

## MONTHLY STATUS REPORT FOR MONETARY PENALTY – JANUARY 2026

### Details of Penalty Levied on DPs:

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
28700	BP EQUITIES PRIVATE LIMITED	2,500	Delay Submission of Cyber Incident Report
53700	COMFORT SECURITIES LIMITED	2,500	Delay Submission of Cyber Incident Report
56800	KJMC CAPITAL MARKET SERVICES LIMITED	2,500	Delay Submission of Cyber Incident Report
26900	MR SHARE BROKING PRIVATE LIMITED	10,000	Delay Submission of Cyber Incident Report
12800	DINDAYAL BIYANI STOCK BROKERS LIMITED	600	Delay in scanning and uploading the DIS images
13500	CIL SECURITIES LIMITED	1,400	Delay in scanning and uploading the DIS images
22500	RASHI EQUISEARCH PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
25000	M. PRASAD AND CO LIMITED	600	Delay in scanning and uploading the DIS images
25700	SHILPA STOCK BROKER PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
25900	UNION BANK OF INDIA	800	Delay in scanning and uploading the DIS images
28900	SUSHIL FINANCIAL SERVICES PRIVATE LIMITED	3,000	Delay in scanning and uploading the DIS images
31400	PRABHAT FINANCIAL SERVICES LIMITED	900	Delay in scanning and uploading the DIS images
33500	BONANZA PORTFOLIO LIMITED	200	Delay in scanning and uploading the DIS images
34900	SANGHAVI SAVLA STOCK BROKERS LIMITED	200	Delay in scanning and uploading the DIS images
39800	FAIR INTERMEDIATE INVESTMENT PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
42200	RAJVI STOCK BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
44800	NNM SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
48600	AFN LANGRANA SHARE AND STOCK BROKERS PRIVATE LIMITED	800	Delay in scanning and uploading the DIS images
52900	ADINATH CAPITAL SERVICES LIMITED	600	Delay in scanning and uploading the DIS images

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53600	MUNOTH CAPITAL MARKET LIMITED	200	Delay in scanning and uploading the DIS images
55600	A.K. STOCKMART PRIVATE LIMITED	1,200	Delay in scanning and uploading the DIS images
57800	AUM CAPITAL MARKET PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
59300	FORT SHARE BROKING PVT LTD	200	Delay in scanning and uploading the DIS images
60300	ALLEGRO SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
61200	SPFL SECURITIES LIMITED	600	Delay in scanning and uploading the DIS images
62400	SAJAG SECURITIES PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
65600	PSB SECURITIES LIMITED	1,800	Delay in scanning and uploading the DIS images
67800	JRK STOCK BROKING PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
72300	WEALTH FIRST PORTFOLIO MANAGERS LIMITED	200	Delay in scanning and uploading the DIS images
74400	PINNACLE FOREX AND SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
77800	BADJATE STOCK AND SHARES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
79600	RAJENDRA MODI SHARE BROKERS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
85800	STELLAR SECURITIES PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
88400	RELITRADE STOCK BROKING PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
89200	SHREE BALAJI MULTICOMMODITIES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
90200	HENSEX SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
90400	PRL STOCK & SHARE BROKERS PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
94100	ALGOQUANT FINTECH LIMITED	600	Delay in scanning and uploading the DIS images
95000	HDFC SECURITIES LIMITED-DP86700	200	Delay in scanning and uploading the DIS images
96400	NU INVESTORS TECHNOLOGIES PVT LTD	300	Delay in scanning and uploading the DIS images

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
10100	STOCK HOLDING CORPORATION OF INDIA LIMITED	500	PAN Modification
10101	STOCK HOLDING CORPORATION OF INDIA LTD.- NEW DELHI	500	PAN Modification
10600	ANAND RATHI SHARE AND STOCK BROKERS LIMITED	500	PAN Modification
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED	1,500	PAN Modification
13200	ASIT C MEHTA INVESTMENT INTERMEDIATES LTD	500	PAN Modification
16700	VSE STOCK SERVICES LIMITED	1,000	PAN Modification
17500	KANTILAL CHHAGANLAL SECURITIES PRIVATE LIMITED	500	PAN Modification
32300	NUVAMA WEALTH AND INVESTMENT LIMITED	1,000	PAN Modification
36800	D B (INTERNATIONAL) STOCK BROKERS LIMITED	1,500	PAN Modification
38700	CENTRAL BANK OF INDIA	500	PAN Modification
46200	SHREE NAMAN SECURITIES AND FINANCE PRIVATE LIMITED	500	PAN Modification
47200	SBICAP SECURITIES LIMITED	1,000	PAN Modification
54300	SHREE KANHA STOCK BROKING PRIVATE LIMITED	1,000	PAN Modification
56500	MULTIPLEX CAPITAL LIMITED	500	PAN Modification
65200	COMPOSITE INVESTMENTS PRIVATE LIMITED	500	PAN Modification
67400	ECONO BROKING PRIVATE LIMITED	500	PAN Modification
74800	P SURYAKANT SHARE AND STOCK BROKERS PRIVATE LIMITED	500	PAN Modification
20800	BOI SERVICES LIMITED	1,000	Investor Grievance driven penalty
25900	UNION BANK OF INDIA	500	Investor Grievance driven penalty
81800	UPSTOX SECURITIES PRIVATE LIMITED	2,000	Investor Grievance driven penalty
86700	HDFC SECURITIES LIMITED	1,000	Investor Grievance driven penalty
66900	CHOICE EQUITY BROKING PRIVATE LIMITED	500	Delay Submission of Surveillance Alerts Response
32600	MANALI TRADING AND HOLDINGS PVT LTD	10,000	Delay in submitting Inspection compliance
40400	ANUSH SHARES AND SECURITIES PRIVATE LIMITED	25,000	Delay in submitting Inspection compliance
42800	FORTUNE FISCAL LTD	5,000	Delay in submitting Inspection compliance

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54500	HSB SECURITIES & EQUITIES LIMITED	5,000	Delay in submitting Inspection compliance
74300	ATS SHARE BROKERS PRIVATE LIMITED	25,000	Delay in submitting Inspection compliance
88700	GROWW INVEST TECH PRIVATE LIMITED	15,000	Delay in submitting Special Inspection compliance
95800	GYANDEEP STOCKS PRIVATE LIMITED	5,000	Delay in submitting Inspection compliance
10705	KISAN RATILAL CHOKSEY SHARES & SECURITIES PVT LTD-BARDOLI	3,500	Inspection Observation
33400	ACEMONEY INTERMEDIARIES PRIVATE LIMITED	1,000	Inspection Observation
38000	SHARE INDIA SECURITIES LIMITED.	1,000	Inspection Observation
46900	FE SECURITIES PRIVATE LIMITED	1,000	Inspection Observation
82500	5PAISA CAPITAL LIMITED	4,62,000	Special Inspection Observation
90600	PRUDENT CORPORATE ADVISORY SERVICES LIMITED	1,000	Inspection Observation
94800	TORUS FINANCIAL MARKETS PRIVATE LIMITED	2,000	Delay in submitting Internal Audit compliance
98100	SB PATIL SECURITIES PRIVATE LIMITED	2,000	Non-Submission of Internal Audit Report

**Details of Penalty Levied on RTAs directly connected to Depository:**

RTAs	RTAs Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
152	MAHESHWARI DATAMATICS PVT. LIMITED	1,500	RTA Inspection Observation
164	NICHE TECHNOLOGIES PRIVATE LIMITED	11,500	RTA Inspection Observation