## **MONTHLY STATUS REPORT FOR MONETARY PENALTY - AUGUST 2025**

## **Details of Penalty Levied on DPs:**

DP ID	DP Name	Penalty	Audit Type/ Reasons
		Imposed (Rs.)	
10200	KHAMBATTA SECURITIES LIMITED	200	Delay in scanning and
			uploading the DIS images
10600	ANAND RATHI SHARE AND STOCK	500	PAN Modification
	BROKERS LIMITED		
10700	KRCHOKSEY SHARES AND SECURITIES	500	PAN Modification
	PRIVATE LIMITED		
10800	GANDHI SECURITIES AND	200	Delay in scanning and
	INVESTMENT PVT LTD		uploading the DIS images
10900	MOTILAL OSWAL FINANCIAL	1,000	PAN Modification
	SERVICES LIMITED		
12101	SURESH RATHI SECURITIES PRIVATE	500	PAN Modification
	LIMITED - JODHPUR		
12107	SURESH RATHI SECURITIES PVT	300	Delay in scanning and
	LIMITED - KOTA		uploading the DIS images
12600	GEPL CAPITAL PRIVATE LIMITED	200	Delay in scanning and
			uploading the DIS images
13500	CIL SECURITIES LIMITED	300	Delay in scanning and
			uploading the DIS images
13800	BANK OF MAHARASHTRA	300	Delay in scanning and
			uploading the DIS images
14200	JANATA SAHAKARI BANK LTD.,	500	PAN Modification
14200	JANATA SAHAKARI BANK LTD.,	300	Delay in scanning and
			uploading the DIS images
14200	JANATA SAHAKARI BANK LTD.,	15,000	Delay in submitting Inspection
			compliance
14200	JANATA SAHAKARI BANK LTD.,	2,000	Delay in submitting Internal
			Audit Report Compliance
15400	THE GREATER BOMBAY CO-	200	Delay in scanning and
	OPERATIVE BANK LIMITED		uploading the DIS images
16700	VSE STOCK SERVICES LIMITED	600	Delay in scanning and
			uploading the DIS images
17500	KANTILAL CHHAGANLAL SECURITIES	500	PAN Modification
	PRIVATE LIMITED		
19101	SMC GLOBAL SECURITIES LIMITED -	500	PAN Modification
	NEW DELHI		
20800	BOI SHAREHOLDING LIMITED	1,000	PAN Modification

22500   RASHI EQUISEARCH PRIVATE LIMITED   300   Delay in scanning and uploading the DIS images	DP ID	DP Name	Penalty	Audit Type/ Reasons
24400 MONEY CARE SECURITIES AND FINANCIAL SERVICES PRIVATE LIMITED  24400 MONEY CARE SECURITIES AND FINANCIAL SERVICES PRIVATE LIMITED  24400 MONEY CARE SECURITIES AND FINANCIAL SERVICES PRIVATE LIMITED  24700 MANGAL KESHAV FINANCIAL SERVICES LLP  24700 MANGAL KESHAV FINANCIAL SERVICES LLP  24700 MANGAL KESHAV FINANCIAL SERVICES LLP  25000 M. PRASAD AND CO LIMITED 300 Delay in scanning and uploading the DIS images  25900 UNION BANK OF INDIA 1,500 PAN Modification  25900 UNION BANK OF INDIA 1,500 PAN Modification  25900 UNION BANK OF INDIA 1,800 Delay in scanning and uploading the DIS images  28100 PRAGYA SECURITIES P LTD 200 Delay in scanning and uploading the DIS images  29400 SAURASHITRA CAPITAL BROKING 300 Delay in scanning and uploading the DIS images  29800 CAPSTOCKS AND SECURITIES INDIA PRIVATE LIMITED 200 Delay in scanning and uploading the DIS images  31500 WAY2WEALTH BROKERS PRIVATE LIMITED 200 Delay in scanning and uploading the DIS images  31500 KALPATARU MULTIPLIER LIMITED 200 Delay in scanning and uploading the DIS images  32100 MANUBHAI MANGALDAS SECURITES 500 PAN Modification  33200 ANGEL ONE LIMITED 1,000 PAN Modification  34200 JAMNADAS VIRJI SHARES AND STOCK 400 Delay in scanning and uploading the DIS images  34900 SANGHAVI SAVLA STOCK BROKERS 200 Delay in scanning and uploading the DIS images  34900 MONARCH NETWORTH CAPITAL 500 PAN Modification  400 PAN Modification			Imposed (Rs.)	
