

MONTHLY STATUS REPORT FOR MONETARY PENALTY – July 2026

Details of Penalty Levied on DPs:

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
10600	ANAND RATHI SHARE AND STOCK BROKERS LIMITED	5,000	Delay in submitting Thematic Inspection compliance
10600	ANAND RATHI SHARE AND STOCK BROKERS LIMITED	500	PAN Modification
10700	KRCHOKSEY SHARES AND SECURITIES PRIVATE LIMITED	1,000	Inspection Observation
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED	1,000	PAN Modification
10919	MOTILAL OSWAL FINANCIAL SERVICES LIMITED-KOLHAPUR	200	Delay in scanning and uploading the DIS images
11200	INVENTURE GROWTH & SECURITIES LTD	200	Delay in scanning and uploading the DIS images
11900	BOI SERVICES LIMITED	200	Delay in scanning and uploading the DIS images
12100	SURESH RATHI SECURITIES PRIVATE LIMITED	1,000	DP Operational non-compliance
12200	CENTRUM FINVERSE LIMITED	200	Delay in scanning and uploading the DIS images
13200	ASIT C MEHTA INVESTMENT INTERMEDIATES LTD	200	Delay in scanning and uploading the DIS images
13800	BANK OF MAHARASHTRA	1,200	Delay in scanning and uploading the DIS images
13900	DEUTSCHE BANK A.G.	10,500	Non Submission of SYSTEM AUDIT REPORT
14300	ICICI BANK LIMITED	200	Delay in scanning and uploading the DIS images
14400	IIFL CAPITAL SERVICES LIMITED	3,600	Delay in scanning and uploading the DIS images
15000	ABHIPRA CAPITAL LIMITED	200	Delay in scanning and uploading the DIS images
15400	THE GREATER BOMBAY CO-OPERATIVE BANK LIMITED	500	PAN Modification
16200	AMU SHARES AND SECURITIES LIMITED	3,000	Non Submission of SYSTEM AUDIT REPORT
17000	INDIRA SECURITIES PRIVATE LIMITED (TRF.)	200	Delay in scanning and uploading the DIS images
17600	ICICI BANK LIMITED -JAIPUR MAIN BRANCH	200	Delay in scanning and uploading the DIS images
17700	HEM SECURITIES LIMITED - JAIPUR	200	Delay in scanning and uploading the DIS images
18700	BOB CAPITAL MARKETS LIMITED	500	PAN Modification
18800	INTEGRATED MASTER SECURITIES LIMITED	3,000	Non Submission of SYSTEM AUDIT REPORT
19900	RAJKOT NAGARIK SAHKARI BANK LIMITED	13,000	Non Submission of CYBER SECURITY AUDIT REPORT

