

MONTHLY STATUS REPORT FOR MONETARY PENALTY – NOVEMBER 2024

Details of Penalty Levied on DPs:

DP ID	DP Name	Imp Monetary	Audit Type/ Reasons
10600	ANAND RATHI SHARE AND STOCK BROKERS LIMITED	100	PAN Modification
10604	ANAND RATHI SHARE AND STOCK BROKERS LIMITED - DEHRADUN	100	PAN Modification
10705	KISAN RATILAL CHOKSEY SHARES & SECURITIES PVT LTD-BARDOLI	200	DIS not upload
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED	3,400	DIS not upload
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED	5,000	Thematic Inspection
10919	MOTILAL OSWAL FINANCIAL SERVICES LIMITED-KOLHAPUR	600	DIS not upload
11200	INVENTURE GROWTH & SECURITIES LTD	100	PAN Modification
11200	INVENTURE GROWTH & SECURITIES LTD	25,000	Thematic Inspection
11700	DALAL & BROACHA STOCK BROKING PVT. LTD	100	PAN Modification
12100	SURESH RATHI SECURITIES PRIVATE LIMITED	400	DIS not upload
12101	SURESH RATHI SECURITIES PRIVATE LIMITED - JODHPUR	11,800	DIS not upload
12107	SURESH RATHI SECURITIES PVT LIMITED - KOTA	100	PAN Modification
12600	GEPL CAPITAL PRIVATE LIMITED	400	DIS not upload
12900	R N PATWA SHARE & STOCK BROKERS (P) LTD	400	DIS not upload
13200	ASIT C. MEHTA INVESTMENT INTERRMEDIATES LIMITED	400	DIS not upload
13500	CIL SECURITIES LIMITED	100	PAN Modification
13700	MEHTA EQUITIES LIMITED	5,000	Inspection
13700	MEHTA EQUITIES LIMITED	100	PAN Modification
13800	BANK OF MAHARASHTRA	3,800	DIS not upload

DP ID	DP Name	Imp Monetary	Audit Type/ Reasons
13800	BANK OF MAHARASHTRA	5,000	Thematic Inspection
14200	JANATA SAHAKARI BANK LIMITED, PUNE	400	DIS not upload
14301	ICICI BANK LIMITED	200	PAN Modification
15400	THE GREATER BOMBAY CO-OPERATIVE BANK LIMITED	1,600	DIS not upload
16700	VSE STOCK SERVICES LIMITED	300	PAN Modification
16700	VSE STOCK SERVICES LIMITED	5,000	Thematic Inspection
17503	KANTILAL CHHAGANLAL SECURITIES PRIVATE LIMITED-RAIPUR	100	PAN Modification
17600	ICICI BANK LIMITED -JAIPUR MAIN BRANCH	100	PAN Modification
17700	HEM SECURITIES LIMITED - JAIPUR	600	DIS not upload
17700	HEM SECURITIES LIMITED - JAIPUR	500	PENALTY POINTS
18000	SKSE SECURITIES LIMITED	5,000	Thematic Inspection
18700	BOB CAPITAL MARKETS LIMITED	400	DIS not upload
18700	BOB CAPITAL MARKETS LIMITED	2,500	Inspection
18700	BOB CAPITAL MARKETS LIMITED	25,000	Thematic Inspection
18800	INTEGRATED MASTER SECURITIES LIMITED	100	PAN Modification
19200	C.R.KOTHARI AND SONS SHARES & STOCK BROKERS PRIVATE LIMITED	1,200	DIS not upload
19800	ANS PRIVATE LIMITED	100	PAN Modification
20800	BOI SHAREHOLDING LIMITED	100	PAN Modification
20900	THE OMNISCIENT SECURITIES PRIVATE LIMITED	200	DIS not upload
22000	SPS SHARE BROKERS PRIVATE LIMITED	100	PAN Modification
23900	COCHIN STOCK BROKERS LIMITED	400	DIS not upload
23900	COCHIN STOCK BROKERS LIMITED	100	PAN Modification
24700	MANGAL KESHAV FINANCIAL SERVICES LLP	100	PAN Modification
25500	WELLWORTH SHARES AND STOCK BROKING LIMITED	100	PAN Modification
25900	UNION BANK OF INDIA	7,200	DIS not upload
25900	UNION BANK OF INDIA	100	PAN Modification

