

MONTHLY STATUS REPORT FOR MONETARY PENALTY – May 2026**Details of Penalty Levied on DPs:**

DP ID	Dp Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
10100	Stock Holding Corporation Of India Limited	500	6 KYC non-compliant BO accounts
10600	Anand Rathi Share And Stock Brokers Limited	2,100	Thematic Inspection Observation
10600	Anand Rathi Share And Stock Brokers Limited	5,000	Delay in submitting PAN Anamolies compliance
10700	Krchoksey Shares And Securities Private Limited	1,000	Investor Grievance Report - Data submitted is found to be false/ incorrect.
10700	Krchoksey Shares And Securities Private Limited	500	PAN Modification
10705	Kisan Ratilal Choksey Shares & Securities Pvt Ltd-Bardoli	500	6 KYC non-compliant BO accounts
10800	Gandhi Securities And Investment Pvt Ltd	500	6 KYC non-compliant BO accounts
10900	Motilal Oswal Financial Services Limited	500	6 KYC non-compliant BO accounts
10900	Motilal Oswal Financial Services Limited	2,500	Thematic Inspection Observation
10907	Motilal Oswal Financial Services Limited - Nasik	500	6 KYC non-compliant BO accounts
10909	Motilal Oswal Financial Services Limited - Nariman Point	500	6 KYC non-compliant BO accounts
10910	Motilal Oswal Financial Services Limited - Dehradun	500	PAN Modification
10924	Motilal Oswal Financial Services Limited-Ranchi	500	6 KYC non-compliant BO accounts
11200	Inventure Growth & Securities Ltd	1,50,000	Non-Closure of Cyber Security Audit Observations within ATR Timeline
11200	Inventure Growth & Securities Ltd	500	PAN Modification
11300	Prabhudas Lilladher Pvt Ltd	500	6 KYC non-compliant BO accounts
11800	Wallfort Financial Services Limited	500	6 KYC non-compliant BO accounts
11903	Boi Services Limited	500	6 KYC non-compliant BO accounts
12500	Churiwala Securities Private Limited	500	6 KYC non-compliant BO accounts
12900	R N Patwa Shares And Stock Brokers Private Limited	500	6 KYC non-compliant BO accounts

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12900	R N Patwa Shares And Stock Brokers Private Limited	5,000	Delay in submitting Inspection compliance
13300	Nirmal Bang Securities Private Limited	500	6 KYC non-compliant BO accounts
14100	Alankit Assignments Limited	500	6 KYC non-compliant BO accounts
14101	Alankit Assignments Ltd-Jaipur	500	6 KYC non-compliant BO accounts
14200	Janata Sahakari Bank Ltd.,	500	6 KYC non-compliant BO accounts
14301	Icici Bank Limited	500	6 KYC non-compliant BO accounts
14800	Zerodha Broking Limited	500	6 KYC non-compliant BO accounts
15200	Acml Capital Markets Limited	500	6 KYC non-compliant BO accounts
15400	The Greater Bombay Co-Operative Bank Limited	500	6 KYC non-compliant BO accounts
15400	The Greater Bombay Co-Operative Bank Limited	50,000	Non-Closure of Cyber Security Audit Observations within ATR Timeline
15600	Citi Bank N.A.	500	6 KYC non-compliant BO accounts
16200	Amu Shares And Securities Limited	5,000	Delay in submitting Inspection compliance
17000	Indira Securities Private Limited (Trf.)	200	Delay in scanning and uploading the DIS images
17400	Daily Gong Financial Services Limited	500	6 KYC non-compliant BO accounts
17500	Kantilal Chhaganlal Securities Private Limited	5,000	DP Operational non-compliance
17600	Icici Bank Limited -Jaipur Main Branch	500	6 KYC non-compliant BO accounts
18700	Bob Capital Markets Limited	500	6 KYC non-compliant BO accounts
18800	Integrated Master Securities Limited	500	6 KYC non-compliant BO accounts
19100	Smc Global Securities Limited	500	6 KYC non-compliant BO accounts
19103	Smc Global Securities Limited - Kolkata	15,000	Inspection Observation
19300	Sbicap Securities Limited	500	6 KYC non-compliant BO accounts
20000	Joindre Capital Services Limited	5,000	Delay in submitting Inspection compliance
20800	Boi Services Limited	1,500	PAN Modification
21800	Skp Securities Ltd.	500	6 KYC non-compliant BO accounts