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
23900	COCHIN STOCK BROKERS LIMITED	600	Delay in scanning and uploading the DIS images
24500	R. B. K. SHARE BROKING LIMITED	1,000	Inspection Observation
24700	MANGAL KESHAV FINANCIAL SERVICES LLP	500	PAN Modification
25000	M. PRASAD AND CO LIMITED	600	Delay in scanning and uploading the DIS images
25400	LSC SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
25900	UNION BANK OF INDIA	200	Delay in scanning and uploading the DIS images
25900	UNION BANK OF INDIA	500	PAN Modification
27700	CD EQUISEARCH PVT LTD	1,500	PAN Modification
28700	BP EQUITIES PRIVATE LIMITED	500	PAN Modification
28700	BP EQUITIES PRIVATE LIMITED	1,500	Non Submission of SYSTEM AUDIT REPORT
29400	SAURASHTRA CAPITAL BROKING PRIVATE LIMITED	1,500	Non Submission of CYBER SECURITY AUDIT REPORT
29900	INDIABULLS SECURITIES LIMITED	5,000	DP Operational non-compliance
29900	INDIABULLS SECURITIES LIMITED	1,000	Delay in submitting Surveillance Alerts Response
30700	KOTAK SECURITIES LIMITED	3,000	Non Submission of SYSTEM AUDIT REPORT
31600	KALPATARU MULTIPLIER LIMITED	1,200	Delay in scanning and uploading the DIS images
33200	ANGEL ONE LIMITED	50,000	Delay in submitting Special Inspection compliance
33200	ANGEL ONE LIMITED	10,000	Delay in submitting Thematic Inspection compliance
33200	ANGEL ONE LIMITED	25,000	Delay in submitting Thematic Inspection compliance
36200	INANI SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
36800	D B (INTERNATIONAL) STOCK BROKERS LIMITED	200	Delay in scanning and uploading the DIS images
37100	KEDIA SHARES AND STOCKS BROKERS LIMITED	200	Delay in scanning and uploading the DIS images
37800	GHANSHYAM SHARE AND STOCK BROKERS PRIVATE LIMITED	1,500	Non Submission of SYSTEM AUDIT REPORT
37900	PHILLIPCAPITAL (INDIA) PRIVATE LIMITED	500	PAN Modification
38000	SHARE INDIA SECURITIES LIMITED.	9,000	Non Submission of SYSTEM AUDIT REPORT
38700	CENTRAL BANK OF INDIA	4,000	Inspection Observation
38700	CENTRAL BANK OF INDIA	500	PAN Modification
38700	CENTRAL BANK OF INDIA	45,500	Non Submission of CYBER SECURITY AUDIT REPORT
38700	CENTRAL BANK OF INDIA	35,500	Non Submission of SYSTEM AUDIT REPORT

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
40100	PATERSON SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
40300	SVC CO-OPERATIVE BANK LIMITED	4,500	Non Submission of CYBER SECURITY AUDIT REPORT
40400	ANUSH SHARES AND SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
40400	ANUSH SHARES AND SECURITIES PRIVATE LIMITED	3,000	Non Submission of SYSTEM AUDIT REPORT
41000	PUMARTH CREDIT AND CAPITAL LIMITED	200	Delay in scanning and uploading the DIS images
41500	JAINAM BROKING LIMITED	5,000	Delay in submitting PAN Anamolies compliance
41500	JAINAM BROKING LIMITED	3,400	Delay in scanning and uploading the DIS images
42100	KHAJANCHI AND GANDHI STOCKBROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
43000	ARIHANT CAPITAL MARKETS LIMITED	3,000	Non Submission of SYSTEM AUDIT REPORT
43300	EXCLUSIVE SECURITIES LIMITED	4,500	Non Submission of CYBER SECURITY AUDIT REPORT
43700	SWASTIKA INVESTMART LIMITED	900	Delay in scanning and uploading the DIS images
44500	ITI SECURITIES BROKING LIMITED	500	PAN Modification
44500	ITI SECURITIES BROKING LIMITED	1,000	DP Operational non-compliance
44800	NNM SECURITIES PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
45500	DEALMONEY COMMODITIES PRIVATE LIMITED	1,500	Non Submission of CYBER SECURITY AUDIT REPORT
47200	SBICAP SECURITIES LIMITED	1,000	PAN Modification
47700	NORTHEAST BROKING SERVICES LIMITED	1,500	Non Submission of SYSTEM AUDIT REPORT
47800	MANASHVI SECURITIES LIMITED	300	Delay in scanning and uploading the DIS images
47800	MANASHVI SECURITIES LIMITED	1,000	Investor Grievance Report - Data submitted is found to be false/ incorrect
49800	PACE STOCK BROKING SERVICES PRIVATE LIMITED	3,000	Non Submission of CYBER SECURITY AUDIT REPORT
49800	PACE STOCK BROKING SERVICES PRIVATE LIMITED	3,000	Non Submission of SYSTEM AUDIT REPORT
50500	ARCH FINANCE LIMITED	1,500	Non Submission of SYSTEM AUDIT REPORT
51000	MITHUN SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
52900	ADINATH PROGRESSIVE LIMITED	400	Delay in scanning and uploading the DIS images
53600	MUNOTH CAPITAL MARKET LIMITED	300	Delay in scanning and uploading the DIS images
56300	FARSIGHT SECURITIES LIMITED	1,500	Non Submission of CYBER SECURITY AUDIT REPORT