24400   MONEY CARE SECURITIES AND FINANCIAL SERVICES PRIVATE LIMITED	22500	RASHI EQUISEARCH PRIVATE LIMITED	300	
FINANCIAL SERVICES PRIVATE LIMITED  24400 MONEY CARE SECURITIES AND FINANCIAL SERVICES PRIVATE LIMITED  24700 MANGAL KESHAV FINANCIAL SERVICES LLP  25000 M. PRASAD AND CO LIMITED  25900 UNION BANK OF INDIA  25900 UNION BANK OF INDIA  25900 UNION BANK OF INDIA  25900 PRAGYA SECURITIES P LTD  200 Delay in scanning and uploading the DIS images  28100 PRAGYA SECURITIES P LTD  200 Delay in scanning and uploading the DIS images  29400 SAURASHTRA CAPITAL BROKING PRIVATE LIMITED  29800 CAPSTOCKS AND SECURITIES INDIA PRIVATE LIMITED  30700 P.C.S. SECURITIES LIMITED  31500 WAY2WEALTH BROKERS PRIVATE LIMITED  31600 KALPATARU MULTIPLIER LIMITED  31600 MANUBHAI MANGALDAS SECURITES PRIVATE LIMITED  31600 PRIVATE LIMITED  31700 PRIVATE LIMITED  31800 PAN Modification PAN Modification PRIVATE LIMITED  31800 PAN Modification PAN Modification PRIVATE LIMITED  31800 PAN Modification PAN Modification PAN Modification PRIVATE LIMITED PAN Modification				uploading the DIS images
LIMITED  24400 MONEY CARE SECURITIES AND FINANCIAL SERVICES PRIVATE LIMITED  24700 MANGAL KESHAV FINANCIAL SERVICES LLP  24700 MANGAL KESHAV FINANCIAL SERVICES LLP  24700 MANGAL KESHAV FINANCIAL SERVICES LLP  25000 M. PRASAD AND CO LIMITED 300 Delay in scanning and uploading the DIS images  25900 UNION BANK OF INDIA 1,500 PAN Modification  25900 UNION BANK OF INDIA 1,800 Delay in scanning and uploading the DIS images  28100 PRAGYA SECURITIES P LTD 200 Delay in scanning and uploading the DIS images  29400 SAURASHTRA CAPITAL BROKING 300 Delay in scanning and uploading the DIS images  29800 CAPSTOCKS AND SECURITIES INDIA PRIVATE LIMITED 200 Delay in scanning and uploading the DIS images  31500 WAY2WEALTH BROKERS PRIVATE LIMITED 200 Delay in scanning and uploading the DIS images  31500 MANUBHAI MANGALDAS SECURITES POUNT Delay in submitting Internal Audit Report Compliance  31600 KALPATARU MULTIPLIER LIMITED 200 Delay in submitting Internal Audit Report Compliance  32100 MANUBHAI MANGALDAS SECURITES POUNT Delay in scanning and uploading the DIS images  32100 JAMNADAS VIRJI SHARES AND STOCK 400 Delay in scanning and uploading the DIS images  34200 JAMNADAS VIRJI SHARES AND STOCK 400 Delay in scanning and uploading the DIS images  34900 SANGHAVI SAVLA STOCK BROKERS LIMITED 200 Delay in scanning and uploading the DIS images  35000 MONARCH NETWORTH CAPITAL 500 PAN Modification  PAN Modification	24400	MONEY CARE SECURITIES AND	15,000	Delay in submitting Inspection
24400   MONEY CARE SECURITIES AND FINANCIAL SERVICES PRIVATE LIMITED   Delay in submitting Internal Audit Report Compliance		FINANCIAL SERVICES PRIVATE		compliance
