MONTHLY STATUS REPORT FOR MONETARY PENALTY - NOVEMBER 2025

Details of Penalty Levied on DPs:

DP ID	DP Name	Penalty	Audit Type/ Reasons
		Imposed (Rs.)	
10700	KRCHOKSEY SHARES AND SECURITIES	600	Delay in scanning and uploading the
	PRIVATE LIMITED		DIS images
10705	KISAN RATILAL CHOKSEY SHARES &	2,000	Non-Submission of Internal Audit
	SECURITIES PVT LTD-BARDOLI		Report
10900	MOTILAL OSWAL FINANCIAL SERVICES	5,000	Delay in submitting Inspection
	LIMITED		compliance
10900	MOTILAL OSWAL FINANCIAL SERVICES	500	PAN Modification
	LIMITED		
10900	MOTILAL OSWAL FINANCIAL SERVICES	1,000	IG penalty
	LIMITED		
10900	MOTILAL OSWAL FINANCIAL SERVICES	3,000	Non-Submission of Surveillance
	LIMITED		Alerts Response
11201	INVENTURE GROWTH & SECURITIES	300	Delay in scanning and uploading the
	LIMITED - MALAD		DIS images
11800	WALLFORT FINANCIAL SERVICES	200	Delay in scanning and uploading the
	LIMITED		DIS images
12100	SURESH RATHI SECURITIES PRIVATE	600	Delay in scanning and uploading the
	LIMITED		DIS images
12200	CENTRUM BROKING LIMITED	500	PAN Modification
12400	HDFC BANK LIMITED	1,000	Non-Submission of Surveillance
40000	A CYTE C A A PLATEA AND A POST A PART	5 00	Alerts Response
13200	ASIT C MEHTA INVESTMENT	500	PAN Modification
40500	INTERRMEDIATES LTD	5 00	DANA IC
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
15400	THE CREATER ROMPAY CO OPERATIVE	5 00	DIS images
15400	THE GREATER BOMBAY CO-OPERATIVE	500	PAN Modification
1.6700	BANK LIMITED	5 00	DANIM J'C
16700	VSE STOCK SERVICES LIMITED	500	PAN Modification
17000	INDIRA SECURITIES PRIVATE LIMITED	300	Delay in scanning and uploading the
10000	(TRF.)	2.000	DIS images
18900	B R JALAN SECURITIES PRIVATE	3,000	Non-Submission of Audited
10000	LIMITED D. D. LALAN, CECUDITIES, DRIVATE	7,000	Financial Statement
18900	B R JALAN SECURITIES PRIVATE	7,000	Non-Submission of Networth
10102	LIMITED CMC CLOPAL CECUPITIES LIMITED	1.600	Certificate
19103	SMC GLOBAL SECURITIES LIMITED -	1,600	Delay in scanning and uploading the
	KOLKATA		DIS images