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
56300	FARSIGHT SECURITIES LIMITED	1,500	Non Submission of SYSTEM AUDIT REPORT
56500	MULTIPLEX CAPITAL LIMITED	4,500	Non Submission of CYBER SECURITY AUDIT REPORT
56500	MULTIPLEX CAPITAL LIMITED	15,500	Non Submission of SYSTEM AUDIT REPORT
59100	LAKSHMISHREE INVESTMENT AND SECURITIES LIMITED	500	PAN Modification
61100	IFCI FINANCIAL SERVICES LIMITED	5,000	Inspection Observation
61400	RUDRA SHARES AND STOCK BROKERS LIMITED	200	Delay in scanning and uploading the DIS images
61600	GARG SECURITIES PRIVATE LIMITED	1,500	Non Submission of CYBER SECURITY AUDIT REPORT
62200	M J PATEL SHARE AND STOCK BROKERS LIMITED	200	Delay in scanning and uploading the DIS images
62400	SAJAG SECURITIES PRIVATE LIMITED	1,500	Non Submission of SYSTEM AUDIT REPORT
62800	SUNSHINE STOCK BROKING PRIVATE LIMITED	1,500	Non Submission of SYSTEM AUDIT REPORT
63500	BUGLEROCK CAPITAL PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
64800	ABANS SECURITIES PRIVATE LIMITED	3,000	Non Submission of CYBER SECURITY AUDIT REPORT
64800	ABANS SECURITIES PRIVATE LIMITED	1,500	Non Submission of SYSTEM AUDIT REPORT
66800	ELITE WEALTH LIMITED	200	Delay in scanning and uploading the DIS images
66900	CHOICE EQUITY BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
67200	MARKET-HUB STOCK BROKING PRIVATE LIMITED	500	Inspection Observation
67800	JRK STOCK BROKING PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
68100	FRR SHARES AND SECURITIES LIMITED	1,500	Non Submission of CYBER SECURITY AUDIT REPORT
69000	MOTISONS SHARES LIMITED	1,500	Delay in scanning and uploading the DIS images
69400	BHAJEE BROKING & INVESTMENTS PRIVATE LIMITED	1,500	Non Submission of CYBER SECURITY AUDIT REPORT
69700	RAGHUNANDAN CAPITAL PRIVATE LIMITED	10,000	Inspection Observation
70300	GLOBALWORTH SECURITIES LIMITED	1,500	Non Submission of CYBER SECURITY AUDIT REPORT
70800	GANPATI FINSEC PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
70800	GANPATI FINSEC PRIVATE LIMITED	1,500	Non Submission of CYBER SECURITY AUDIT REPORT
72000	SHREE BAHUBALI STOCK BROKING LIMITED	1,500	Non Submission of CYBER SECURITY AUDIT REPORT
74300	ATS SHARE BROKERS PRIVATE LIMITED	1,500	Non Submission of CYBER SECURITY AUDIT REPORT

