

## MONTHLY STATUS REPORT FOR MONETARY PENALTY – JANUARY 2025

### Details of Penalty Levied on DPs:

DP ID	DP Name	Imp Monetary	Audit Type/ Reasons
10000	STOCK HOLDING CORPORATION OF INDIA LTD. (INSTITUTIONAL)	100	PAN Modification
11200	INVENTURE GROWTH & SECURITIES LTD	100	PAN Modification
11200	INVENTURE GROWTH & SECURITIES LTD	50,000	Thematic Inspection
11300	PRABHUDAS LILLADHER PVT LTD	19,500	DIS not upload
12101	SURESH RATHI SECURITIES PRIVATE LIMITED - JODHPUR	100	PAN Modification
12500	CHURIWALA SECURITIES PRIVATE LIMITED	1,000	DIS not upload
12800	DINDAYAL BIYANI STOCK BROKERS LIMITED	300	DIS not upload
12900	R N PATWA SHARE & STOCK BROKERS (P) LTD	200	DIS not upload
13200	ASIT C. MEHTA INVESTMENT INTERMEDIATES LIMITED	200	PAN Modification
13800	BANK OF MAHARASHTRA	600	DIS not upload
13800	BANK OF MAHARASHTRA	100	PAN Modification
14100	ALANKIT ASSIGNMENTS LIMITED	200	DIS not upload
14101	ALANKIT ASSIGNMENTS LTD- JAIPUR	200	DIS not upload
14301	ICICI BANK LIMITED	600	DIS not upload
14400	IIFL SECURITIES LIMITED	200	DIS not upload
14800	IL&FS SECURITIES SERVICES LIMITED	2,000	Internal Audit
16400	MANSUKH SECURITIES AND FINANCE LIMITED	400	DIS not upload
16700	VSE STOCK SERVICES LIMITED	200	PAN Modification
17000	INDIRA SECURITIES PRIVATE LIMITED	2,100	DIS not upload
17000	INDIRA SECURITIES PRIVATE LIMITED	2,000	Internal Audit

DP ID	DP Name	Imp Monetary	Audit Type/ Reasons
17400	MSE FINANCIAL SERVICES LIMITED	200	DIS not upload
18600	SYKES & RAY EQUITIES (INDIA) LIMITED	1,000	DIS not upload
18600	SYKES & RAY EQUITIES (INDIA) LIMITED	5,000	Inspection
21800	SKP SECURITIES LIMITED	500	Inspection
23500	SUNIDHI SECURITIES & FINANCE LIMITED	200	DIS not upload
24400	MONEYCARE SECURITIES AND FINANCIAL SERVICES LIMITED	300	DIS not upload
24400	MONEYCARE SECURITIES AND FINANCIAL SERVICES LIMITED	2,000	Internal Audit
24700	MANGAL KESHAV FINANCIAL SERVICES LLP	100	PAN Modification
25000	M PRASAD & CO. LIMITED	300	DIS not upload
25900	UNION BANK OF INDIA	2,700	DIS not upload
25900	UNION BANK OF INDIA	300	PAN Modification
26002	INDUS PORTFOLIO PVT. LTD-JAIPUR	200	DIS not upload
28700	BP EQUITIES PRIVATE LIMITED	200	PAN Modification
28900	SUSHIL FINANCIAL SERVICES PRIVATE LIMITED	100	PAN Modification
28901	SUSHIL FINANCIAL SERVICES PRIVATE LIMITED-JALGAON	400	DIS not upload
29200	JSEL SECURITIES LIMITED	2,100	DIS not upload
29200	JSEL SECURITIES LIMITED	5,000	Inspection
29900	INDIABULLS SECURITIES LIMITED	100	PAN Modification
30000	LKP SECURITIES LIMITED	200	DIS not upload
30200	RELIGARE BROKING LIMITED	200	DIS not upload
32100	MANUBHAI MANGALDAS SECURITIES PRIVATE LIMITED	100	PAN Modification
32300	NUVAMA WEALTH AND INVESTMENT LIMITED	500	PENALTY POINTS
32600	MANALI TRADING & HOLDINGS PRIVATE LIMITED	300	DIS not upload
32600	MANALI TRADING & HOLDINGS PRIVATE LIMITED	25,000	Inspection
33200	ANGEL ONE LIMITED	400	PAN Modification