FINANCIAL SERVICES PRIVATE LIMITED  24700 MANGAL KESHAV FINANCIAL SERVICES LLP  24700 MANGAL KESHAV FINANCIAL SERVICES LLP  24700 MANGAL KESHAV FINANCIAL SERVICES LLP  25000 M. PRASAD AND CO LIMITED 300 Delay in scanning and uploading the DIS images  25900 UNION BANK OF INDIA 1,500 PAN Modification  25900 UNION BANK OF INDIA 1,800 Delay in scanning and uploading the DIS images  28100 PRAGYA SECURITIES P LTD 200 Delay in scanning and uploading the DIS images  29400 SAURASHTRA CAPITAL BROKING PRIVATE LIMITED 300 Delay in scanning and uploading the DIS images  29800 CAPSTOCKS AND SECURITIES INDIA PRIVATE LIMITED 200 Delay in scanning and uploading the DIS images  31500 WAYZWEALTH BROKERS PRIVATE LIMITED 31600 KALPATARU MULTIPLIER LIMITED 31600 KALPATARU MULTIPLIER LIMITED 3200 Delay in scanning and uploading the DIS images  31500 MANUBHAI MANGALDAS SECURITES PRIVATE LIMITED 33200 ANGEL ONE LIMITED 33200 ANGEL ONE LIMITED 34200 JAMNADAS VIRJI SHARES AND STOCK BROKERS PRIVATE LIMITED 34900 SANGHAVI SAVLA STOCK BROKERS LIMITED 35000 MONARCH NETWORTH CAPITAL LIMITED 3500 PAN Modification PAN Modification PAN Modification Delay in scanning and uploading the DIS images Delay in scanning and uploading the DIS images		LIMITED		
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24700   MANGAL KESHAV FINANCIAL   SERVICES LLP   SERVICES LLP   Delay in scanning and uploading the DIS images		FINANCIAL SERVICES PRIVATE		Audit Report Compliance
SERVICES LLP  24700 MANGAL KESHAV FINANCIAL SERVICES LLP  25000 M. PRASAD AND CO LIMITED  25000 UNION BANK OF INDIA  25900 Delay in scanning and uploading the DIS images  28100 PRAGYA SECURITIES P LTD  200 Delay in scanning and uploading the DIS images  29400 SAURASHTRA CAPITAL BROKING PRIVATE LIMITED  29800 CAPSTOCKS AND SECURITIES INDIA PRIVATE LIMITED  30700 P.C.S. SECURITIES LIMITED  30700 WAY2WEALTH BROKERS PRIVATE LIMITED  31500 WAY2WEALTH BROKERS PRIVATE LIMITED  31600 KALPATARU MULTIPLIER LIMITED  31600 MANUBHAI MANGALDAS SECURITES PRIVATE LIMITED  3200 ANGEL ONE LIMITED  33200 ANGEL ONE LIMITED  34200 JAMNADAS VIRJI SHARES AND STOCK BROKERS PRIVATE LIMITED  34900 SANGHAVI SAVLA STOCK BROKERS LIMITED  35000 MONARCH NETWORTH CAPITAL LIMITED  3600 PAN Modification		LIMITED		
24700   MANGAL KESHAV FINANCIAL   200   Delay in scanning and uploading the DIS images	24700	MANGAL KESHAV FINANCIAL	500	PAN Modification
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PRIVATE LIMITED  P.C.S. SECURITIES LIMITED  P.C.S. SECURITIES LIMITED  P.C.S. SECURITIES LIMITED  Delay in scanning and uploading the DIS images  1,000  Delay in submitting Internal Audit Report Compliance  RALPATARU MULTIPLIER LIMITED  MANUBHAI MANGALDAS SECURITES PRIVATE LIMITED  ANGEL ONE LIMITED  ANGEL ONE LIMITED  PROKERS PRIVATE LIMITED  ANGEL ONE LIMITED  PROKERS