

MONTHLY STATUS REPORT FOR MONETARY PENALTY – August 2026
Details of Penalty Levied on DPs:

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
10600	ANAND RATHI SHARE AND STOCKBROKERS LIMITED	1,000	DP Operational non-compliance
10600	ANAND RATHI SHARE AND STOCKBROKERS LIMITED	10,000	Delay in submitting Thematic Inspection compliance
10700	KRCHOKSEY SHARES AND SECURITIES PRIVATE LIMITED	500	PAN Modification
10800	GANDHI SECURITIES AND INVESTMENT PVT LTD	200	Delay in scanning and uploading the DIS images
11700	DALAL AND BROACHA STOCK BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
11700	DALAL AND BROACHA STOCK BROKING PRIVATE LIMITED	500	PAN Modification
12100	SURESH RATHI SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
12101	SURESH RATHI SECURITIES PRIVATE LIMITED - JODHPUR	600	Delay in scanning and uploading the DIS images
12101	SURESH RATHI SECURITIES PRIVATE LIMITED - JODHPUR	500	PAN Modification
12107	SURESH RATHI SECURITIES PVT LIMITED - KOTA	1,000	Delay in scanning and uploading the DIS images
12200	CENTRUM FINVERSE LIMITED	4,500	Delay in scanning and uploading the DIS images
13200	ASIT C MEHTA INVESTMENT INTERRMEDIATES LTD	2,000	DP Operational non-compliance
13200	ASIT C MEHTA INVESTMENT INTERRMEDIATES LTD	500	PAN Modification
13700	MEHTA EQUITIES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
13800	BANK OF MAHARASHTRA	900	Delay in scanning and uploading the DIS images
13800	BANK OF MAHARASHTRA	500	PAN Modification
14301	ICICI BANK LIMITED	800	Delay in scanning and uploading the DIS images
14900	PUNJAB NATIONAL BANK	1,400	Delay in scanning and uploading the DIS images
15200	ACML CAPITAL MARKETS LIMITED	200	Delay in scanning and uploading the DIS images
16404	MANSUKH SECURITIES AND FINANCE LIMITED	200	Delay in scanning and uploading the DIS images
17000	INDIRA SECURITIES PRIVATE LIMITED (TRF.)	900	Delay in scanning and uploading the DIS images
17400	DAILY GONG FINANCIAL SERVICES LIMITED	200	Delay in scanning and uploading the DIS images
19101	SMC GLOBAL SECURITIES LIMITED - NEW DELHI	1,000	PAN Modification
19103	SMC GLOBAL SECURITIES LIMITED - KOLKATA	400	Delay in scanning and uploading the DIS images
20600	GLOBE CAPITAL MARKET LIMITED	1,400	Delay in scanning and uploading the DIS images

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
20800	BOI SERVICES LIMITED	1,000	PAN Modification
22500	RASHI EQUISEARCH PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
22800	VEDIKA SECURITIES PVT LTD	1,400	Delay in scanning and uploading the DIS images
23900	COCHIN STOCK BROKERS LIMITED	3,300	Delay in scanning and uploading the DIS images
24400	MONEY CARE SECURITIES AND FINANCIAL SERVICES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
25000	M. PRASAD AND CO LIMITED	300	Delay in scanning and uploading the DIS images
25900	UNION BANK OF INDIA	300	Delay in scanning and uploading the DIS images
25900	UNION BANK OF INDIA	2,500	PAN Modification
27000	SMC GLOBAL SECURITIES LIMITED - MUMBAI MAIN	800	Delay in scanning and uploading the DIS images
28100	PRAGYA SECURITIES P LTD	200	Delay in scanning and uploading the DIS images
28700	BP EQUITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
28900	SUSHIL FINANCIAL SERVICES PRIVATE LIMITED	1,600	Delay in scanning and uploading the DIS images
29200	JSEL SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
29500	INDUSIND BANK LTD.	200	Delay in scanning and uploading the DIS images
29900	INDIABULLS SECURITIES LIMITED	1,000	DP Operational non-compliance
30000	LKP SECURITIES LIMITED	800	Delay in scanning and uploading the DIS images
31600	KALPATARU MULTIPLIER LIMITED	600	Delay in scanning and uploading the DIS images
32600	MANALI TRADING AND HOLDINGS PVT LTD	200	Delay in scanning and uploading the DIS images
33200	ANGEL ONE LIMITED	500	PAN Modification
33400	ACEMONEY SECURITIES PRIVATE LIMITED	1,000	PAN Modification
33500	BONANZA PORTFOLIO LIMITED	2,800	Delay in scanning and uploading the DIS images
33600	UNIQUE STOCKBRO PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
34200	JAMNADAS VIRJI SHARES AND STOCK BROKERS PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
35300	RAJCHANDRA STOCK BROKERS PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
36000	SHAREKHAN LIMITED	200	Delay in scanning and uploading the DIS images
36000	SHAREKHAN LIMITED	2,000	Delay in submitting Internal Audit compliance
36200	INANI SECURITIES LIMITED	100	Inspection Observation