DP ID	DP Name	Imp Monetary	Audit Type/ Reasons
27000	SMC GLOBAL SECURITIES LIMITED - MUMBAI MAIN	100	PAN Modification
27700	CD EQUISEARCH PRIVATE LIMITED	100	PAN Modification
27900	THE SOUTH INDIAN BANK LIMITED	1,800	DIS not upload
28100	PRAGYA SECURITIES PRIVATE LIMITED	600	DIS not upload
28100	PRAGYA SECURITIES PRIVATE LIMITED	15,000	Inspection
28900	SUSHIL FINANCIAL SERVICES PRIVATE LIMITED	2,400	DIS not upload
28900	SUSHIL FINANCIAL SERVICES PRIVATE LIMITED	200	PAN Modification
29200	JSEL SECURITIES LIMITED	400	DIS not upload
29700	MAGNUM EQUITY BROKING LIMITED	100	PAN Modification
30000	LKP SECURITIES LIMITED	50,000	Inspection
30200	RELIGARE BROKING LIMITED	400	PAN Modification
31400	PRABHAT FINANCIAL SERVICES LIMITED	100	PAN Modification
31600	KALPATARU MULTIPLIER LIMITED	200	DIS not upload
32300	NUVAMA WEALTH AND INVESTMENT LIMITED	100	PAN Modification
32300	NUVAMA WEALTH AND INVESTMENT LIMITED	5,000	Thematic Inspection
33000	HORNIC INVESTMENT PRIVATE LIMITED	200	DIS not upload
33200	ANGEL ONE LIMITED	200	PAN Modification
33200	ANGEL ONE LIMITED	15,000	Thematic Inspection
33500	BONANZA PORTFOLIO LIMITED	200	PAN Modification
34500	ASHIKA STOCK BROKING LIMITED	200	DIS not upload
34900	SANGHAVI SAVLA STOCK BROKERS LIMITED	200	DIS not upload
35000	MONARCH NETWORTH CAPITAL LIMITED	5,000	Thematic Inspection
35300	RAJCHANDRA CAPITAL SERVICES PRIVATE LIMITED	400	DIS not upload
35600	KAMAL KUMAR JALAN SECURITIES PRIVATE LIMITED	200	DIS not upload

DP ID	DP Name	Imp Monetary	Audit Type/ Reasons
35602	KAMAL KUMAR JALAN SECURTIES PVT LTD-SHAHDOL	400	DIS not upload
36000	SHAREKHAN LIMITED	1,400	DIS not upload
36000	SHAREKHAN LIMITED	5,000	Thematic Inspection
36200	INANI SECURITIES LIMITED	200	DIS not upload
36300	SW CAPITAL PRIVATE LIMITED	200	DIS not upload
36600	MAVERICK SHARE BROKERS PRIVATE LIMITED	200	DIS not upload
36700	ELIXIR EQUITIES PRIVATE LIMITED	200	DIS not upload
36800	D B (INTERNATIONAL) STOCK BROKERS LIMITED	600	DIS not upload
36800	D B (INTERNATIONAL) STOCK BROKERS LIMITED	100	PAN Modification
36900	BALAJI EQUITIES LIMITED	2,000	Audited Financial Statement
37600	ADITYA BIRLA MONEY LIMITED	5,000	Thematic Inspection
37800	GHANSHYAM SHARES AND STOCK BROKERS PRIVATE LIMITED	1,000	DIS not upload
38000	SHARE INDIA SECURITIES LIMITED	1,000	PAN Modification
38200	MARKET CREATORS LIMITED	15,000	Inspection
38700	CENTRAL BANK OF INDIA	600	DIS not upload
38700	CENTRAL BANK OF INDIA	200	PAN Modification
40100	PATERSON SECURITIES PRIVATE LIMITED	200	DIS not upload
40400	ANUSH SHARES & SECURITIES PRIVATE LIMITED	5,000	Inspection
41500	JAINAM BROKING LIMITED	50,000	Special Inspection
41800	R K STOCKHOLDING (P) LIMITED	2,000	Risk Assessment Template
41900	ALMONDZ GLOBAL SECURITIES LIMITED	100	PAN Modification
42000	INDIA ADVANTAGE SECURITIES PRIVATE LIMITED	600	DIS not upload
42100	KHAJANCHI & GANDHI STOCK BROKING PRIVATE LIMITED	1,800	DIS not upload
42100	KHAJANCHI & GANDHI STOCK BROKING PRIVATE LIMITED	15,000	Inspection
43000	ARIHANT CAPITAL MARKETS LIMITED	200	DIS not upload

