

MONTHLY STATUS REPORT FOR MONETARY PENALTY – MARCH 2025

Details of Penalty Levied on DPs:

| DP ID | DP Name | Imp Monetary | Audit Type/ Reasons |
|-------|--|--------------|--|
| 10100 | STOCK HOLDING CORPORATION OF INDIA LTD. (RETAIL) | 15 | Delay in payment |
| 10600 | ANAND RATHI SHARE AND STOCK BROKERS LIMITED | 100 | PAN Modification |
| 10608 | ANAND RATHI SHARE AND STOCK BROKERS LIMITED - INDORE | 100 | PAN Modification |
| 10700 | KRCHOKSEY SHARES AND SECURITIES PVT LTD | 300 | PAN Modification |
| 11700 | DALAL & BROACHA STOCK BROKING PVT. LTD | 300 | Delay in scanning and uploading the DIS images |
| 12000 | SVV SHARES & STOCK BROKERS PVT. LTD. | 200 | Delay in scanning and uploading the DIS images |
| 12100 | SURESH RATHI SECURITIES PRIVATE LIMITED | 600 | Delay in scanning and uploading the DIS images |
| 12101 | SURESH RATHI SECURITIES PRIVATE LIMITED - JODHPUR | 200 | Delay in scanning and uploading the DIS images |
| 12600 | GEPL CAPITAL PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 12800 | DINDAYAL BIYANI STOCK BROKERS LIMITED | 15000 | Delay in submitting Inspection compliance |
| 12900 | R N PATWA SHARE & STOCK BROKERS (P) LTD | 5000 | Delay in submitting Inspection compliance |
| 13800 | BANK OF MAHARASHTRA | 1600 | Delay in scanning and uploading the DIS images |
| 15400 | THE GREATER BOMBAY CO-OPERATIVE BANK LIMITED | 400 | Delay in scanning and uploading the DIS images |
| 16700 | VSE STOCK SERVICES LIMITED | 100 | PAN Modification |
| 17000 | INDIRA SECURITIES PRIVATE LIMITED | 2000 | IAR Compliance not submitted |
| 17400 | MSE FINANCIAL SERVICES LIMITED | 200 | PAN Modification |
| 17600 | ICICI BANK LIMITED -JAIPUR MAIN BRANCH | 15 | Delay in payment |
| 19100 | SMC GLOBAL SECURITIES LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 19101 | SMC GLOBAL SECURITIES LIMITED - NEW DELHI | 200 | Delay in scanning and uploading the DIS images |

| DP ID | DP Name | Imp Monetary | Audit Type/ Reasons |
|-------|---|--------------|--|
| 19101 | SMC GLOBAL SECURITIES LIMITED - NEW DELHI | 100 | PAN Modification |
| 19200 | C.R.KOTHARI AND SONS SHARES & STOCK BROKERS PRIVATE LIMITED | 1200 | Delay in scanning and uploading the DIS images |
| 20800 | BOI SHAREHOLDING LIMITED | 200 | PAN Modification |
| 22300 | STEEL CITY SECURITIES LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 22500 | RASHI EQUISEARCH PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 23400 | DAILY GONG FINANCIAL SERVICES LIMITED | 300 | Delay in scanning and uploading the DIS images |
| 23900 | COCHIN STOCK BROKERS LIMITED | 400 | Delay in scanning and uploading the DIS images |
| 24200 | TRUSTLINE SECURITIES LIMITED | 100 | PAN Modification |
| 24400 | MONEYCARE SECURITIES AND FINANCIAL SERVICES LIMITED | 2000 | IAR Compliance not submitted |
| 24700 | MANGAL KESHAV FINANCIAL SERVICES LLP | 200 | Delay in scanning and uploading the DIS images |
| 25900 | UNION BANK OF INDIA | 1200 | Delay in scanning and uploading the DIS images |
| 25900 | UNION BANK OF INDIA | 400 | PAN Modification |
| 27500 | AXIS BANK LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 28600 | IDBI BANK LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 28700 | BP EQUITIES PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 29500 | INDUSIND BANK LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 29800 | CAPSTOCKS AND SECURITIES (INDIA) PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 30400 | TRADESMART FINTECH SECURITIES LIMITED | 200 | PAN Modification |
| 31400 | PRABHAT FINANCIAL SERVICES LIMITED | 800 | Delay in scanning and uploading the DIS images |
| 32000 | DELSTOX STOCKS AND SHARES LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 32300 | NUVAMA WEALTH AND INVESTMENT LIMITED | 100 | PAN Modification |