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
74300	ATS SHARE BROKERS PRIVATE LIMITED	1,500	Non Submission of SYSTEM AUDIT REPORT
74900	SHRENI SHARES LIMITED	400	Delay in scanning and uploading the DIS images
78500	SHREE TISAI SECURITIES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
79300	MUTHOOT FINCORP LIMITED	4,500	Non Submission of SYSTEM AUDIT REPORT
79600	RAJENDRA MODI SHARE BROKERS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
79700	F R RATNAGAR AND COMPANY PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
79700	F R RATNAGAR AND COMPANY PRIVATE LIMITED	1,500	Non Submission of CYBER SECURITY AUDIT REPORT
80100	INDIAN CLEARING CORPORATION LIMITED	1,500	Non Submission of SYSTEM AUDIT REPORT
81400	FIRSTOCK BROKING PRIVATE LIMITED	1,500	Non Submission of SYSTEM AUDIT REPORT
81600	ZERODHA BROKING LIMITED	1,000	DP Operational non-compliance
82500	5PAISA CAPITAL LIMITED	50,000	Delay in submitting Special Inspection compliance
83000	J B S SECURITIES PVT LTD	200	Delay in scanning and uploading the DIS images
83600	PROFITMART SECURITIES PRIVATE LIMITED	500	PAN Modification
84100	SPARK SECURITIES PVT LTD	200	Delay in scanning and uploading the DIS images
85500	WEALTHSTREET FINANCIAL SERVICES PRIVATE LIMITED	200	Inspection Observation
85700	RAMANIKLAL MOHANLAL CAPITAL MARKETS PVT LTD	1,500	Non Submission of SYSTEM AUDIT REPORT
87500	KEDIA CAPITAL SERVICES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
87500	KEDIA CAPITAL SERVICES PRIVATE LIMITED	2,000	Inspection Observation
88000	FEDERAL CAPITAL MARKETS LIMITED	1,000	Investor Grievance Report - Data submitted is found to be false/ incorrect
88000	FEDERAL CAPITAL MARKETS LIMITED	1,500	Non Submission of SYSTEM AUDIT REPORT
88700	GROWW INVEST TECH PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
88700	GROWW INVEST TECH PRIVATE LIMITED	5,000	DP Operational non-compliance
90100	SPARK PWM PRIVATE LIMITED	1,000	DP Operational non-compliance
90300	MONEYWISE FINVEST LIMITED	1,500	Non Submission of CYBER SECURITY AUDIT REPORT
91200	SVCM SECURITIES PRIVATE LIMITED	45,500	Non Submission of CYBER SECURITY AUDIT REPORT
92200	BIGCAPITA SECURITIES PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
93000	ORACLE SECURITIES PRIVATE LIMITED	3,000	Non Submission of SYSTEM AUDIT REPORT
93100	GOPALJI BROKING PRIVATE LIMITED	18,000	Non Submission of SYSTEM AUDIT REPORT
95400	SIGNATUREGLOBAL COMTRADE PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
96100	BONDBAZAAR SECURITIES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
98500	SKI CAPITAL SERVICES LIMITED	1,500	Non Submission of CYBER SECURITY AUDIT REPORT
98700	ANGEL SECURITIES LIMITED	45,500	Non Submission of SYSTEM AUDIT REPORT
98900	OUR BROKING SERVICES LLP	500	PAN Modification
99000	MALIRAM MAKHARIA FINSTOCK PRIVATE LIMITED	3,000	Non Submission of SYSTEM AUDIT REPORT
99600	FINDOC INVESTMART PRIVATE LIMITED	1,500	Non Submission of SYSTEM AUDIT REPORT
99800	POCKETFUL FINTECH CAPITAL PRIVATE LIMITED	1,500	Non Submission of SYSTEM AUDIT REPORT
100200	AUM SECURITIES PRIVATE LIMITED	4,500	Non Submission of SYSTEM AUDIT REPORT
101800	TRIVENI MANAGEMENT CONSULTANCY SERVICES LIMITED	10,500	Non Submission of SYSTEM AUDIT REPORT

Details of Penalty Levied on RTAs directly connected to Depository:

RTA	RTA Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
117	FREEDOM REGISTRY LIMITED	2,000	Delay in submitting RTA Internal Audit compliance
155	XL SOFTECH SYSTEMS LIMITED	2,000	Delay in submitting RTA Internal Audit compliance
177	UTI INFRASTRUCTURE TECHNOLOGY AND SERVICES LTD	1,000	Delay in submitting Investor Grievance Report
244	MCS SHARE TRANSFER AGENT LIMITED - MUMBAI	5,000	Inspection Observation