

MONTHLY STATUS REPORT FOR MONETARY PENALTY – FEBRUARY 2026

Details of Penalty Levied on DPs:

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
10400	BCB Brokerage Private Limited	500	PAN Modification
10600	Anand Rathi Share And Stock Brokers Limited	6,000	Investor Grievance driven penalty
10700	KRChoksey Shares and Securities Private Limited	500	PAN Modification
10900	Motilal Oswal Financial Services Limited	1,000	Inspection Observation
11800	Wallfort Financial Services Limited	500	PAN Modification
11903	BOI Services Limited	200	Delay in scanning and uploading the DIS images
12500	Churiwala Securities Private Limited	1,000	Inspection Observation
13200	Asit C Mehta Investment Interrmediates Ltd	500	PAN Modification
15000	Abhipra Capital Limited	1,000	Inspection Observation
15200	ACML Capital Markets Limited	200	Delay in scanning and uploading the DIS images
15400	The Greater Bombay Co-Operative Bank Limited	43,000	Delay Submission of Cyber Security Audit Report
16700	VSE Stock Services Limited	500	PAN Modification
17701	Hem Securities Limited - Jaipur	500	PAN Modification
19800	Ans Private Limited	1,000	PAN Modification
20800	BOI Services Limited	1,000	PAN Modification
23400	Daily Gong Financial Services Limited	500	PAN Modification
24200	Trustline Securities Limited	1,000	Inspection Observation
24700	Mangal Keshav Financial Services LLP	200	Delay in scanning and uploading the DIS images
25900	Union Bank of India	5,700	Delay in scanning and uploading the DIS images
25900	Union Bank of India	1,000	PAN Modification
27000	SMC Global Securities Limited - Mumbai Main	500	PAN Modification
28900	Sushil Financial Services Private Limited	1,500	Delay Submission of Cyber Security Audit Report
28900	Sushil Financial Services Private Limited	500	PAN Modification
30000	LKP Securities Limited	500	PAN Modification
31600	Kalpataru Multiplier Limited	400	Delay in scanning and uploading the DIS images
32600	Manali Trading and Holdings Pvt Ltd	25,000	Delay in submitting Inspection compliance
33200	Angel One Limited	1,000	Investor Grievance driven penalty
33200	Angel One Limited	2,000	Inspection Observation

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
35800	The Akola Urban Cooperative Bank Limited, Akola	45,500	Non-Submission of Cyber Security Audit Report
35800	The Akola Urban Cooperative Bank Limited, Akola	2,000	Delay in submitting Internal Audit compliance
36000	Sharekhan Limited	200	Delay in scanning and uploading the DIS images
38700	Central Bank of India	45,500	Non-Submission of Cyber Security Audit Report
40100	Paterson Securities Private Limited	45,500	Delay Submission of Cyber Security Audit Report
40100	Paterson Securities Private Limited	200	Delay in scanning and uploading the DIS images
40300	SVC Co-Operative Bank Limited	23,000	Delay Submission of Cyber Security Audit Report
40400	Anush Shares and Securities Private Limited	2,000	Delay in submitting Internal Audit compliance
42100	Khajanchi And Gandhi Stockbroking Private Limited	9,000	Delay Submission of Cyber Security Audit Report
42100	Khajanchi And Gandhi Stockbroking Private Limited	200	Delay in scanning and uploading the DIS images
42300	RR Equity Brokers Private Limited	1,000	Inspection Observation
43300	Exclusive Securities Limited	9,000	Delay Submission of Cyber Security Audit Report
44700	IIFL Capital Services Limited	6,000	Inspection Observation
45500	Dealmoney Commodities Private Limited	1,000	Delay Submission of BO Grievance
45500	Dealmoney Commodities Private Limited	1,000	Investor Grievance driven penalty
47600	Sharewealth Securities Limited	500	PAN Modification
48000	Finquest Securities Private Limited	33,000	Delay Submission of Cyber Security Audit Report
48600	AFN Langrana Share and Stock Brokers Private Limited	25,500	Delay Submission of Cyber Security Audit Report
48600	AFN Langrana Share And Stock Brokers Private Limited	3,000	Delay in submitting Internal Audit compliance
53200	VCK Share and Stock Broking Services Ltd.	6,000	Delay Submission of Cyber Security Audit Report
53700	Comfort Securities Limited	2,000	Delay in submitting Internal Audit compliance
54500	HSB Securities & Equities Limited	1,400	Delay in scanning and uploading the DIS images
56500	Multiplex Capital Limited	1,500	Delay Submission of Cyber Security Audit Report
57100	GRD Securities Limited	200	Delay in scanning and uploading the DIS images
57800	AUM Capital Market Private Limited	200	Inspection Observation
58900	New Berry Capitals Private Limited	200	Delay in scanning and uploading the DIS images

