

MONTHLY STATUS REPORT FOR MONETARY PENALTY – DECEMBER 2025

Details of Penalty Levied on DPs:

DP ID	Dp Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
10600	Anand Rathi Share And Stock Brokers Limited	500	PAN Modification
10601	Anand Rathi Share And Stock Brokers Limited - Nagpur	500	PAN Modification
10900	Motilal Oswal Financial Services Limited	500	PAN Modification
10900	Motilal Oswal Financial Services Limited	5,000	Delay in submitting Thematic Inspection compliance
12100	Suresh Rathi Securities Private Limited	300	Delay in scanning and uploading the DIS images
12101	Suresh Rathi Securities Private Limited - Jodhpur	200	Delay in scanning and uploading the DIS images
12101	Suresh Rathi Securities Private Limited - Jodhpur	1,000	Delay Submission of Surveillance Alerts Response
12200	Centrum Broking Limited	2,800	Delay in scanning and uploading the DIS images
12200	Centrum Broking Limited	20,000	Delay Submission of Surveillance Alerts Response
12600	GEPL Capital Private Limited	600	Delay in scanning and uploading the DIS images
12600	GEPL Capital Private Limited	500	Delay Submission of Surveillance Alerts Response
13200	Asit C Mehta Investment Interrmediates Ltd	1,000	PENALTY POINTS
13900	Deutsche Bank A.G.	500	PAN Modification
14301	ICICI Bank Limited	500	Delay Submission of Surveillance Alerts Response
14400	IIFL Capital Services Limited	4,000	Delay Submission of Surveillance Alerts Response
14900	Punjab National Bank	200	Delay in scanning and uploading the DIS images
15200	ACML Capital Markets Limited	400	Delay in scanning and uploading the DIS images
16000	SMIFS Limited	1,500	Delay Submission of Surveillance Alerts Response
16900	J G Shah Financial Consultants Private Limited	500	PAN Modification
17000	Indira Securities Private Limited (Trf.)	600	Delay in scanning and uploading the DIS images

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17600	ICICI Bank Limited -Jaipur Main Branch	1,000	PENALTY POINTS
18600	Sykes And Ray Equities (India) Ltd	400	Delay in scanning and uploading the DIS images
19200	C R Kothari And Sons Shares And Stock Brokers Private Limited	200	Delay in scanning and uploading the DIS images
19800	ANS Private Limited	500	Delay Submission of Surveillance Alerts Response
20800	BOI Services Limited	500	PAN Modification
22000	Sps Share Brokers Private Limited	200	Delay in scanning and uploading the DIS images
22300	Steel City Securities Limited	15,000	Delay in submitting Inspection compliance
24500	R. B. K. Share Broking Limited	200	Delay in scanning and uploading the DIS images
25000	M. Prasad and Co Limited	10,000	Delay in submitting Inspection compliance
25100	Kotak Securities Limited	500	Delay Submission of Surveillance Alerts Response
25900	Union Bank of India	1,000	PAN Modification
28500	S P Jain Securities Private Limited	200	Delay in scanning and uploading the DIS images
28900	Sushil Financial Services Private Limited	500	PAN Modification
29200	JSEL Securities Limited	200	Delay in scanning and uploading the DIS images
29900	Indiabulls Securities Limited	5,500	Delay Submission of Surveillance Alerts Response
31400	Prabhat Financial Services Limited	200	Delay in scanning and uploading the DIS images
32300	Nuvama Wealth And Investment Limited	1,000	Delay Submission of Surveillance Alerts Response
32600	Manali Trading and Holdings Pvt Ltd	5,000	Delay in submitting Inspection compliance
32600	Manali Trading and Holdings Pvt Ltd	16,000	Inspection Observation
33500	Bonanza Portfolio Limited	500	PAN Modification
34200	Jamnadas Virji Shares And Stock Brokers Private Limited	300	Delay in scanning and uploading the DIS images
35800	The Akola Urban Cooperative Bank Limited, Akola	50,000	Delay in submitting Inspection compliance
36700	Elixir Equities Private Limited	900	Delay in scanning and uploading the DIS images
37600	Aditya Birla Money Limited	1,000	Delay Submission of Surveillance Alerts Response

DP ID	Dp Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
40300	SVC Co-Operative Bank Limited	200	Delay in scanning and uploading the DIS images
40400	Anush Shares and Securities Private Limited	15,000	Delay in submitting Inspection compliance
41700	Bhogilal Trikamlal Securities Private Limited	500	PAN Modification
42100	Khajanchi And Gandhi Stockbroking Private Limited	200	Delay in scanning and uploading the DIS images
42100	Khajanchi And Gandhi Stockbroking Private Limited	500	PAN Modification
43800	Raima Equities Private Limited	600	Delay in scanning and uploading the DIS images
44200	Merfin Shares and Stock Broking Private Limited	200	Delay in scanning and uploading the DIS images
44400	Marfatia Stock Broking Private Limited	1,000	Inspection Observation
44400	Marfatia Stock Broking Private Limited	500	PAN Modification
44700	IIFL Capital Services Limited	500	PAN Modification
44800	Nnm Securities Private Limited	5,000	Delay in submitting Inspection compliance
47200	SBICAP Securities Limited	500	PAN Modification
51500	Rikhav Securities Limited	400	Delay in scanning and uploading the DIS images
51800	UAE Exchange and Finance Limited	1,000	Inspection Observation
53700	Comfort Securities Limited	1,500	Inspection Observation
53700	Comfort Securities Limited	2,500	Inspection Observation
53700	Comfort Securities Limited	500	Delay Submission of Surveillance Alerts Response
55800	Eureka Stock & Share Broking Services Limited	500	PAN Modification
59100	Lakshmisree Investment and Securities Limited	900	Delay in scanning and uploading the DIS images
59100	Lakshmisree Investment and Securities Limited	200	Inspection Observation
59100	Lakshmisree Investment and Securities Limited	1,000	Inspection Observation
59400	Fast Capital Markets Ltd.	800	Delay in scanning and uploading the DIS images
62200	M J Patel Share and Stock Brokers Limited	5,000	Delay in submitting Inspection compliance
63100	SBI-SG Global Securities Services Private Limited	200	Delay in scanning and uploading the DIS images

