

MONTHLY STATUS REPORT FOR MONETARY PENALTY – June 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 | 1,000 | PAN Modification |
| 10600 | ANAND RATHI SHARE AND STOCK BROKERS LIMITED | 500 | Delay in submitting Surveillance Alerts Response |
| 10700 | KRCHOKSEY SHARES AND SECURITIES PRIVATE LIMITED | 500 | PAN Modification |
| 10900 | MOTILAL OSWAL FINANCIAL SERVICES LIMITED | 500 | PAN Modification |
| 10900 | MOTILAL OSWAL FINANCIAL SERVICES LIMITED | 500 | Delay in submitting Surveillance Alerts Response |
| 12101 | SURESH RATHI SECURITIES PRIVATE LIMITED - JODHPUR | 200 | Delay in scanning and uploading the DIS images |
| 12800 | DINDAYAL BIYANI STOCK BROKERS LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 14300 | ICICI BANK LIMITED | 1,000 | DP Operational non-compliance |
| 15400 | THE GREATER BOMBAY CO-OPERATIVE BANK LIMITED | 1,000 | PAN Modification |
| 16400 | MANSUKH SECURITIES AND FINANCE LIMITED | 500 | PAN Modification |
| 16700 | VSE STOCK SERVICES LIMITED | 2,200 | Inspection Observation |
| 17400 | DAILY GONG FINANCIAL SERVICES LIMITED | 15,000 | Delay in submitting Inspection compliance |
| 18000 | SKSE SECURITIES LIMITED | 2,000 | Non Submission of Concurrent Audit |
| 19101 | SMC GLOBAL SECURITIES LIMITED - NEW DELHI | 500 | PAN Modification |
| 19200 | C R KOTHARI AND SONS SHARES AND STOCK BROKERS PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 20800 | BOI SERVICES LIMITED | 1,000 | PAN Modification |
| 24201 | TRUSTLINE SECURITIES LIMITED- CHANDIGARH | 200 | Delay in scanning and uploading the DIS images |
| 24700 | MANGAL KESHAV FINANCIAL SERVICES LLP | 500 | PAN Modification |
| 25700 | SHILPA STOCK BROKER PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 25900 | UNION BANK OF INDIA | 1,000 | PAN Modification |
| 30000 | LKP SECURITIES LIMITED | 500 | PAN Modification |

| DP ID | DP Name | Penalty Imposed (Rs.) | Audit Type/ Reasons |
|-------|--|-----------------------|---|
| 33200 | ANGEL ONE LIMITED | 10,000 | Delay in submitting Thematic Inspection compliance |
| 33200 | ANGEL ONE LIMITED | 5,000 | Delay in submitting Thematic Inspection compliance |
| 33200 | ANGEL ONE LIMITED | 10,000 | Delay in submitting Thematic Inspection compliance |
| 33200 | ANGEL ONE LIMITED | 500 | PAN Modification |
| 33500 | BONANZA PORTFOLIO LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 33800 | INNOVATE SECURITIES PVT LTD | 500 | PAN Modification |
| 36000 | SHAREKHAN LIMITED | 5,000 | Delay in submitting PAN Anomalies compliance |
| 36600 | MAVERICK SHARE BROKERS PRIVATE LIMITED | 300 | Delay in scanning and uploading the DIS images |
| 39100 | SAAKETA INVESTMENT SERVICES LIMITED | 400 | Delay in scanning and uploading the DIS images |
| 39800 | FAIR INTERMEDIATE INVESTMENT PRIVATE LIMITED | 500 | PAN Modification |
| 40800 | UNION BANK OF INDIA | 500 | PAN Modification |
| 41400 | INDUSIND SECURITIES LIMITED | 1,000 | Investor Grievance Report - Data submitted is found to be false/ incorrect. |
| 41700 | BHOGILAL TRIKAMLAL SECURITIES PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 43100 | R WADIWALA SECURITIES PRIVATE LIMITED | 1,000 | Inspection Observation |
| 43700 | SWASTIKA INVESTMART LIMITED | 400 | Delay in scanning and uploading the DIS images |
| 44800 | NNM SECURITIES PRIVATE LIMITED | 400 | Delay in scanning and uploading the DIS images |
| 47200 | SBICAP SECURITIES LIMITED | 500 | PAN Modification |
| 47800 | MANASHVI SECURITIES LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 48600 | AFN LANGRANA SHARE AND STOCK BROKERS PRIVATE LIMITED | 15,000 | Delay in submitting Inspection compliance |
| 48600 | AFN LANGRANA SHARE AND STOCK BROKERS PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 48800 | CHOLAMANDALAM SECURITIES LIMITED | 200 | Delay in scanning and uploading the DIS images |