PRIVATE LIMITED  ANGEL ONE LIMITED  PROKERS PRIVATE LIMITED  ANGEL ONE LIMITED  ANGEL ONE LIMITED  ANGEL ONE LIMITED  BROKERS PRIVATE LIMITED  ANGEL ONE LIMITED  ANGEL ONE LIMITED  BROKERS PRIVATE LIMITED  ANGEL ONE LIMITED  ANGEL ONE LIMITED  BROKERS PRIVATE LIMITED  BROKERS PRIVATE LIMITED  ANGEL ONE LIMITED  ANGEL ONE LIMITED  BROKERS PRIVATE LIMITED  BROKERS PRIVATE LIMITED  ANGEL ONE LIMITED  ANGEL ONE LIMITED  BROKERS PRIVATE LIMITED  ANGEL ONE LIMITED  BROKERS PRIVATE LIMITED  BROKERS PRIVATE LIMITED  BROKERS PRIVATE LIMITED  ANGEL ONE LIMITED  BROKERS PRIVATE LIMITED  BROKERS PRIVAT		PRIVATE LIMITED		
30700   P.C.S. SECURITIES LIMITED   200   Delay in scanning and uploading the DIS images	29800	CAPSTOCKS AND SECURITIES INDIA	500	
uploading the DIS images  31500 WAY2WEALTH BROKERS PRIVATE LIMITED  31600 KALPATARU MULTIPLIER LIMITED  3200 Delay in submitting Internal Audit Report Compliance  Delay in scanning and uploading the DIS images  32100 MANUBHAI MANGALDAS SECURITES PRIVATE LIMITED  33200 ANGEL ONE LIMITED  34200 JAMNADAS VIRJI SHARES AND STOCK BROKERS PRIVATE LIMITED  34900 SANGHAVI SAVLA STOCK BROKERS LIMITED  35000 MONARCH NETWORTH CAPITAL LIMITED  Uploading the DIS images  PAN Modification  Delay in scanning and uploading the DIS images  200 Delay in scanning and uploading the DIS images		PRIVATE LIMITED		
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LIMITED  RALPATARU MULTIPLIER LIMITED  Belay in scanning and uploading the DIS images  32100 MANUBHAI MANGALDAS SECURITES PRIVATE LIMITED  33200 ANGEL ONE LIMITED  1,000 PAN Modification  PAN Modification  PAN Modification  PAN Modification  Delay in scanning and uploading the DIS images  400 Delay in scanning and uploading the DIS images  SANGHAVI SAVLA STOCK BROKERS 200 Delay in scanning and uploading the DIS images  LIMITED  MONARCH NETWORTH CAPITAL 500 PAN Modification  LIMITED				_
LIMITED  RALPATARU MULTIPLIER LIMITED  Belay in scanning and uploading the DIS images  32100 MANUBHAI MANGALDAS SECURITES PRIVATE LIMITED  33200 ANGEL ONE LIMITED  1,000 PAN Modification  PAN Modification  PAN Modification  PAN Modification  Delay in scanning and uploading the DIS images  400 Delay in scanning and uploading the DIS images  SANGHAVI SAVLA STOCK BROKERS 200 Delay in scanning and uploading the DIS images  LIMITED  MONARCH NETWORTH CAPITAL 500 PAN Modification  LIMITED	31500	WAY2WEALTH BROKERS PRIVATE	1,000	Delay in submitting Internal
31600 KALPATARU MULTIPLIER LIMITED  200 Delay in scanning and uploading the DIS images  32100 MANUBHAI MANGALDAS SECURITES PRIVATE LIMITED  33200 ANGEL ONE LIMITED  34200 JAMNADAS VIRJI SHARES AND STOCK BROKERS PRIVATE LIMITED  34900 SANGHAVI SAVLA STOCK BROKERS LIMITED  200 Delay in scanning and uploading the DIS images  200 Delay in scanning and uploading the DIS images  200 Delay in scanning and uploading the DIS images  200 Delay in scanning and uploading the DIS images  35000 MONARCH NETWORTH CAPITAL LIMITED		LIMITED	·	