| DP ID | DP Name | Imp Monetary | Audit Type/ Reasons |
|-------|--|--------------|--|
| 32400 | FINANCE MONITOR (INDIA) PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 33200 | ANGEL ONE LIMITED | 800 | Delay in scanning and uploading the DIS images |
| 33200 | ANGEL ONE LIMITED | 100 | PAN Modification |
| 33201 | ANGEL ONE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 33202 | ANGEL ONE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 33203 | ANGEL ONE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 33600 | UNIQUE STOCKBRO PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 35602 | KAMAL KUMAR JALAN SECURTIES PVT LTD-SHAHDOL | 200 | Delay in scanning and uploading the DIS images |
| 36000 | SHAREKHAN LIMITED | 2000 | IAR Compliance not submitted |
| 36600 | MAVERICK SHARE BROKERS PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 36700 | ELIXIR EQUITIES PRIVATE LIMITED | 1800 | Delay in scanning and uploading the DIS images |
| 37100 | KEDIA SHARES AND STOCKS BROKERS LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 37900 | PHILLIPCAPITAL (INDIA) PRIVATE LIMITED | 100 | PAN Modification |
| 38700 | CENTRAL BANK OF INDIA | 300 | PAN Modification |
| 39800 | FAIR INTERMEDIATE INVESTMENT PRIVATE LIMITED | 1400 | Delay in scanning and uploading the DIS images |
| 41400 | RELIANCE SECURITIES LIMITED | 100 | PAN Modification |
| 42100 | KHAJANCHI & GANDHI STOCK BROKING PRIVATE LIMITED | 300 | Delay in scanning and uploading the DIS images |
| 42200 | RAJVI STOCK BROKING PRIVATE LIMITED | 25000 | Inspection Observation |
| 42300 | RR EQUITY BROKERS PRIVATE LIMITED | 800 | Delay in scanning and uploading the DIS images |
| 43300 | EXCLUSIVE SECURITIES LIMITED | 400 | Delay in scanning and uploading the DIS images |
| 44400 | MARFATIA STOCK BROKING PRIVATE LIMITED | 100 | PAN Modification |
| 44800 | NNM SECURITIES PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |

| DP ID | DP Name | Imp Monetary | Audit Type/ Reasons |
|--------------|--|---------------------|--|
| 47600 | SHAREWEALTH SECURITIES LIMITED | 100 | PAN Modification |
| 48600 | AFN LANGRANA SHARE AND STOCK BROKERS PRIVATE LIMITED | 4000 | Inspection Observation |
| 48600 | AFN LANGRANA SHARE AND STOCK BROKERS PRIVATE LIMITED | 2000 | IAR Compliance not submitted |
| 48600 | AFN LANGRANA SHARE AND STOCK BROKERS PRIVATE LIMITED | 100 | PAN Modification |
| 53600 | MUNOTH CAPITAL MARKET LIMITED | 300 | Delay in scanning and uploading the DIS images |
| 53700 | COMFORT SECURITIES LIMITED | 100 | PAN Modification |
| 54500 | HSB SECURITIES & EQUITIES LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 54500 | HSB SECURITIES & EQUITIES LIMITED | 100 | PAN Modification |
| 59100 | LAKSHMISHREE INVESTMENT AND SECURITIES LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 59700 | MANSI SHARE AND STOCK BROKING PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 65900 | TRADESWIFT BROKING PRIVATE LIMITED | 400 | Delay in scanning and uploading the DIS images |
| 66900 | CHOICE EQUITY BROKING PRIVATE LIMITED | 100 | PAN Modification |
| 68100 | FRR SHARES AND SECURITIES LIMITED | 25000 | Delay in submitting Inspection compliance |
| 68500 | NINE STAR BROKING PRIVATE LIMITED | 300 | PAN Modification |
| 69000 | MOTISONS SHARES PRIVATE LIMITED | 2000 | IAR Compliance not submitted |
| 69400 | BHAJEE PORTFOLIO PRIVATE LIMITED | 600 | Delay in scanning and uploading the DIS images |
| 69700 | RAGHUNANDAN CAPITAL PRIVATE LIMITED | 300 | Delay in scanning and uploading the DIS images |
| 69700 | RAGHUNANDAN CAPITAL PRIVATE LIMITED | 1000 | Inspection Observation |
| 71300 | A C AGARWAL SHARE BROKERS PRIVATE LIMITED | 15000 | Delay in submitting Inspection compliance |
| 74200 | VISHWAS FINCAP SERVICES PRIVATE LIMITED | 100 | PAN Modification |
| 74300 | ATS SHARE BROKERS PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 74900 | SHRENI SHARES LIMITED | 900 | Delay in scanning and uploading the DIS images |

| DP ID | DP Name | Imp Monetary | Audit Type/ Reasons |
|--------------|--|---------------------|--|
| 76400 | WEALTH DISCOVERY SECURITIES PRIVATE LIMITED | 300 | Delay in scanning and uploading the DIS images |
| 78700 | MINDEX CAPITAL MARKET PVT LTD | 400 | Delay in scanning and uploading the DIS images |
| 79600 | RAJENDRA MODI SHARE BROKERS PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 81500 | TIPSONS STOCK BROKERS PRIVATE LIMITED | 5000 | Delay in submitting Inspection compliance |
| 81800 | UPSTOX SECURITIES PRIVATE LIMITED | 100 | PAN Modification |
| 82500 | 5PAISA CAPITAL LIMITED | 2000 | Concurrent Audit – Delay in submission of Report |
| 82500 | 5PAISA CAPITAL LIMITED | 300 | Delay in scanning and uploading the DIS images |
| 85200 | SILVER STREAM EQUITIES PRIVATE LIMITED | 900 | Delay in scanning and uploading the DIS images |
| 85500 | WEALTHSTREET FINANCIAL SERVICES PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 88800 | PAYTM MONEY LIMITED | 1500 | Delay in scanning and uploading the DIS images |
| 89800 | OHM STOCK BROKER PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 91000 | INCRED CAPITAL WEALTH PORTFOLIO MANAGERS PRIVATE LIMITED | 100 | PAN Modification |
| 91500 | DYNA WEGMANS SECURITIES LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 92200 | BIGCAPITA SECURITIES PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 92300 | CHANDRAKALA BROKING SERVICES PRIVATE LIMITED | 800 | Delay in scanning and uploading the DIS images |
| 94700 | DEFINEDGE SECURITIES BROKING PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |
| 96400 | NU INVESTORS TECHNOLOGIES PVT LTD | 2000 | IAR Compliance not submitted |
| 96800 | WEALTHYIN BROKING PRIVATE LIMITED | 1000 | IAR Compliance not submitted |
| 99700 | SPREAD X SECURITIES PRIVATE LIMITED | 200 | Delay in scanning and uploading the DIS images |