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|-------|---|-----------------------|---|
| 49800 | PACE STOCK BROKING SERVICES PRIVATE LIMITED | 3,000 | Inspection Observation |
| 53600 | MUNOTH CAPITAL MARKET LIMITED | 400 | Delay in scanning and uploading the DIS images |
| 54500 | HSB SECURITIES & EQUITIES LIMITED | 3,600 | Delay in scanning and uploading the DIS images |
| 62900 | WAY2WEALTH BROKERS PRIVATE LIMITED | 5,500 | PAN Modification |
| 65900 | TRADESWIFT BROKING PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 66900 | CHOICE EQUITY BROKING PRIVATE LIMITED | 500 | Delay in submitting Surveillance Alerts Response |
| 67800 | JRK STOCK BROKING PRIVATE LIMITED | 300 | Delay in scanning and uploading the DIS images |
| 68500 | NINE STAR BROKING PRIVATE LIMITED | 1,000 | Investor Grievance Report - Data submitted is found to be false/ incorrect. |
| 69000 | MOTISONS SHARES LIMITED | 300 | Delay in scanning and uploading the DIS images |
| 70200 | TRADEBULLS SECURITIES PRIVATE LIMITED | 500 | PAN Modification |
| 70800 | GANPATI FINSEC PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 72000 | SHREE BAHUBALI STOCK BROKING LIMITED | 25,000 | Delay in submitting Inspection compliance |
| 72800 | CHUKNOO SECURITIES LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 76700 | BHANSALI VALUE CREATIONS PRIVATE LIMITED | 4,000 | Delay in submitting Surveillance Alerts Response |
| 80800 | SUKESH JAIN SECURITIES PRIVATE LIMITED | 500 | PAN Modification |
| 81800 | UPSTOX SECURITIES PRIVATE LIMITED | 1,000 | DP Operational non-compliance |
| 83400 | RAISE SECURITIES PRIVATE LIMITED | 1,63,500 | Delay in submitting Surveillance Alerts Response |
| 88100 | BgSE FINANCIALS LIMITED | 500 | PAN Modification |
| 89400 | FYERS SECURITIES PRIVATE LIMITED | 5,000 | Delay in submitting Inspection compliance |
| 91300 | INDBANK MERCHANT BANKING SERVICES LTD | 200 | Delay in scanning and uploading the DIS images |
| 92200 | BIGCAPITA SECURITIES PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |

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|--------|---|-----------------------|--|
| 96200 | FOCUS STOCK BROKERS LIMITED | 600 | Delay in scanning and uploading the DIS images |
| 98200 | AUTUS SECURITIES PRIVATE LIMITED | 400 | Delay in scanning and uploading the DIS images |
| 99000 | MALIRAM MAKHARIA FINSTOCK PRIVATE LIMITED | 500 | Inspection Observation |
| 99000 | MALIRAM MAKHARIA FINSTOCK PRIVATE LIMITED | 500 | Delay in submitting Surveillance Alerts Response |
| 101000 | STABLE BROKING PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 101000 | STABLE BROKING PRIVATE LIMITED | 1,000 | DP Operational non-compliance |
| 102900 | O J FINANCIAL SERVICES LIMITED | 4,200 | Delay in scanning and uploading the DIS images |

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 |