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22000	Sps Share Brokers Private Limited	500	6 KYC non-compliant BO accounts
22500	Rashi Equisearch Private Limited	500	6 KYC non-compliant BO accounts
22800	Vedika Securities Pvt Ltd	500	6 KYC non-compliant BO accounts
24300	Keynote Capitals Limited	500	6 KYC non-compliant BO accounts
25401	Lsc Securities Limited	500	6 KYC non-compliant BO accounts
25700	Shilpa Stock Broker Private Limited	500	6 KYC non-compliant BO accounts
25900	Union Bank Of India	500	6 KYC non-compliant BO accounts
25900	Union Bank Of India	1,000	PAN Modification
26900	Mr Share Broking Private Limited	500	6 KYC non-compliant BO accounts
27500	Axis Bank Limited	500	6 KYC non-compliant BO accounts
27500	Axis Bank Limited	50,000	Non-Closure of Cyber Security Audit Observations within ATR Timeline
28400	A C Choksi Share Brokers Private Limited	500	6 KYC non-compliant BO accounts
28500	S P Jain Securities Private Limited	500	6 KYC non-compliant BO accounts
28700	Bp Equities Private Limited	500	6 KYC non-compliant BO accounts
28700	Bp Equities Private Limited	200	Delay in scanning and uploading the DIS images
28900	Sushil Financial Services Private Limited	500	6 KYC non-compliant BO accounts
29400	Saurashtra Capital Broking Private Limited	500	6 KYC non-compliant BO accounts
30400	Tradesmart Fintech Securities Limited	200	Delay in scanning and uploading the DIS images
30700	P.C.S.Securities Limited	500	6 KYC non-compliant BO accounts
31500	Way2wealth Brokers Private Limited	500	6 KYC non-compliant BO accounts
31600	Kalpataru Multiplier Limited	200	Inspection Observation
31900	Indbank Merchant Banking Services Ltd	500	6 KYC non-compliant BO accounts
32800	Dbfs Securities Limited	400	Delay in scanning and uploading the DIS images
32900	Javeri Fiscal Services Limited	500	6 KYC non-compliant BO accounts
33200	Angel One Limited	500	6 KYC non-compliant BO accounts
33200	Angel One Limited	1,000	DP Operational non-compliance

DP ID	Dp Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
33200	Angel One Limited	25,000	Delay in submitting Special Inspection compliance
33200	Angel One Limited	10,000	Delay in submitting Thematic Inspection compliance
33200	Angel One Limited	57,000	Thematic Inspection Observation
33300	Jm Financial Services Limited	500	6 KYC non-compliant BO accounts
33500	Bonanza Portfolio Limited	500	6 KYC non-compliant BO accounts
33503	Bonanza Portfolio Limited-New Delhi	500	6 KYC non-compliant BO accounts
33900	Progressive Share Brokers Private Limited	500	6 KYC non-compliant BO accounts
34100	Ssj Finance And Securities Private Limited	500	6 KYC non-compliant BO accounts
35000	Monarch Networth Capital Limited	500	6 KYC non-compliant BO accounts
35300	Rajchandra Stock Brokers Private Limited	500	6 KYC non-compliant BO accounts
35602	Kamal Kumar Jalan Securties Pvt Ltd-Shahdol	500	PAN Modification
36000	Sharekhan Limited	500	6 KYC non-compliant BO accounts
36600	Maverick Share Brokers Private Limited	200	Delay in scanning and uploading the DIS images
37100	Kedia Shares And Stocks Brokers Limited	500	6 KYC non-compliant BO accounts
37100	Kedia Shares And Stocks Brokers Limited	200	Delay in scanning and uploading the DIS images
37300	Antique Stock Broking Limited	500	6 KYC non-compliant BO accounts
37600	Aditya Birla Money Limited	500	6 KYC non-compliant BO accounts
37900	Phillipcapital (India) Private Limited	500	6 KYC non-compliant BO accounts
38000	Share India Securities Limited.	500	6 KYC non-compliant BO accounts
38200	Market Creators Ltd	500	PAN Modification
38600	Samurai Securities Private Limited	500	6 KYC non-compliant BO accounts
39800	Fair Intermediate Investment Private Limited	500	6 KYC non-compliant BO accounts