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36600	MAVERICK SHARE BROKERS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
37900	PHILLIPCAPITAL (INDIA) PRIVATE LIMITED	1,200	Delay in scanning and uploading the DIS images
38000	SHARE INDIA SECURITIES LIMITED.	200	Delay in scanning and uploading the DIS images
38600	SAMURAI SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
38700	CENTRAL BANK OF INDIA	2,000	Delay in submitting Internal Audit compliance
42100	KHAJANCHI AND GANDHI STOCKBROKING PRIVATE LIMITED	900	Delay in scanning and uploading the DIS images
43000	ARIHANT CAPITAL MARKETS LIMITED	400	Delay in scanning and uploading the DIS images
43300	EXCLUSIVE SECURITIES LIMITED	400	Delay in scanning and uploading the DIS images
43700	SWASTIKA INVESTMART LIMITED	300	Delay in scanning and uploading the DIS images
43700	SWASTIKA INVESTMART LIMITED	1,000	Inspection Observation
44400	MARFATIA STOCK BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
45100	MONEYBEE SECURITIES PRIVATE LIMITED	15,000	Delay in submitting Inspection compliance
47800	MANASHVI SECURITIES LIMITED	600	Delay in scanning and uploading the DIS images
48600	AFN LANGRANA SHARE AND STOCK BROKERS PRIVATE LIMITED	2,000	Delay in submitting Internal Audit compliance
48600	AFN LANGRANA SHARE AND STOCK BROKERS PRIVATE LIMITED	4,500	Delay in Submission of VAPT REPORT
49800	PACE STOCK BROKING SERVICES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
49800	PACE STOCK BROKING SERVICES PRIVATE LIMITED	1,000	DP Operational non-compliance
51300	PUNJAB NATIONAL BANK	200	Delay in scanning and uploading the DIS images
51500	RIKHAV SECURITIES LIMITED	500	PAN Modification
52000	KARUNA FINANCIAL SERVICES PVT LTD	1,000	Delay in scanning and uploading the DIS images
52900	ADINATH PROGRESSIVE LIMITED	4,200	Delay in scanning and uploading the DIS images
53600	MUNOTH CAPITAL MARKET LIMITED	300	Delay in scanning and uploading the DIS images
54500	HSB SECURITIES & EQUITIES LIMITED	1,400	Delay in scanning and uploading the DIS images
54500	HSB SECURITIES & EQUITIES LIMITED	500	PAN Modification
54600	TATA SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
55800	EUREKA STOCK & SHARE BROKING SERVICES LIMITED	200	Delay in scanning and uploading the DIS images
56500	MULTIPLEX CAPITAL LIMITED	1,500	Delay in Submission of VAPT REPORT

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57100	GRD SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
57800	AUM CAPITAL MARKET PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
58200	SHRI PARASRAM HOLDINGS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
58300	NAVJEEVAN EQUITY BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
59300	FORT SHARE BROKING PVT LTD	400	Delay in scanning and uploading the DIS images
59400	FAST CAPITAL MARKETS LTD.	1,600	Delay in scanning and uploading the DIS images
60700	AGROY FINANCE AND INVESTMENT LIMITED	200	Delay in scanning and uploading the DIS images
60700	AGROY FINANCE AND INVESTMENT LIMITED	1,000	DP Operational non-compliance
61400	RUDRA SHARES AND STOCK BROKERS LIMITED	2,100	Delay in scanning and uploading the DIS images
62700	AIRAN FINSTOCKS PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
62900	WAY2WEALTH BROKERS PRIVATE LIMITED	2,000	Delay in submitting Internal Audit compliance
63000	GRESHMA SHARES & STOCKS LIMITED	400	Delay in scanning and uploading the DIS images
63500	BUGLEROCK CAPITAL PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
64400	ALLWIN SECURITIES LIMITED	5,000	Delay in submitting Inspection compliance
64800	ABANS SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
65200	COMPOSITE INVESTMENTS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
65400	MILI CONSULTANTS AND INVESTMENT PVT LTD	200	Delay in scanning and uploading the DIS images
65900	TRADESWIFT BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
66900	CHOICE EQUITY BROKING PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
67200	MARKET-HUB STOCK BROKING PRIVATE LIMITED	1,400	Delay in scanning and uploading the DIS images
67800	JRK STOCK BROKING PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
68000	MANU STOCK BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
68100	FRR SHARES AND SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
68100	FRR SHARES AND SECURITIES LIMITED	3,000	Delay in submitting Internal Audit compliance
68500	NINE STAR BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images