DP ID	DP Name	Penalty	Audit Type/ Reasons
		Imposed (Rs.)	
24201	TRUSTLINE SECURITIES LIMITED-	200	Delay in scanning and uploading the
	CHANDIGARH		DIS images
24201	TRUSTLINE SECURITIES LIMITED-	500	PAN Modification
	CHANDIGARH		
24400	MONEY CARE SECURITIES AND	2,000	Non-Submission of Audited
	FINANCIAL SERVICES PRIVATE LIMITED		Financial Statement
24400	MONEY CARE SECURITIES AND	200	Delay in scanning and uploading the
	FINANCIAL SERVICES PRIVATE LIMITED		DIS images
24400	MONEY CARE SECURITIES AND	5,000	Non-Submission of Networth
	FINANCIAL SERVICES PRIVATE LIMITED		Certificate
24400	MONEY CARE SECURITIES AND	500	PAN Modification
	FINANCIAL SERVICES PRIVATE LIMITED		
24700	MANGAL KESHAV FINANCIAL SERVICES	5,000	Delay in submitting Inspection
	LLP		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	200	Delay in scanning and uploading the
	LIMITED		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	2,000	Non-Submission of Risk
	LIMITED		Assessment Template Report
29200	JSEL SECURITIES LIMITED	200	Inspection Observation
29400	SAURASHTRA CAPITAL BROKING	2,000	Non-Submission of Audited
	PRIVATE LIMITED		Financial Statement
29400	SAURASHTRA CAPITAL BROKING	5,000	Non-Submission of Networth
	PRIVATE LIMITED		Certificate
31600	KALPATARU MULTIPLIER LIMITED	300	Delay in scanning and uploading the
			DIS images
32600	MANALI TRADING AND HOLDINGS PVT	200	Delay in scanning and uploading the
	LTD		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	200	Delay in scanning and uploading the
	BROKERS PRIVATE LIMITED		DIS images
35602	KAMAL KUMAR JALAN SECURTIES PVT	500	PAN Modification
	LTD-SHAHDOL		
35800	THE AKOLA URBAN COOPERATIVE BANK	25,000	Delay in submitting Inspection
	LIMITED, AKOLA		compliance
36600	MAVERICK SHARE BROKERS PRIVATE	2,000	Non-Submission of Audited
	LIMITED		Financial Statement
36600	MAVERICK SHARE BROKERS PRIVATE	5,000	Non-Submission of Networth
	LIMITED		Certificate
36600	MAVERICK SHARE BROKERS PRIVATE	500	Non-Submission of Surveillance
	LIMITED		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	400	Delay in scanning and uploading the
	PRIVATE LIMITED		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
11000	NAME OF COMPANY OF PROVIDENCE AND		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
45400	WAR CHOOM PRINTED BRANAME A MARKED	F 000	Financial Statement
47100	JHP SECURITIES PRIVATE LIMITED	5,000	Non-Submission of Networth
47600	CHADEMEALTH CECHDITIES LIMITED	200	Certificate
47600	SHAREWEALTH SECURITIES LIMITED	200	Delay in scanning and uploading the
40200	AVIC CECUDIMIEC I IMIMED	200	DIS images
49200	AXIS SECURITIES LIMITED	200	Delay in scanning and uploading the
50700	WARNIN DROWNIC INDIA LIMITED	F00	DIS images
50700	VARUN BROKING INDIA LIMITED	500	PAN Modification
57100	GRD SECURITIES LIMITED	300	Delay in scanning and uploading the
F7000	TRICTED CHARECAND INVESTMENT	F 000	DIS images
57900	TRUSTED SHARES AND INVESTMENT	5,000	Non-Submission of Networth
E0200	LIMITED	200	Certificate Delay in scanning and unleading the
58300	NAVJEEVAN EQUITY BROKING PRIVATE	200	Delay in scanning and uploading the
	LIMITED		DIS images

DP ID	DP Name	Penalty	Audit Type/ Reasons
		Imposed (Rs.)	
59100	LAKSHMISHREE INVESTMENT AND	800	Delay in scanning and uploading the
	SECURITIES LIMITED		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	500	Non-Submission of Surveillance
	LIMITED		Alerts Response
67200	MARKET-HUB STOCK BROKING PRIVATE	400	Delay in scanning and uploading the
	LIMITED		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	200	Delay in scanning and uploading the
	LIMITED		DIS images
69500	VIJETA BROKING INDIA PRIVATE	500	PAN Modification
	LIMITED		
70300	GLOBALWORTH SECURITIES LIMITED	200	Delay in scanning and uploading the
			DIS images
70400	MULTIGAIN SECURITIES SERVICES	25,000	Inspection Observation
	PRIVATE LIMITED		
71300	A C AGARWAL SHARE BROKERS	600	Delay in scanning and uploading the
	PRIVATE LIMITED		DIS images
72000	SHREE BAHUBALI STOCK BROKING	1,800	Delay in scanning and uploading the
	LIMITED		DIS images
72000	SHREE BAHUBALI STOCK BROKING	10,000	Delay in submitting IAR compliance
	LIMITED		
72300	WEALTH FIRST PORTFOLIO MANAGERS	400	Delay in scanning and uploading the
	LIMITED		DIS images
74600	MUTHOOTTU MINI FINANCIERS	200	Delay in scanning and uploading the
	LIMITED		DIS images
77100	RAJENDRA SHARE BROKING PRIVATE	200	Delay in scanning and uploading the
	LIMITED		DIS images
78300	WEALTH INDIA FINANCIAL SERVICES	500	PAN Modification
	PRIVATE LIMITED		
79600	RAJENDRA MODI SHARE BROKERS	2,000	Non-Submission of Audited
	PRIVATE LIMITED		Financial Statement

DP ID	DP Name	Penalty	Audit Type/ Reasons
		Imposed (Rs.)	
79600	RAJENDRA MODI SHARE BROKERS	5,000	Non-Submission of Networth
	PRIVATE LIMITED		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	400	Delay in scanning and uploading the
	LIMITED		DIS images
89200	SHREE BALAJI MULTICOMMODITIES	400	Delay in scanning and uploading the
	PRIVATE LIMITED		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	200	Delay in scanning and uploading the
	LIMITED		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	500	PAN Modification
	LIMITED		
96800	WEALTHYIN BROKING PRIVATE	200	Delay in scanning and uploading the
	LIMITED		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	Audit Type/ Reasons
		Imposed (Rs.)	
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	200	Delay in scanning and uploading the
	PRIVATE LIMITED		DIS images

Details of Penalty Levied on RTAs directly connected to Depository:

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