32100 MANUBHAI MANGALDAS SECURITES PRIVATE LIMITED  33200 ANGEL ONE LIMITED  34200 JAMNADAS VIRJI SHARES AND STOCK BROKERS PRIVATE LIMITED  34900 SANGHAVI SAVLA STOCK BROKERS LIMITED  35000 MONARCH NETWORTH CAPITAL LIMITED  Uploading the DIS images  200 Delay in scanning and uploading the DIS images  200 Delay in scanning and uploading the DIS images	31600	KALPATARU MULTIPLIER LIMITED	200	
PRIVATE LIMITED  33200 ANGEL ONE LIMITED  1,000 PAN Modification  34200 JAMNADAS VIRJI SHARES AND STOCK BROKERS PRIVATE LIMITED  34900 SANGHAVI SAVLA STOCK BROKERS LIMITED  200 Delay in scanning and uploading the DIS images  200 Uploading the DIS images  35000 MONARCH NETWORTH CAPITAL LIMITED  500 PAN Modification				
33200 ANGEL ONE LIMITED  34200 JAMNADAS VIRJI SHARES AND STOCK BROKERS PRIVATE LIMITED  34900 SANGHAVI SAVLA STOCK BROKERS LIMITED  35000 MONARCH NETWORTH CAPITAL LIMITED  1,000 PAN Modification Delay in scanning and uploading the DIS images  200 Delay in scanning and uploading the DIS images  35000 PAN Modification	32100	MANUBHAI MANGALDAS SECURITES	500	PAN Modification
34200JAMNADAS VIRJI SHARES AND STOCK BROKERS PRIVATE LIMITED400Delay in scanning and uploading the DIS images34900SANGHAVI SAVLA STOCK BROKERS LIMITED200Delay in scanning and uploading the DIS images35000MONARCH NETWORTH CAPITAL LIMITED500PAN Modification		PRIVATE LIMITED		
34200JAMNADAS VIRJI SHARES AND STOCK BROKERS PRIVATE LIMITED400Delay in scanning and uploading the DIS images34900SANGHAVI SAVLA STOCK BROKERS LIMITED200Delay in scanning and uploading the DIS images35000MONARCH NETWORTH CAPITAL LIMITED500PAN Modification	33200	ANGEL ONE LIMITED	1,000	PAN Modification
BROKERS PRIVATE LIMITED uploading the DIS images  34900 SANGHAVI SAVLA STOCK BROKERS 200 Delay in scanning and uploading the DIS images  LIMITED uploading the DIS images  35000 MONARCH NETWORTH CAPITAL 500 PAN Modification  LIMITED			·	Delay in scanning and
34900 SANGHAVI SAVLA STOCK BROKERS 200 Delay in scanning and uploading the DIS images  35000 MONARCH NETWORTH CAPITAL 500 PAN Modification  LIMITED				
LIMITED uploading the DIS images  35000 MONARCH NETWORTH CAPITAL 500 PAN Modification  LIMITED	34900		200	1 0
35000 MONARCH NETWORTH CAPITAL 500 PAN Modification LIMITED				
LIMITED	35000		500	1 0
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OOOOO   TATIOTATIATATATATATATATATATA   OOO   DEIAY III SCAIIIIIIIE AIIU	35300	RAJCHANDRA CAPITAL SERVICES	600	Delay in scanning and
PRIVATE LIMITED uploading the DIS images		· ·		

DP ID	DP Name	Penalty	Audit Type/ Reasons
		Imposed (Rs.)	