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69000	MOTISONS SHARES LIMITED	600	Delay in scanning and uploading the DIS images
69400	BHAJEE BROKING & INVESTMENTS PRIVATE LIMITED	1,600	Delay in scanning and uploading the DIS images
69700	RAGHUNANDAN CAPITAL PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
70300	GLOBALWORTH SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
70400	MULTIGAIN SECURITIES SERVICES PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
71000	LATIN MANHARLAL SECURITIES PRIVATE LIMITED	1,000	PAN Modification
71200	KNA SHARE BROKERS PRIVATE LIMITED	200	Inspection Observation
71300	A C AGARWAL SHARE BROKERS PRIVATE LIMITED	1,000	Delay in scanning and uploading the DIS images
74400	PINNACLE FOREX AND SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
74700	HORIZON FINANCIAL CONSULTANTS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
74900	SHRENI SHARES LIMITED	900	Delay in scanning and uploading the DIS images
75900	ACHINTYA SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
76000	AMBALAL SHARES AND STOCKS PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
77800	BADJATE STOCK AND SHARES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
78300	WEALTH INDIA FINANCIAL SERVICES PRIVATE LIMITED	1,000	Inspection Observation
78700	MINDEX CAPITAL MARKET PVT LTD	200	Delay in scanning and uploading the DIS images
78700	MINDEX CAPITAL MARKET PVT LTD	1,000	Inspection Observation
78700	MINDEX CAPITAL MARKET PVT LTD	1,500	Delay in Submission of VAPT REPORT
79700	F R RATNAGAR AND COMPANY PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
79700	F R RATNAGAR AND COMPANY PRIVATE LIMITED	2,000	Delay in submitting Internal Audit compliance
79900	MANAPPURAM FINANCE LIMITED	200	Delay in scanning and uploading the DIS images
80600	SHRI VENKATESH STOCK BROKER SERVICES INDIA PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
81800	UPSTOX SECURITIES PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
85500	WEALTHSTREET FINANCIAL SERVICES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
87500	KEDIA CAPITAL SERVICES PRIVATE LIMITED	4,500	Delay in scanning and uploading the DIS images
88600	BAJAJ FINANCIAL SECURITIES LIMITED	1,600	Delay in scanning and uploading the DIS images

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
88700	GROWW INVEST TECH PRIVATE LIMITED	1,000	DP Operational non-compliance
93300	M S N SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
94100	ALGOQUANT FINTECH LIMITED	200	Delay in scanning and uploading the DIS images
94100	ALGOQUANT FINTECH LIMITED	1,000	DP Operational non-compliance
94600	YES SECURITIES INDIA LIMITED	2,000	Delay in submitting Internal Audit compliance
95400	SIGNATUREGLOBAL COMTRADE PRIVATE LIMITED	1,200	Delay in scanning and uploading the DIS images
95800	GYANDEEP STOCKS PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
96100	BONDBAZAAR SECURITIES PRIVATE LIMITED	2,700	Delay in scanning and uploading the DIS images
96200	FOCUS STOCK BROKERS LIMITED	200	Delay in scanning and uploading the DIS images
97500	RAEDAN CAPITAL PRIVATE LIMITED	4,500	Delay in Submission of VAPT REPORT
98100	SB PATIL SECURITIES PRIVATE LIMITED	3,000	Delay in submitting Internal Audit compliance
99000	MALIRAM MAKHARIA FINSTOCK PRIVATE LIMITED	4,500	Delay in Submission of VAPT REPORT
99500	MIRACLES FIN-TECH PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
100800	AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
101500	LGT CAPITAL MARKETS PRIVATE LIMITED	500	PAN Modification
101600	ALANKIT IMAGINATIONS LIMITED	200	Delay in scanning and uploading the DIS images
101800	TRIVENI MANAGEMENT CONSULTANCY SERVICES LIMITED	2,000	Delay in submitting Internal Audit compliance
101800	TRIVENI MANAGEMENT CONSULTANCY SERVICES LIMITED	4,500	Delay in Submission of VAPT REPORT

Details of Penalty Levied on RTAs directly connected to Depository:

Details of Penalty Levied on RTAs directly connected to Depository:			
RTA	RTA Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
117	FREEDOM REGISTRY LIMITED	2,000	Delay in submitting RTA Internal Audit compliance
169	S.K. INFOSOLUTIONS PRIVATE LIMITED (ERSTWHILE S K COMPUTERS)	2,000	Delay in submitting RTA Internal Audit compliance
384	INDO MONEY SECURITIES PRIVATE LIMITED	1,000	Inspection Observation
384	INDO MONEY SECURITIES PRIVATE LIMITED	2,000	Delay in submitting RTA Internal Audit compliance
507	MUDRA RTA VENTURES PRIVATE LIMITED	2,000	Delay in submitting RTA Internal Audit compliance