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

| RTAs/ Issuers | RTAs/ Issuers Name | Imp Monetary | Audit Type/ Reasons |
|--------------------------|--|-------------------------|---|
| 169 | S.K. INFOSOLUTIONS PRIVATE LIMITED (ERSTWHILE S K COMPUTERS) | 5,000 | RTA Inspection Observation |
| 296 | SANWARIA CONSUMER LIMITED | 20,000 | RTA Internal Audit Report Non-Submission of Report and RTA Internal Audit Report Compliance not submitted |
| 384 | INDO MONEY SECURITIES PRIVATE LIMITED | 4,000 | RTA Internal Audit Report Compliance not submitted |
| 10993 | ISSUER - MIDLAN MICROFIN LTD#10.80% SEC NGRT SUB TR 2 TAX NCUM URTD RED NC | 500 | RTA Inspection Observation |
| 10993 | ISSUER - MIDLAN MICROFIN LTD#10.85% SEC NGRT SUB TR 2 TAX CUM URTD RED NCD | 500 | RTA Inspection Observation |
| 10993 | ISSUER - MIDLAND MICROFIN LIMITED # EQUITY SHARES | 500 | RTA Inspection Observation |
| 12259 | ISSUER - HICKS THERMOMETERS (INDIA) LIMITED # EQUITY SHARES | 1,000 | RTA Inspection Observation |
| 16974 | ISSUER - RAVI IRON LIMITED # EQUITY SHARES | 500 | RTA Inspection Observation |
| 20491 | ISSUER - UTRADE SOLUTIONS PRIVATE LIMITED # EQUITY SHARES | 500 | RTA Inspection Observation |
| 20748 | ISSUER - SHAKUN CONSUMER PRODUCTS PRIVATE LIMITED # EQUITY SHARES | 500 | RTA Inspection Observation |
| 21160 | ISSUER - OAYKAY METCORP LIMITED # EQUITY SHARES | 500 | RTA Inspection Observation |
| 21651 | ISSUER - BOLZEN AND MUTTER INDIA PRIVATE LIMITED # EQUITY SHARES | 1,000 | RTA Inspection Observation |
| 24823 | ISSUER - AUTOFURNISH LIMITED # EQUITY SHARES | 500 | RTA Inspection Observation |
| 25599 | ISSUER - ECOEX FOUNDATION # EQUITY SHARES | 1,000 | RTA Inspection Observation |
| 42117 | ISSUER - SMALLCASE TECHNOLOGIES PVT LTD#0.0001%(DIV) CUM PART NON RED SR-B | 500 | RTA Inspection Observation |

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|--------------------------|---|-------------------------|----------------------------|
| 46801 | ISSUER - ACE ALPHA TECH LIMITED # EQUITY SHARES | 1,000 | RTA Inspection Observation |
| 47061 | ISSUER - MOHAN CLOTHING COMPANY PRIVATE LIMITED # EQUITY SHARES | 1,500 | RTA Inspection Observation |
| 47232 | ISSUER - SEMITRONE CONCHEM LIMITED # EQUITY SHARES | 3,000 | RTA Inspection Observation |
| 47303 | ISSUER - AMBER MERCANTILES LTD # EQUITY SHARES | 500 | RTA Inspection Observation |
| 47564 | ISSUER - OMNISTAR ENTERTAINMENT.COM LIMITED # EQUITY SHARES | 1,000 | RTA Inspection Observation |
| 47634 | ISSUER - BOMBAY SUPER HEALTHY LIMITED # EQUITY SHARES | 2,000 | RTA Inspection Observation |
| 47713 | ISSUER - ARMOUR SECURITY (INDIA). LTD. # EQUITY SHARES | 500 | RTA Inspection Observation |
| 47730 | ISSUER - BOOTES IMPEX TECH LIMITED # EQUITY SHARES | 1,000 | RTA Inspection Observation |
| 47800 | ISSUER - AMERICAN GENETICS SEEDS LIMITED # EQUITY SHARES | 1,500 | RTA Inspection Observation |
| 48614 | ISSUER - SNA MILK AND MILK PRODUCTS PRIVATE LIMITED # EQUITY SHARES | 2,500 | RTA Inspection Observation |
| 50074 | ISSUER - EPPELTONE ENGINEERS LIMITED # EQUITY SHARES | 500 | RTA Inspection Observation |