35800	THE AKOLA URBAN COOPERATIVE	4,000	Delay in submitting Internal
	BANK LIMITED, AKOLA		Audit Report Compliance
36200	INANI SECURITIES LIMITED	200	Delay in scanning and
			uploading the DIS images
36200	INANI SECURITIES LIMITED	500	Inspection Observation
36700	ELIXIR EQUITIES PRIVATE LIMITED	200	Delay in scanning and
			uploading the DIS images
38600	SAMURAI SECURITIES PRIVATE	200	Delay in scanning and
	LIMITED		uploading the DIS images
38900	RBL BANK LIMITED	200	Delay in scanning and
			uploading the DIS images
41100	KOTAK MAHINDRA BANK LIMITED	2,000	Delay in submitting Internal
			Audit Report Compliance
42100	KHAJANCHI AND GANDHI	1,000	Delay in scanning and
	STOCKBROKING PRIVATE LIMITED		uploading the DIS images
42100	KHAJANCHI AND GANDHI	3,000	Delay in submitting Internal
	STOCKBROKING PRIVATE LIMITED		Audit Report Compliance
43300	EXCLUSIVE SECURITIES LIMITED	1,200	Delay in scanning and
			uploading the DIS images
44400	MARFATIA STOCK BROKING PRIVATE LIMITED	500	PAN Modification
45500	DEALMONEY COMMODITIES PRIVATE	300	Delay in scanning and
10000	LIMITED		uploading the DIS images
46200	SHREE NAMAN SECURITIES AND	1,000	Delay in submitting Internal
	FINANCE PRIVATE LIMITED	_,;;;	Audit Report Compliance
47600	SHAREWEALTH SECURITIES LIMITED	5,000	PAN Modification
47700	NORTHEAST BROKING SERVICES	400	Delay in scanning and
	LIMITED		uploading the DIS images
48600	AFN LANGRANA SHARE AND STOCK	400	Delay in scanning and
	BROKERS PRIVATE LIMITED		uploading the DIS images
48600	AFN LANGRANA SHARE AND STOCK	1,000	Delay in submitting Internal
	BROKERS PRIVATE LIMITED		Audit Report Compliance
50100	NEW INDIA CO-OPERATIVE BANK	2,500	Inspection Observation
	LIMITED		
50900	INDO THAI SECURITIES LIMITED	200	Delay in scanning and
			uploading the DIS images
51000	MITHUN SECURITIES PRIVATE	300	Delay in scanning and
	LIMITED		uploading the DIS images
51500	RIKHAV SECURITIES LIMITED	200	Delay in scanning and
51500			3

DP ID	DP Name	Penalty	Audit Type/ Reasons
		Imposed (Rs.)	
52000	KARUNA FINANCIAL SERVICES PVT	200	Delay in scanning and
	LTD		uploading the DIS images
52900	ADINATH CAPITAL SERVICES LIMITED	1,000	Inspection Observation
53200	VCK SHARE AND STOCK BROKING	200	Delay in scanning and
	SERVICES LTD.		uploading the DIS images
53700	COMFORT SECURITIES LIMITED	200	Delay in scanning and
			uploading the DIS images
55600	A.K. STOCKMART PRIVATE LIMITED	800	Delay in scanning and
			uploading the DIS images
57800	AUM CAPITAL MARKET PRIVATE	400	Delay in scanning and
	LIMITED		uploading the DIS images
58200	SHRI PARASRAM HOLDINGS PRIVATE	1,000	Delay in submitting Internal
	LIMITED		Audit Report Compliance
58300	NAVJEEVAN EQUITY BROKING	800	Delay in scanning and
	PRIVATE LIMITED		uploading the DIS images
59000	ORBIS FINANCIAL CORPORATION	500	Delay in Surveillance Alerts
	LIMITED		Response
59100	LAKSHMISHREE INVESTMENT AND	400	Delay in scanning and
	SECURITIES LIMITED		uploading the DIS images
59400	FAST CAPITAL MARKETS LTD.	5,000	Inspection Observation
60800	NCJ SHARE AND STOCK BROKERS	200	Delay in scanning and
	LIMITED		uploading the DIS images
61700	CSE CAPITAL MARKETS PRIVATE	200	Delay in scanning and
	LIMITED		uploading the DIS images
62800	SUNSHINE STOCK BROKING PRIVATE	200	Delay in scanning and
	LIMITED		uploading the DIS images
62900	WAY2WEALTH BROKERS PRIVATE	3,000	Delay in submitting Internal
	LIMITED		Audit Report Compliance
64400	ALLWIN SECURITIES LIMITED	600	Delay in scanning and
			uploading the DIS images
64400	ALLWIN SECURITIES LIMITED	5,000	Delay in submitting Inspection
			compliance
64800	ABANS SECURITIES PRIVATE LIMITED	600	Delay in scanning and
			uploading the DIS images
65000	HINDUSTAN TRADECOM PRIVATE	1,000	Delay in scanning and
	LIMITED		uploading the DIS images
65900	TRADESWIFT BROKING PRIVATE	400	Delay in scanning and
	LIMITED		uploading the DIS images
66900	CHOICE EQUITY BROKING PRIVATE	4,600	Delay in scanning and
	LIMITED		uploading the DIS images

DP ID	DP Name	Penalty	Audit Type/ Reasons
		Imposed (Rs.)	