DP ID	Dp Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
39800	Fair Intermediate Investment Private Limited	200	Delay in scanning and uploading the DIS images
40300	Svc Co-Operative Bank Limited	500	6 KYC non-compliant BO accounts
40400	Anush Shares And Securities Private Limited	400	Delay in scanning and uploading the DIS images
40800	Union Bank Of India	500	6 KYC non-compliant BO accounts
41500	Jainam Broking Limited	500	6 KYC non-compliant BO accounts
41500	Jainam Broking Limited	25,000	Delay in submitting Special Inspection compliance
41900	Almondz Global Securities Limited	1,000	Inspection Observation
42100	Khajanchi And Gandhi Stockbroking Private Limited	500	6 KYC non-compliant BO accounts
42800	Fortune Fiscal Ltd	500	6 KYC non-compliant BO accounts
43100	R Wadiwala Securities Private Limited	500	6 KYC non-compliant BO accounts
43300	Exclusive Securities Limited	500	6 KYC non-compliant BO accounts
43800	Raima Equities Private Limited	500	6 KYC non-compliant BO accounts
44400	Marfatia Stock Broking Private Limited	500	6 KYC non-compliant BO accounts
44500	Iti Securities Broking Limited	500	6 KYC non-compliant BO accounts
44600	Oswal Shares And Securities Limited	500	6 KYC non-compliant BO accounts
44800	Nnm Securities Private Limited	500	6 KYC non-compliant BO accounts
45000	Sspl Securities Private Limited	500	6 KYC non-compliant BO accounts
45000	Sspl Securities Private Limited	200	Delay in scanning and uploading the DIS images
45200	L F C Securities Private Limited	500	6 KYC non-compliant BO accounts
45500	Dealmoney Commodities Private Limited	500	6 KYC non-compliant BO accounts
45500	Dealmoney Commodities Private Limited	200	Delay in scanning and uploading the DIS images
45500	Dealmoney Commodities Private Limited	5,000	Inspection Observation
46700	Adroit Financial Services Private Limited	500	6 KYC non-compliant BO accounts
46900	Fe Securities Private Limited	2,000	Delayed Submission of Internal Audit Report
47200	Sbicap Securities Limited	500	6 KYC non-compliant BO accounts

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47200	Sbicap Securities Limited	500	PAN Modification
47500	Ambit Capital Private Limited	500	6 KYC non-compliant BO accounts
47900	Competent Finman Private Limited	500	6 KYC non-compliant BO accounts
48600	Afn Langrana Share And Stock Brokers Private Limited	500	6 KYC non-compliant BO accounts
49300	Dbn Bank India Limited	25,000	Non-Closure of Cyber Security Audit Observations within ATR Timeline
50100	New India Co-Operative Bank Limited	500	6 KYC non-compliant BO accounts
50200	Computer Age Management Services Limited	500	6 KYC non-compliant BO accounts
50600	Syndicate Bank	500	Non Submission of Tariff
50900	Indo Thai Securities Limited	500	6 KYC non-compliant BO accounts
51000	Mithun Securities Private Limited	500	6 KYC non-compliant BO accounts
51300	Punjab National Bank	15,000	Delay in submitting Inspection compliance
51800	Uae Exchange and finance Limited	2,00,000	Non-Closure of Cyber Security Audit Observations within ATR Timeline
53000	Motilal Oswal Financial Services Limited	500	6 KYC non-compliant BO accounts
54200	Samco Securities Limited	200	Delay in scanning and uploading the DIS images
54500	Hsb Securities & Equities Limited	600	Delay in scanning and uploading the DIS images
55800	Eureka Stock & Share Broking Services Limited	300	Delay in scanning and uploading the DIS images
56800	Kjmc Capital Market Services Limited	500	6 KYC non-compliant BO accounts
57500	Kms Stock Broking Company Private Limited	500	6 KYC non-compliant BO accounts
57800	Aum Capital Market Private Limited	200	Delay in scanning and uploading the DIS images
57900	Trusted Shares And Investment Limited	500	6 KYC non-compliant BO accounts
58100	Pune E - Stock Broking Limited	1,000	Investor Grievance Report - Data submitted is found to be false/ incorrect.
58500	Saraswat Co-Operative Bank Ltd.,	25,000	Non-Closure of Cyber Security Audit Observations within ATR Timeline
60200	Amol Capital Markets Private Limited	500	6 KYC non-compliant BO accounts

DP ID	Dp Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
60700	Agroy Finance And Investment Limited	500	6 KYC non-compliant BO accounts
61100	Ifci Financial Services Limited	500	6 KYC non-compliant BO accounts
61200	Spfl Securities Limited	500	6 KYC non-compliant BO accounts
61400	Rudra Shares And Stock Brokers Limited	500	6 KYC non-compliant BO accounts
62400	Sajag Securities Private Limited	800	Delay in scanning and uploading the DIS images
63600	Focus Shares & Securities Private Limited	500	6 KYC non-compliant BO accounts
64200	Nj Indiainvest Private Limited	1,000	DP Operational non-compliance
64400	Allwin Securities Limited	500	6 KYC non-compliant BO accounts
64400	Allwin Securities Limited	2,000	Inspection Observation
64800	Abans Securities Private Limited	500	6 KYC non-compliant BO accounts
65600	Psb Securities Limited	500	6 KYC non-compliant BO accounts
65600	Psb Securities Limited	300	Delay in scanning and uploading the DIS images
66800	Elite Wealth Limited	500	6 KYC non-compliant BO accounts
67800	Jrk Stock Broking Private Limited	200	Delay in scanning and uploading the DIS images
68100	Frr Shares And Securities Limited	500	6 KYC non-compliant BO accounts
68100	Frr Shares And Securities Limited	10,000	Delay in submitting Inspection compliance
68500	Nine Star Broking Private Limited	1,000	DP Operational non-compliance
68500	Nine Star Broking Private Limited	500	PAN Modification
69000	Motisons Shares Private Limited	900	Delay in scanning and uploading the DIS images
69400	Bhaijee Broking & Investments Private Limited	500	6 KYC non-compliant BO accounts
69400	Bhaijee Broking & Investments Private Limited	300	Delay in scanning and uploading the DIS images
69700	Raghunandan Capital Private Limited	500	6 KYC non-compliant BO accounts
70200	Tradebulls Securities Private Limited	500	6 KYC non-compliant BO accounts