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64400	Allwin Securities Limited	200	Delay in scanning and uploading the DIS images
65600	PSB Securities Limited	4,000	Delay Submission of Surveillance Alerts Response
66900	Choice Equity Broking Private Limited	24,000	Delay Submission of Surveillance Alerts Response
67300	Basan Equity Broking Limited	1,500	Delay Submission of Surveillance Alerts Response
67800	JRK Stock Broking Private Limited	300	Delay in scanning and uploading the DIS images
69000	Motisons Shares Private Limited	1,200	Delay in scanning and uploading the DIS images
69600	Mudra Om Securities Private 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
71000	Latin Manharlal Securities Private Limited	1,000	PAN Modification
71300	A C Agarwal Share Brokers Private Limited	900	Delay in scanning and uploading the DIS images
71900	Reliable Stocks And Shares (India) Limited	500	PAN Modification
72000	Shree Bahubali Stock Broking Limited	25,000	Delay in submitting Internal Audit compliance
74300	ATS Share Brokers Private Limited	15,000	Delay in submitting Inspection compliance
74700	Horizon Financial Consultants Private Limited	200	Delay in scanning and uploading the DIS images
74700	Horizon Financial Consultants Private Limited	500	Inspection Observation
76000	Ambalal Shares and Stocks Private Limited	200	Delay in scanning and uploading the DIS images
76400	Wealth Discovery Securities Private Limited	2,500	Delay Submission of Surveillance Alerts Response
76700	Bhansali Value Creations Private Limited	400	Delay in scanning and uploading the DIS images
76700	Bhansali Value Creations Private Limited	500	Delay Submission of Surveillance Alerts Response
77000	Rainbow Securities Private Limited	200	Delay in scanning and uploading the DIS images
83500	Wiinance Financial Services Private Limited	400	Delay in scanning and uploading the DIS images

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85800	Stellar Securities Private Limited	200	Delay in scanning and uploading the DIS images
86000	Baba Bhoothnath Trade and Commerce Limited	5,000	Delay in submitting Inspection compliance
86100	Aryaman Capital Markets Limited	400	Delay in scanning and uploading the DIS images
87500	Kedia Capital Services Private Limited	300	Delay in scanning and uploading the DIS images
88600	Bajaj Financial Securities Limited	1,000	Delay Submission of Surveillance Alerts Response
89400	Fyers Securities Private Limited	500	Delay Submission of Surveillance Alerts Response
90400	PRL Stock & Share Brokers Private Limited	800	Delay in scanning and uploading the DIS images
91000	Incred Capital Wealth Portfolio Managers Private Limited	500	Delay Submission of Surveillance Alerts Response
92400	Enrich Financial Market Private Limited	6,500	Delay Submission of Surveillance Alerts Response
94000	Kalpalabdhi Financials Private Limited	400	Delay in scanning and uploading the DIS images
94100	Algoquant Fintech Limited	300	Delay in scanning and uploading the DIS images
94700	Definedge Securities Broking Private Limited	400	Delay in scanning and uploading the DIS images
94800	Torus Financial Markets Private Limited	97,000	Delay Submission of Surveillance Alerts Response
95400	Signatureglobal Comtrade Private Limited	500	Inspection Observation
95500	Indstocks Private Limited	63,500	Delay Submission of Surveillance Alerts Response
96100	Bondbazaar Securities Private Limited	1,000	Delay in scanning and uploading the DIS images
96400	NU Investors Technologies Pvt Ltd	200	Delay in scanning and uploading the DIS images
96400	NU Investors Technologies Pvt Ltd	2,12,000	Delay Submission of Surveillance Alerts Response
98100	SB Patil Securities Private Limited	2,000	Non-Submission of Internal Audit Report
99000	Maliram Makharia Finstock Private Limited	1,000	Delay Submission of Surveillance Alerts Response
99800	Pocketful Fintech Capital Private Limited	58,000	Delay Submission of Surveillance Alerts Response

DP ID	Dp Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
100100	Aaritya Broking Private Limited	7,000	Delay Submission of Surveillance Alerts Response

Details of Penalty Levied on RTAs directly connected to Depository:

RTAs	RTAs/ Issuers Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
110	BIGSHARE SERVICES PRIVATE LIMITED	2,000	RTA Internal Audit Report Compliance not submitted