66900	CHOICE EQUITY BROKING PRIVATE	500	Delay in Surveillance Alerts
	LIMITED		Response
67200	MARKET-HUB STOCK BROKING	600	Delay in scanning and
	PRIVATE LIMITED		uploading the DIS images
67800	JRK STOCK BROKING PRIVATE	300	Delay in scanning and
	LIMITED		uploading the DIS images
68100	FRR SHARES AND SECURITIES	200	Delay in scanning and
	LIMITED		uploading the DIS images
68100	FRR SHARES AND SECURITIES	4,000	Delay in submitting Internal
	LIMITED		Audit Report Compliance
68800	QUEST SECURITIES LIMITED	500	PAN Modification
69700	RAGHUNANDAN CAPITAL PRIVATE	10,000	Inspection Observation
	LIMITED		
71300	A C AGARWAL SHARE BROKERS	1,200	Delay in scanning and
	PRIVATE LIMITED		uploading the DIS images
72000	SHREE BAHUBALI STOCK BROKING	2,000	Delay in submitting Internal
	LIMITED		Audit Report Compliance
72300	WEALTH FIRST PORTFOLIO	400	Delay in scanning and
	MANAGERS LIMITED		uploading the DIS images
74200	VISHWAS FINCAP SERVICES PRIVATE	300	Delay in scanning and
	LIMITED		uploading the DIS images
74300	ATS SHARE BROKERS PRIVATE	4,000	Delay in submitting Internal
	LIMITED		Audit Report Compliance
74800	P SURYAKANT SHARE AND STOCK	1,000	Delay in scanning and
	BROKERS PRIVATE LIMITED		uploading the DIS images
74900	SHRENI SHARES LIMITED	400	Delay in scanning and
			uploading the DIS images
75800	ACUMEN CAPITAL MARKET (INDIA)	2,200	Inspection Observation
	LIMITED		
78300	WEALTH INDIA FINANCIAL SERVICES	500	PAN Modification
	PRIVATE LIMITED		
79700	F R RATNAGAR AND COMPANY	2,000	Delay in submitting Internal
	PRIVATE LIMITED		Audit Report Compliance
80400	ZEBU SHARE AND WEALTH	200	Delay in scanning and
	MANAGEMENTS PRIVATE LIMITED		uploading the DIS images
81700	PURE BROKING PRIVATE LIMITED	200	Delay in scanning and
			uploading the DIS images
81800	UPSTOX SECURITIES PRIVATE	500	PAN Modification
	LIMITED		
82400	GANGA NAGAR COMMODITY LIMITED	500	PAN Modification

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
82400	GANGA NAGAR COMMODITY LIMITED	200	Delay in scanning and
02400	GANGA NAGAR COMMODITT LIMITED	200	uploading the DIS images
83400	RAISE SECURITIES PRIVATE LIMITED	200	
83400	RAISE SECURITIES PRIVATE LIMITED	200	Delay in scanning and
05000	NIDHI BROKING SERVICES PRIVATE	400	uploading the DIS images
85000		400	Delay in scanning and
05200	LIMITED	1 000	uploading the DIS images
85200	SILVER STREAM EQUITIES PRIVATE	1,000	Delay in submitting Internal
05500	LIMITED	2.400	Audit Report Compliance
87500	KEDIA CAPITAL SERVICES PRIVATE	2,400	Delay in scanning and
	LIMITED		uploading the DIS images
88400	RELITRADE STOCK BROKING PRIVATE	300	Delay in scanning and
	LIMITED		uploading the DIS images
88500	THINCREDBLU SECURITIES PRIVATE	300	Delay in scanning and