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
61200	SPFL Securities Limited	900	Delay in scanning and uploading the DIS images
61600	Garg Securities Private Limited	3,000	Delay Submission of Cyber Security Audit Report
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
66900	Choice Equity Broking Private Limited	5,800	Delay in scanning and uploading the DIS images
67800	JRK Stock Broking Private Limited	300	Delay in scanning and uploading the DIS images
68100	FRR Shares and Securities Limited	3,000	Delay Submission of Cyber Security Audit Report
70400	Multigain Securities Services Private Limited	15,000	Delay in submitting Inspection compliance
70400	Multigain Securities Services Private Limited	2,000	Delay in submitting Internal Audit compliance
71300	A C Agarwal Share Brokers Private Limited	1,200	Delay in scanning and uploading the DIS images
71300	A C Agarwal Share Brokers Private Limited	24,200	Inspection Observation
71300	A C Agarwal Share Brokers Private Limited	1,000	PAN Modification
72000	Shree Bahubali Stock Broking Limited	7,500	Delay Submission of Cyber Security Audit Report
72000	Shree Bahubali Stock Broking Limited	5,000	Inspection Observation
74300	ATS Share Brokers Private Limited	800	Delay in scanning and uploading the DIS images
74400	Pinnacle Forex and Securities Private Limited	300	Delay in scanning and uploading the DIS images
74700	Horizon Financial Consultants Private Limited	200	Delay in scanning and uploading the DIS images
74800	P Suryakant Share And Stock Brokers Private Limited	500	PAN Modification
79700	F R Ratnagar and Company Private Limited	3,000	Delay in submitting Internal Audit compliance
80300	Flattrade Broking Private Limited	1,000	Investor Grievance driven penalty
80800	Sukesh Jain Securities Private Limited	500	PAN Modification
82400	Ganga Nagar Commodity Limited	2,000	Delay in submitting Internal Audit compliance
82500	5paisa Capital Limited	2,000	Delay Submission of Concurrent Audit of Risk Prone Areas Compliance
83000	J B S Securities Pvt Ltd	2,000	Delay in scanning and uploading the DIS images
83000	J B S Securities Pvt Ltd	5,000	Delay in submitting Inspection compliance

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
87400	Pluswealth Capital Management LLP	200	Delay in scanning and uploading the DIS images
87500	Kedia Capital Services Private Limited	200	Delay in scanning and uploading the DIS images
88400	Relitrade Stock Broking Private Limited	5,000	Delay in submitting Inspection compliance
88700	Groww Invest Tech Private Limited	25,000	Delay in submitting Special Inspection compliance
89400	Fyers Securities Private Limited	3,000	Delay in submitting Internal Audit compliance
90400	PRL Stock & Share Brokers Private Limited	5,000	Delay in submitting Inspection compliance
90400	PRL Stock & Share Brokers Private Limited	2,000	Delay in submitting Internal Audit compliance
93500	Anisha Fincap Consultants Limited	200	Delay in scanning and uploading the DIS images
94700	Definedge Securities Broking Private Limited	4,500	Delay Submission of Cyber Security Audit Report
96600	Neo Wealth Management Private Limited	500	PAN Modification
97700	Equirus Wealth Private Limited	2,000	Inspection Observation
98100	SB Patil Securities Private Limited	45,500	Delay Submission of Cyber Security Audit Report
98100	SB Patil Securities Private Limited	2,000	Non-Submission of Internal Audit Report
99300	Sunshine Finsec And Mercantile Limited	3,000	Delay in submitting Internal Audit compliance

Details of Penalty Levied on RTAs directly connected to Depository:

RTAs	RTAs Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
507	Mudra RTA Ventures Private Limited	3,000	RTA Inspection Observation
117	Freedom Registry Limited	2,000	Delay in submitting RTA Internal Audit compliance
505	Validus Fintech Services Private Limited	2,000	Delay in submitting RTA Internal Audit compliance