

## MONTHLY STATUS REPORT FOR MONETARY PENALTY – NOVEMBER 2025

### Details of Penalty Levied on DPs:

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
10700	KRCHOKSEY SHARES AND SECURITIES PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
10705	KISAN RATILAL CHOKSEY SHARES & SECURITIES PVT LTD-BARDOLI	2,000	Non-Submission of Internal Audit Report
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED	5,000	Delay in submitting Inspection compliance
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED	500	PAN Modification
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED	1,000	IG penalty
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED	3,000	Non-Submission of Surveillance Alerts Response
11201	INVENTURE GROWTH & SECURITIES LIMITED - MALAD	300	Delay in scanning and uploading the DIS images
11800	WALLFORT FINANCIAL SERVICES LIMITED	200	Delay in scanning and uploading the DIS images
12100	SURESH RATHI SECURITIES PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
12200	CENTRUM BROKING LIMITED	500	PAN Modification
12400	HDFC BANK LIMITED	1,000	Non-Submission of Surveillance Alerts Response
13200	ASIT C MEHTA INVESTMENT INTERMEDIATES LTD	500	PAN Modification
13500	CIL SECURITIES LIMITED	500	PAN Modification
13700	MEHTA EQUITIES LIMITED	500	PAN Modification
14200	JANATA SAHAKARI BANK LTD.,	800	Delay in scanning and uploading the DIS images
15400	THE GREATER BOMBAY CO-OPERATIVE BANK LIMITED	500	PAN Modification
16700	VSE STOCK SERVICES LIMITED	500	PAN Modification
17000	INDIRA SECURITIES PRIVATE LIMITED (TRF.)	300	Delay in scanning and uploading the DIS images
18900	B R JALAN SECURITIES PRIVATE LIMITED	3,000	Non-Submission of Audited Financial Statement
18900	B R JALAN SECURITIES PRIVATE LIMITED	7,000	Non-Submission of Networth Certificate
19103	SMC GLOBAL SECURITIES LIMITED - KOLKATA	1,600	Delay in scanning and uploading the DIS images

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
24201	TRUSTLINE SECURITIES LIMITED-CHANDIGARH	200	Delay in scanning and uploading the DIS images
24201	TRUSTLINE SECURITIES LIMITED-CHANDIGARH	500	PAN Modification
24400	MONEY CARE SECURITIES AND FINANCIAL SERVICES PRIVATE LIMITED	2,000	Non-Submission of Audited Financial Statement
24400	MONEY CARE SECURITIES AND FINANCIAL SERVICES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
24400	MONEY CARE SECURITIES AND FINANCIAL SERVICES PRIVATE LIMITED	5,000	Non-Submission of Networth Certificate
24400	MONEY CARE SECURITIES AND FINANCIAL SERVICES PRIVATE LIMITED	500	PAN Modification
24700	MANGAL KESHAV FINANCIAL SERVICES LLP	5,000	Delay in submitting Inspection compliance
25000	M. PRASAD AND CO LIMITED	5,000	Delay in submitting Inspection compliance
25900	UNION BANK OF INDIA	900	Delay in scanning and uploading the DIS images
25900	UNION BANK OF INDIA	500	PAN Modification
26600	J G A SHAH SHARE BROKERS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
27900	THE SOUTH INDIAN BANK LIMITED	500	PAN Modification
28000	JKB FINANCIAL SERVICES LIMITED	1,400	Delay in scanning and uploading the DIS images
28100	PRAGYA SECURITIES P LTD	2,000	Non-Submission of Internal Audit Report
28900	SUSHIL FINANCIAL SERVICES PRIVATE LIMITED	2,000	Non-Submission of Risk Assessment Template Report
29200	JSEL SECURITIES LIMITED	200	Inspection Observation
29400	SAURASHTRA CAPITAL BROKING PRIVATE LIMITED	2,000	Non-Submission of Audited Financial Statement
29400	SAURASHTRA CAPITAL BROKING PRIVATE LIMITED	5,000	Non-Submission of Networth Certificate
31600	KALPATARU MULTIPLIER LIMITED	300	Delay in scanning and uploading the DIS images
32600	MANALI TRADING AND HOLDINGS PVT LTD	200	Delay in scanning and uploading the DIS images
33200	ANGEL ONE LIMITED	200	Inspection Observation
33200	ANGEL ONE LIMITED	1,000	PAN Modification
33200	ANGEL ONE LIMITED	1,000	IG penalty
33500	BONANZA PORTFOLIO LIMITED	500	PAN Modification

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
34200	JAMNADAS VIRJI SHARES AND STOCK BROKERS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
35602	KAMAL KUMAR JALAN SECURTIES PVT LTD-SHAHDOL	500	PAN Modification
35800	THE AKOLA URBAN COOPERATIVE BANK LIMITED, AKOLA	25,000	Delay in submitting Inspection compliance
36600	MAVERICK SHARE BROKERS PRIVATE LIMITED	2,000	Non-Submission of Audited Financial Statement
36600	MAVERICK SHARE BROKERS PRIVATE LIMITED	5,000	Non-Submission of Networth Certificate
36600	MAVERICK SHARE BROKERS PRIVATE LIMITED	500	Non-Submission of Surveillance Alerts Response
36700	ELIXIR EQUITIES PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
38700	CENTRAL BANK OF INDIA	200	Delay in scanning and uploading the DIS images
39800	FAIR INTERMEDIATE INVESTMENT PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
44500	ITI SECURITIES BROKING LIMITED	200	Delay in scanning and uploading the DIS images
44700	IIFL CAPITAL SERVICES LIMITED	2,000	Non-Submission of Surveillance Alerts Response
44800	NNM SECURITIES PRIVATE LIMITED	2,000	Non-Submission of Audited Financial Statement
44800	NNM SECURITIES PRIVATE LIMITED	5,000	Non-Submission of Networth Certificate
47100	JHP SECURITIES PRIVATE LIMITED	2,000	Non-Submission of Audited Financial Statement
47100	JHP SECURITIES PRIVATE LIMITED	5,000	Non-Submission of Networth Certificate
47600	SHAREWEALTH SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
49200	AXIS SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
50700	VARUN BROKING INDIA LIMITED	500	PAN Modification
57100	GRD SECURITIES LIMITED	300	Delay in scanning and uploading the DIS images
57900	TRUSTED SHARES AND INVESTMENT LIMITED	5,000	Non-Submission of Networth Certificate
58300	NAVJEEVAN EQUITY BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images