	LIMITED		uploading the DIS images
88600	BAJAJ FINANCIAL SECURITIES LIMITED	500	PAN Modification
88700	GROWW INVEST TECH PRIVATE	600	Delay in scanning and
	LIMITED		uploading the DIS images
88701	GROWW INVEST TECH PRIVATE	500	Delay in Surveillance Alerts
	LIMITED		Response
89400	FYERS SECURITIES PRIVATE LIMITED	3,000	Delay in submitting Internal
			Audit Report Compliance
92100	FINWIZARD TECHNOLOGY PRIVATE	500	PAN Modification
	LIMITED		
94100	GROWTH SECURITIES PRIVATE	300	Delay in scanning and
	LIMITED		uploading the DIS images
94100	GROWTH SECURITIES PRIVATE	8,67,000	Inspection Observation
	LIMITED		
94600	YES SECURITIES INDIA LIMITED	200	Delay in scanning and
			uploading the DIS images
95400	SIGNATUREGLOBAL COMTRADE	400	Delay in scanning and
	PRIVATE LIMITED		uploading the DIS images
95700	VIJIT GLOBAL SECURITIES PRIVATE	200	Delay in scanning and
	LIMITED		uploading the DIS images
96100	BONDBAZAAR SECURITIES PRIVATE	300	Delay in scanning and
70100	LIMITED	200	uploading the DIS images
96100	BONDBAZAAR SECURITIES PRIVATE	15,000	Delay in submitting Inspection
70100	LIMITED	10,000	compliance
96100	BONDBAZAAR SECURITIES PRIVATE	3,000	Delay in submitting Internal
70100	LIMITED	3,000	Audit Report Compliance
98100	SB PATIL SECURITIES PRIVATE	3,000	Delay in submitting Internal
20100		3,000	Audit Report Compliance
	LIMITED		Audit Report Compliance

DP ID	DP Name	Penalty	Audit Type/ Reasons
		Imposed (Rs.)	
99000	MALIRAM MAKHARIA FINSTOCK	1,000	Delay in submitting Internal
	PRIVATE LIMITED		Audit Report Compliance
99800	POCKETFUL FINTECH CAPITAL	2,000	Delay in submitting Internal
	PRIVATE LIMITED		Audit Report Compliance

## <u>Details of Penalty Levied on RTAs/ Issuers directly connected to Depository:</u>

RTAs/	RTAs/ Issuers Name	Imp Monetary	Audit Type/ Reasons
Issuers			
169	S.K. INFOSOLUTIONS PRIVATE	1,000	Delay in submitting Internal
	LIMITED (ERSTWHILE S K		Audit Report Compliance
	COMPUTERS)		
241	NAGARJUNA FERTILIZERS AND	1,000	Delay in submitting Internal
	CHEMICALS LIMITED		Audit Report Compliance
170	ABS CONSULTANTS PRIVATE	2,000	Inspection Observation
	LIMITED		
384	INDO MONEY SECURITIES PRIVATE	3,000	RTA Internal Audit Report
	LIMITED		Compliance not submitted
384	INDO MONEY SECURITIES PRIVATE	500	Inspection Observation
	LIMITED		
24545	ISSUER - ELITEGURUKUL LIMITED #	1,000	Inspection Observation
	EQUITY SHARES		
24593	ISSUER - FERMION INFOTECH	500	Inspection Observation
	PRIVATE LIMITED # EQUITY SHARES		
25663	ISSUER - KIAASA RETAIL LIMITED #	1,000	Inspection Observation
	EQUITY SHARES		
41124	ISSUER - PRIYADARSHINI POLYSACKS	500	Inspection Observation
	LIMITED # EQUITY SHARES		
47064	ISSUER - GOLA FINANCE PRIVATE	2,500	Inspection Observation
	LIMITED # EQUITY SHARES		