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43000	ARIHANT CAPITAL MARKETS LIMITED	200	Inspection
43000	ARIHANT CAPITAL MARKETS LIMITED	1,000	Inspection
43700	SWASTIKA INVESTMART LIMITED	200	DIS not upload
43700	SWASTIKA INVESTMART LIMITED	100	PAN Modification
44700	IIFL SECURITIES LIMITED	5,000	Thematic Inspection
45500	DEALMONEY COMMODITIES PRIVATE LIMITED	800	DIS not upload
45800	BHUMIKA CONSULTANCY PRIVATE LIMITED	100	PAN Modification
47200	SBICAP SECURITIES LIMITED	100	PAN Modification
49200	AXIS SECURITIES LIMITED	200	DIS not upload
49700	R R NABAR & CO. SHARE BROKERS PRIVATE LIMITED	2,000	Audited Financial Statement
49700	R R NABAR & CO. SHARE BROKERS PRIVATE LIMITED	5,000	Networth Certificate
49800	PACE STOCK BROKING SERVICES PRIVATE LIMITED	400	DIS not upload
49800	PACE STOCK BROKING SERVICES PRIVATE LIMITED	50,000	Inspection
50600	SYNDICATE BANK	2,000	Risk Assessment Template
50900	INDO THAI SECURITIES LIMITED	15,000	Inspection
51000	MITHUN SECURITIES PRIVATE LIMITED	1,000	DIS not upload
52200	BHH SECURITIES PRIVATE LIMITED	1,400	DIS not upload
52200	BHH SECURITIES PRIVATE LIMITED	3,000	Internal Audit
52900	ADINATH CAPITAL SERVICES LIMITED	15,000	Inspection
53200	VCK SHARE & STOCK BROKING SERVICES LIMITED	100	Inspection
53700	COMFORT SECURITIES LIMITED	800	DIS not upload
54200	SAMCO SECURITIES LIMITED	5,000	Thematic Inspection
54200	SAMCO SECURITIES LIMITED	25,000	Thematic Inspection
54300	SHREE KANHA STOCK BROKING PRIVATE LIMITED	200	DIS not upload

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54300	SHREE KANHA STOCK BROKING PRIVATE LIMITED	100	PAN Modification
56300	FARSIGHT SECURITIES LIMITED	25,000	Inspection
57800	AUM CAPITAL MARKET PRIVATE LIMITED	400	DIS not upload
58100	PUNE E STOCK BROKING LIMITED	100	PAN Modification
58900	NEW BERRY CAPITALS PRIVATE LIMITED	400	DIS not upload
59100	LAKSHMISHREE INVESTMENT & SECURITIES PRIVATE LIMITED	3,200	DIS not upload
59100	LAKSHMISHREE INVESTMENT & SECURITIES PRIVATE LIMITED	15,000	Thematic Inspection
59700	MANSI SHARE & STOCK ADVISORS PRIVATE LIMITED	200	DIS not upload
61300	PADAM TOWERS SECURITIES LIMITED	600	DIS not upload
62000	SS CORPORATE SECURITIES LIMITED	400	DIS not upload
62800	SUNSHINE STOCK BROKING PRIVATE LIMITED	1,000	DIS not upload
62900	WAY2WEALTH BROKERS PRIVATE LIMITED	100	PAN Modification
63500	O3 SECURITIES PRIVATE LIMITED	200	DIS not upload
63800	CDSL MANAGED DP- PRUDENT BROKING SERVICES PRIVATE LIMITED	3,000	Audited Financial Statement
63800	CDSL MANAGED DP- PRUDENT BROKING SERVICES PRIVATE LIMITED	400	DIS not upload
63800	CDSL MANAGED DP- PRUDENT BROKING SERVICES PRIVATE LIMITED	7,000	Networth Certificate
64400	ALLWIN SECURITIES LIMITED	200	DIS not upload
65000	HINDUSTAN TRADECOM PRIVATE LIMITED	200	DIS not upload
65900	TRADESWIFT BROKING PRIVATE LIMITED	800	DIS not upload