DP ID	DP Name	Imp Monetary	Audit Type/ Reasons
33500	BONANZA PORTFOLIO LIMITED	25,000	Inspection
34100	SSJ FINANCE & SECURITIES PRIVATE LIMITED	100	PAN Modification
34200	JAMNADAS VIRJI SHARES & STOCK BROKERS PRIVATE LIMITED	100	PAN Modification
35100	MARWADI SHARES AND FINANCE LIMITED	100	PAN Modification
35200	KELLTON SECURITIES PRIVATE LIMITED	600	DIS not upload
36700	ELIXIR EQUITIES PRIVATE LIMITED	300	DIS not upload
37800	GHANSHYAM SHARES AND STOCK BROKERS PRIVATE LIMITED	200	DIS not upload
38000	SHARE INDIA SECURITIES LIMITED	300	DIS not upload
38200	MARKET CREATORS LIMITED	300	DIS not upload
39800	FAIR INTERMEDIATE INVESTMENT PRIVATE LIMITED	5,000	Inspection
40400	ANUSH SHARES & SECURITIES PRIVATE LIMITED	2,000	Internal Audit
42100	KHAJANCHI & GANDHI STOCK BROKING PRIVATE LIMITED	3,300	DIS not upload
42100	KHAJANCHI & GANDHI STOCK BROKING PRIVATE LIMITED	100	PAN Modification
43800	RAIMA EQUITIES PRIVATE LIMITED	2,000	Internal Audit
44400	MARFATIA STOCK BROKING PRIVATE LIMITED	300	DIS not upload
44800	NNM SECURITIES PRIVATE LIMITED	1,500	DIS not upload
45000	SSPL SECURITIES PRIVATE LIMITED	200	DIS not upload
45500	DEALMONEY COMMODITIES PRIVATE LIMITED	800	DIS not upload
46200	SHREE NAMAN SECURITIES AND FINANCE PRIVATE LIMITED	200	DIS not upload
47200	SBICAP SECURITIES LIMITED	100	PAN Modification
47500	AMBIT CAPITAL PRIVATE LIMITED	200	DIS not upload
48400	KUNVARJI FINSTOCK PRIVATE LIMITED	5,000	Thematic Inspection
50900	INDO THAI SECURITIES LIMITED	400	DIS not upload

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51000	MITHUN SECURITIES PRIVATE LIMITED	300	DIS not upload
52200	BHH SECURITIES PRIVATE LIMITED	600	DIS not upload
52200	BHH SECURITIES PRIVATE LIMITED	10,000	Internal Audit
52200	BHH SECURITIES PRIVATE LIMITED	6,000	Internal Audit
52900	ADINATH CAPITAL SERVICES LIMITED	100	PAN Modification
53600	MUNOTH CAPITAL MARKET LIMITED	200	DIS not upload
54300	SHREE KANHA STOCK BROKING PRIVATE LIMITED	600	DIS not upload
54500	HSB SECURITIES & EQUITIES LIMITED	100	PAN Modification
58100	PUNE E STOCK BROKING LIMITED	2,700	DIS not upload
58300	NAVJEEVAN EQUITY BROKING PRIVATE LIMITED	1,500	DIS not upload
59100	LAKSHMISHREE INVESTMENT & SECURITIES PRIVATE LIMITED	300	DIS not upload
59100	LAKSHMISHREE INVESTMENT & SECURITIES PRIVATE LIMITED	15,000	Inspection
59100	LAKSHMISHREE INVESTMENT & SECURITIES PRIVATE LIMITED	200	PAN Modification
60700	AGROY FINANCE AND INVESTMENT LIMITED	200	DIS not upload
62000	SS CORPORATE SECURITIES LIMITED	2,000	Internal Audit
62800	SUNSHINE STOCK BROKING PRIVATE LIMITED	600	DIS not upload
63000	GRESHMA SHARES & STOCKS LIMITED	200	DIS not upload
63500	O3 SECURITIES PRIVATE LIMITED	300	DIS not upload
63600	FOCUS SHARES & SECURITIES PRIVATE LIMITED	200	DIS not upload
63900	MONEY LOGIX SECURITIES PRIVATE LIMITED	600	DIS not upload
64400	ALLWIN SECURITIES LIMITED	600	DIS not upload

