200	ARHAM WEALTH MANAGEMENT PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
81601	ZERODHA BROKING LIMITED	200	Delay in scanning and uploading the DIS images
82500	5PAISA CAPITAL LIMITED	2,000	Non-Submission of CAR Risk Prone Compliance
82500	5PAISA CAPITAL LIMITED	15,000	Delay in submitting Special Inspection compliance
83400	RAISE SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
87500	KEDIA CAPITAL SERVICES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images

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88700	GROWW INVEST TECH PRIVATE LIMITED	50,000	Delay in submitting Special Inspection compliance
90400	PRL STOCK & SHARE BROKERS PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
94100	ALGOQUANT FINTECH LIMITED	200	Delay in scanning and uploading the DIS images
95400	SIGNATUREGLOBAL COMTRADE PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
96200	FOCUS STOCK BROKERS LIMITED	1,000	Inspection Observation
102100	GIRIRAJ STOCK BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images

Details of Penalty Levied on RTAs directly connected to Depository:

RTA	RTA Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
384	INDO MONEY SECURITIES PRIVATE LIMITED	1,000	Non-Submission of Investor Grievance Report
117	FREEDOM REGISTRY LIMITED	3,000	Delay in submitting RTA Internal Audit compliance
228	R&D INFOTECH PVT LTD	2,000	Delay in submitting RTA Internal Audit compliance