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66900	CHOICE EQUITY BROKING PRIVATE LIMITED	6,800	DIS not upload
68100	FRR SHARES AND SECURITIES LIMITED	200	DIS not upload
69000	MOTISONS SHARES PRIVATE LIMITED	400	DIS not upload
69400	BHAIJEE PORTFOLIO PRIVATE LIMITED	400	DIS not upload
69400	BHAIJEE PORTFOLIO PRIVATE LIMITED	50,000	Internal Audit
70100	HARDIK FINTRADE PRIVATE LIMITED	200	DIS not upload
70300	GLOBALWORTH SECURITIES LIMITED	200	DIS not upload
70300	GLOBALWORTH SECURITIES LIMITED	100	PAN Modification
71300	A C AGARWAL SHARE BROKERS PRIVATE LIMITED	200	DIS not upload
71700	ARHAM SHARE PRIVATE LIMITED	1,000	DIS not upload
72800	CHUKNOO SECURITIES LIMITED	2,200	DIS not upload
72800	CHUKNOO SECURITIES LIMITED	100	PAN Modification
73300	ISF SECURITIES LIMITED	1,000	Inspection
73400	DIVYA CAPITAL ONE PRIVATE LIMITED	200	Inspection
73400	DIVYA CAPITAL ONE PRIVATE LIMITED	1,000	Inspection
74200	VISHWAS FINCAP SERVICES PRIVATE LIMITED	200	DIS not upload
74300	ATS SHARE BROKERS PRIVATE LIMITED	2,000	Audited Financial Statement
74300	ATS SHARE BROKERS PRIVATE LIMITED	200	DIS not upload
74600	MUTHOOTTU MINI FINANCIERS LIMITED	200	DIS not upload
74900	SHRENI SHARES LIMITED	400	DIS not upload
75800	ACUMEN CAPITAL MARKET (INDIA) LIMITED	400	DIS not upload

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75900	ACHINTYA SECURITIES PRIVATE LIMITED	600	DIS not upload
76000	AMBALAL SHARES AND STOCKS PRIVATE LIMITED	100	PAN Modification
76400	WEALTH DISCOVERY SECURITIES PRIVATE LIMITED	800	DIS not upload
76700	BHANSALI VALUE CREATIONS PRIVATE LIMITED	600	DIS not upload
78300	WEALTH INDIA FINANCIAL SERVICES PRIVATE LIMITED	100	PAN Modification
78700	MINDEX CAPITAL MARKET PVT LTD	600	DIS not upload
79600	RAJENDRA MODI SHARE BROKERS PRIVATE LIMITED	200	DIS not upload
79900	MANAPPURAM FINANCE LIMITED	200	DIS not upload
81600	ZERODHA BROKING LIMITED	100	PAN Modification
81700	PURE BROKING PRIVATE LIMITED	200	DIS not upload
81800	UPSTOX SECURITIES PRIVATE LIMITED	200	PAN Modification
81800	UPSTOX SECURITIES PRIVATE LIMITED	50,000	Special Inspection
81800	UPSTOX SECURITIES PRIVATE LIMITED	5,000	Thematic Inspection
82400	GANGANAGAR COMMODITY LIMITED	400	DIS not upload
82500	5PAISA CAPITAL LIMITED	200	DIS not upload
82600	JAMBUWALA COMMODITIES PRIVATE LIMITED	200	DIS not upload
83000	JBS SECURITIES PRIVATE LIMITED	1,400	DIS not upload
83200	SUNLIGHT BROKING LLP	100	PAN Modification
83400	MONEYLICIOUS SECURITIES PRIVATE LIMITED	100	PAN Modification
83600	PROFITMART SECURITIES PRIVATE LIMITED	200	DIS not upload
85000	NIDHI BROKING SERVICES PRIVATE LIMITED	200	DIS not upload
85800	STELLAR SECURITIES PRIVATE LIMITED	400	DIS not upload