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64800	ABANS SECURITIES PRIVATE LIMITED	600	DIS not upload
64900	ALB STOCK BROKING PRIVATE LIMITED	100	PAN Modification
65900	TRADESWIFT BROKING PRIVATE LIMITED	300	DIS not upload
67200	MARKET-HUB STOCK BROKING PRIVATE LIMITED	100	PAN Modification
67800	JRK STOCK BROKING PRIVATE LIMITED	600	DIS not upload
68800	QUEST SECURITIES LIMITED	200	Inspection
68800	QUEST SECURITIES LIMITED	1,000	Inspection
69400	BHAJEE PORTFOLIO PRIVATE LIMITED	2,700	DIS not upload
70100	HARDIK FINTRADE PRIVATE LIMITED	100	PAN Modification
70400	MULTIGAIN SECURITIES SERVICES PRIVATE LIMITED	600	DIS not upload
72800	CHUKNOO SECURITIES LIMITED	600	DIS not upload
73200	ARISTRO CAPITAL MARKETS LIMITED	1,000	Inspection
74200	VISHWAS FINCAP SERVICES PRIVATE LIMITED	600	DIS not upload
74200	VISHWAS FINCAP SERVICES PRIVATE LIMITED	2,000	Internal Audit
74300	ATS SHARE BROKERS PRIVATE LIMITED	25,000	Inspection
74400	PINNACLE FOREX AND SECURITIES PRIVATE LIMITED	200	DIS not upload
74900	SHRENI SHARES LIMITED	600	DIS not upload
76400	WEALTH DISCOVERY SECURITIES PRIVATE LIMITED	1,200	DIS not upload
81601	ZERODHA BROKING LIMITED	100	PAN Modification
82500	5PAISA CAPITAL LIMITED	200	DIS not upload
86600	PENTAD SECURITIES PRIVATE LIMITED	25,000	Inspection

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87700	GANESH STOCKINVEST PRIVATE LIMITED	200	DIS not upload
88400	RELITRADE STOCK BROKING PRIVATE LIMITED	600	DIS not upload
88400	RELITRADE STOCK BROKING PRIVATE LIMITED	15,000	Inspection
89200	SHREE BALAJI MULTICOMMODITIES PRIVATE LIMITED	400	DIS not upload
89600	RS WEALTH MANAGEMENT PRIVATE LIMITED	600	DIS not upload
89600	RS WEALTH MANAGEMENT PRIVATE LIMITED	500	Inspection
89800	OHM STOCK BROKER PRIVATE LIMITED	200	DIS not upload
90000	ESPRESSO FINANCIAL SERVICES PRIVATE LIMITED	25,000	Inspection
90100	SPARK PWM PRIVATE LIMITED	600	DIS not upload
90600	PRUDENT CORPORATE ADVISORY SERVICES LIMITED	100	PAN Modification
92100	FINWIZARD TECHNOLOGY PRIVATE LIMITED	400	DIS not upload
92100	FINWIZARD TECHNOLOGY PRIVATE LIMITED	100	PAN Modification
93400	VEDIKA STOCK BROKING PRIVATE LIMITED	200	DIS not upload
94100	GROWTH SECURITIES PRIVATE LIMITED	2,100	DIS not upload
94800	TORUS FINANCIAL MARKETS PRIVATE LIMITED	100	PAN Modification
95800	GYANDEEP STOCKS PRIVATE LIMITED	1,800	DIS not upload
95800	GYANDEEP STOCKS PRIVATE LIMITED	3,000	Internal Audit
96800	WEALTHYIN BROKING PRIVATE LIMITED	2,000	Internal Audit

**Details of Penalty Levied on RTAs/ Issuers directly connected to depository:**

<b>DP ID</b>	<b>DP Name</b>	<b>Imp Monetary</b>	<b>Audit Type/ Reasons</b>
107	KFIN TECHNOLOGIES LIMITED	2,000	RTA Internal Audit Report compliance not submitted.
110	BIGSHARE SERVICES PRIVATE LIMITED	2,000	RTA Internal Audit Report compliance not submitted.
126	MAS SERVICES LIMITED	2,000	RTA Internal Audit Report compliance not submitted.
296	SANWARIA CONSUMER LIMITED	4,000	RTA Internal Audit Report Non-Submission of Report and IAR compliance not submitted
384	INDO MONEY SECURITIES PRIVATE LIMITED	4,000	RTA Internal Audit Report compliance not submitted.
19416	ISSUER - PALE HOLDINGS PRIVATE LIMITED # EQUITY SHARES	500	RTA Inspection
19414	ISSUER - GENERAL ESTATES & INVESTMENTS CORPORATION LIMITED # EQUITY SHARES	1,500	RTA Inspection
44964	ISSUER - SHREE HARI SPINTEX LIMITED # EQUITY SHARES	500	RTA Inspection