

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	INCREC 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

RTAs/ Issuers	RTAs/ Issuers Name	Imp Monetary	Audit Type/ Reasons
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