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59100	LAKSHMISHREE INVESTMENT AND SECURITIES LIMITED	800	Delay in scanning and uploading the DIS images
61200	SPFL SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
63500	BUGLEROCK CAPITAL PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
64400	ALLWIN SECURITIES LIMITED	50,000	Delay in submitting Inspection compliance
66900	CHOICE EQUITY BROKING PRIVATE LIMITED	500	Non-Submission of Surveillance Alerts Response
67200	MARKET-HUB STOCK BROKING PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
67800	JRK STOCK BROKING PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
68500	NINE STAR BROKING PRIVATE LIMITED	500	PAN Modification
69000	MOTISONS SHARES PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
69500	VIJETA BROKING INDIA PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
69500	VIJETA BROKING INDIA PRIVATE LIMITED	500	PAN Modification
70300	GLOBALWORTH SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
70400	MULTIGAIN SECURITIES SERVICES PRIVATE LIMITED	25,000	Inspection Observation
71300	A C AGARWAL SHARE BROKERS PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
72000	SHREE BAHUBALI STOCK BROKING LIMITED	1,800	Delay in scanning and uploading the DIS images
72000	SHREE BAHUBALI STOCK BROKING LIMITED	10,000	Delay in submitting IAR compliance
72300	WEALTH FIRST PORTFOLIO MANAGERS LIMITED	400	Delay in scanning and uploading the DIS images
74600	MUTHOOTTU MINI FINANCIERS LIMITED	200	Delay in scanning and uploading the DIS images
77100	RAJENDRA SHARE BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
78300	WEALTH INDIA FINANCIAL SERVICES PRIVATE LIMITED	500	PAN Modification
79600	RAJENDRA MODI SHARE BROKERS PRIVATE LIMITED	2,000	Non-Submission of Audited Financial Statement

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79600	RAJENDRA MODI SHARE BROKERS PRIVATE LIMITED	5,000	Non-Submission of Networth Certificate
81601	ZERODHA BROKING LIMITED	500	PAN Modification
83000	J B S SECURITIES PVT LTD	600	Delay in scanning and uploading the DIS images
84100	SPARK SECURITIES PVT LTD	800	Delay in scanning and uploading the DIS images
87500	KEDIA CAPITAL SERVICES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
89200	SHREE BALAJI MULTICOMMODITIES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
91800	VENTURA SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
94100	GROWTH SECURITIES PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
94100	GROWTH SECURITIES PRIVATE LIMITED	500	PAN Modification
94800	TORUS FINANCIAL MARKETS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
95600	PARIM FINSERV PRIVATE LIMITED	2,000	Non-Submission of Audited Financial Statement
95600	PARIM FINSERV PRIVATE LIMITED	5,000	Non-Submission of Networth Certificate
96600	NEO WEALTH MANAGEMENT PRIVATE LIMITED	500	PAN Modification
96800	WEALTHYIN BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
98100	SB PATIL SECURITIES PRIVATE LIMITED	3,000	Non-Submission of Audited Financial Statement
98100	SB PATIL SECURITIES PRIVATE LIMITED	10,000	Delay in submitting IAR compliance
98100	SB PATIL SECURITIES PRIVATE LIMITED	2,000	Non-Submission of Internal Audit Report
98100	SB PATIL SECURITIES PRIVATE LIMITED	7,000	Non-Submission of Networth Certificate
100500	TRDEZ INVESTMENT PRIVATE LIMITED	3,000	Non-Submission of Audited Financial Statement
100500	TRDEZ INVESTMENT PRIVATE LIMITED	3,000	Non-Submission of BO Grievance Report
100500	TRDEZ INVESTMENT PRIVATE LIMITED	87,500	Non-Submission of Cyber Incident Report
100500	TRDEZ INVESTMENT PRIVATE LIMITED	2,000	Non-Submission of Internal Audit Report

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
100500	TRDEZ INVESTMENT PRIVATE LIMITED	7,000	Non-Submission of Networth Certificate
100500	TRDEZ INVESTMENT PRIVATE LIMITED	2,000	Non-Submission of Risk Assessment Template Report
100600	DIAMOND HANDS LLP	2,400	Delay in scanning and uploading the DIS images
102500	AMIT JASANI FINANCIAL SERVICES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images

**Details of Penalty Levied on RTAs directly connected to Depository:**

RTAs	RTAs/ Issuers Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
110	BIGSHARE SERVICES PRIVATE LIMITED	2,000	RTA Internal Audit Report Compliance not submitted
384	INDO MONEY SECURITIES PRIVATE LIMITED	2,000	Non-Submission of RTA Internal Audit Report