DP ID	DP Name	Imp Monetary	Audit Type/ Reasons
87400	PLUSWEALTH CAPITAL MANAGEMENT LLP	200	DIS not upload
88400	RELITRADE STOCK BROKING PRIVATE LIMITED	2,200	DIS not upload
88400	RELITRADE STOCK BROKING PRIVATE LIMITED	100	PAN Modification
88700	GROWW INVEST TECH PRIVATE LIMITED	200	DIS not upload
88700	GROWW INVEST TECH PRIVATE LIMITED	5,000	Special Inspection
89200	SHREE BALAJI MULTICOMMODITIES PRIVATE LIMITED	200	DIS not upload
89400	FYERS SECURITIES PRIVATE LIMITED	200	DIS not upload
89400	FYERS SECURITIES PRIVATE LIMITED	2,000	Internal Audit
89600	RS WEALTH MANAGEMENT PRIVATE LIMITED	200	DIS not upload
90100	SPARK PWM PRIVATE LIMITED	600	DIS not upload
90600	PRUDENT CORPORATE ADVISORY SERVICES LIMITED	5,400	DIS not upload
91000	INCRED CAPITAL WEALTH PORTFOLIO MANAGERS PRIVATE LIMITED	400	DIS not upload
92100	FINWIZARD TECHNOLOGY PRIVATE LIMITED	100	PAN Modification
92900	MIRAE ASSET CAPITAL MARKETS (INDIA) PRIVATE LIMITED	200	DIS not upload
94100	GROWTH SECURITIES PRIVATE LIMITED	15,000	Inspection
94800	TORUS FINANCIAL MARKETS PRIVATE LIMITED	200	PAN Modification
95400	SIGNATUREGLOBAL COMTRADE PRIVATE LIMITED	200	DIS not upload
95800	GYANDEEP STOCKS PRIVATE LIMITED	15,000	Inspection
96100	BONDBAZAAR SECURITIES PRIVATE LIMITED	600	DIS not upload

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96800	WEALTHYIN BROKING PRIVATE LIMITED	200	DIS not upload
96800	WEALTHYIN BROKING PRIVATE LIMITED	15,000	Inspection
97300	BHARATHI SHARE BROKING PRIVATE LIMITED	100	PAN Modification
97700	EQUIRUS WEALTH PRIVATE LIMITED	200	DIS not upload
98100	SB PATIL SECURITIES PRIVATE LIMITED	3,000	Audited Financial Statement
98100	SB PATIL SECURITIES PRIVATE LIMITED	2,000	Internal Audit
98100	SB PATIL SECURITIES PRIVATE LIMITED	7,000	Networth Certificate
98900	OUR BROKING SERVICES LLP	200	PAN Modification
99300	SUNSHINE FINSEC & MERCANTILE LTD	100	PAN Modification
99600	FINDOC INVESTMART PRIVATE LIMITED	5,000	Inspection

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

DP ID	DP Name	Imp Monetary	Audit Type/ Reasons
296	SANWARIA CONSUMER LIMITED	11,500	RTA Internal Audit Report Non-Submission of Report and IAR compliance not submitted
384	INDO MONEY SECURITIES PRIVATE LIMITED	5,000	RTA Internal Audit Report Non-Submission of Report and IAR compliance not submitted