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70200	Tradebulls Securities Private Limited	500	PAN Modification
71300	A C Agarwal Share Brokers Private Limited	500	6 KYC non-compliant BO accounts
71600	Prithvi Finmart Private Limited	500	6 KYC non-compliant BO accounts
71900	Reliable Stocks And Shares (India) Limited	500	6 KYC non-compliant BO accounts
72000	Shree Bahubali Stock Broking Limited	10,000	Delay in submitting Inspection compliance
72100	Evermore Stock Brokers Private Limited	500	6 KYC non-compliant BO accounts
72300	Wealth First Portfolio Managers Limited	500	6 KYC non-compliant BO accounts
72900	Investeria Financial Services Private Limited	500	6 KYC non-compliant BO accounts
73200	Aristro Capital Markets Limited	500	6 KYC non-compliant BO accounts
73300	Isf Securities Limited	500	6 KYC non-compliant BO accounts
73800	Indian Overseas Bank	500	6 KYC non-compliant BO accounts
74200	Vishwas Fincap Services Private Limited	500	6 KYC non-compliant BO accounts
74300	Ats Share Brokers Private Limited	1,000	Investor Grievance Report - Data submitted is found to be false/ incorrect.
74400	Pinnacle Forex And Securities Private Limited	200	Delay in scanning and uploading the DIS images
75700	P R B Securities Pvt Ltd	500	6 KYC non-compliant BO accounts
75900	Achintya Securities Limited	500	6 KYC non-compliant BO accounts
76000	Ambalal Shares And Stocks Private Limited	500	6 KYC non-compliant BO accounts
79700	F R Ratnagar And Company Private Limited	500	6 KYC non-compliant BO accounts
79800	Adwealth Stock Broking Private Limited	500	6 KYC non-compliant BO accounts
80200	Arham Wealth Management Private Limited	500	PAN Modification
80600	Shri Venkatesh Stock Broker Services India Private Limited	500	6 KYC non-compliant BO accounts
81500	Tipsons Stock Brokers Private Limited	500	6 KYC non-compliant BO accounts
81800	Upstox Securities Private Limited	15,000	Delay in submitting PAN Anamolies compliance
82500	5paisa Capital Limited	500	6 KYC non-compliant BO accounts

DP ID	Dp Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
82500	5paisa Capital Limited	25,000	Delay in submitting Special Inspection compliance
82500	5paisa Capital Limited	2,000	Non-Submission of CAR Risk Prone Compliance
83600	Profitmart Securities Private Limited	500	6 KYC non-compliant BO accounts
86000	Baba Bhoothnath Trade And Commerce Limited	1,200	Delay in scanning and uploading the DIS images
86900	Standard Securities And Investment Intermediates Limited	1,000	Inspection Observation
87500	Kedia Capital Services Private Limited	500	6 KYC non-compliant BO accounts
87500	Kedia Capital Services Private Limited	300	Delay in scanning and uploading the DIS images
87700	Ganesh Stockinvest Private Limited	500	6 KYC non-compliant BO accounts
88600	Bajaj Financial Securities Limited	500	PAN Modification
90200	Hensex Securities Private Limited	500	6 KYC non-compliant BO accounts
90600	Prudent Corporate Advisory Services Limited	500	PAN Modification
91700	Prrsaar Sampada Private Limited	1,000	Inspection Observation
93300	M S N Securities Private Limited	200	Delay in scanning and uploading the DIS images
94100	Algoquant Fintech Limited	300	Delay in scanning and uploading the DIS images
95800	Gyandeeep Stocks Private Limited	200	Delay in scanning and uploading the DIS images
96200	Focus Stock Brokers Limited	600	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
110	Bigshare Services Private Limited	32,500	Inspection Observation
117	Freedom Registry Limited	2,000	Delay in submitting RTA Internal Audit compliance
155	XI Softech Systems Limited	2,000	Non-Submission of Report