MONTHLY STATUS REPORT FOR MONETARY PENALTY – October 2026

Details of Penalty Levied on DPs:

DP ID	DP Name	Penalty Imposed (Rs)	Audit Type/ Reasons
10800	GANDHI SECURITIES AND INVESTMENT PVT LTD	200	Delay in scanning and uploading the DIS images
12101	SURESH RATHI SECURITIES PRIVATE LIMITED - JODHPUR	600	Delay in scanning and uploading the DIS images
19103	SMC GLOBAL SECURITIES LIMITED - KOLKATA	400	Delay in scanning and uploading the DIS images
20600	GLOBE CAPITAL MARKET LIMITED	400	Delay in scanning and uploading the DIS images
24201	TRUSTLINE SECURITIES LIMITED-CHANDIGARH	200	Delay in scanning and uploading the DIS images
25000	M. PRASAD AND CO LIMITED	1,200	Delay in scanning and uploading the DIS images
25900	UNION BANK OF INDIA	200	Delay in scanning and uploading the DIS images
28600	IDBI CAPITAL MARKETS & SECURITIES LTD	400	Delay in scanning and uploading the DIS images
28700	BP EQUITIES PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
30601	INA STOCK BROKING CO. PRIVATE LIMITED - JAMNAGAR	200	Delay in scanning and uploading the DIS images
33200	ANGEL ONE LIMITED	600	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	1,000	Delay in scanning and uploading the DIS images
33204	ANGEL ONE LIMITED	1,000	Delay in scanning and uploading the DIS images
36600	MAVERICK SHARE BROKERS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
36700	ELIXIR EQUITIES PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
39800	FAIR INTERMEDIATE INVESTMENT PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
44800	NNM SECURITIES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
50900	INDO THAI SECURITIES LIMITED	600	Delay in scanning and uploading the DIS images
57800	AUM CAPITAL MARKET PRIVATE 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
67800	JRK STOCK BROKING PRIVATE LIMITED	1,800	Delay in scanning and uploading the DIS images
70800	GANPATI FINSEC PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
71300	A C AGARWAL SHARE BROKERS PRIVATE LIMITED	1,800	Delay in scanning and uploading the DIS images
74200	VISHWAS FINCAP SERVICES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
74800	P SURYAKANT SHARE AND STOCK BROKERS PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
79700	F R RATNAGAR AND COMPANY PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
80400	ZEBU SHARE AND WEALTH MANAGEMENTS PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
81601	ZERODHA BROKING LIMITED	200	Delay in scanning and uploading the DIS images
83300	360 ONE DISTRIBUTION SERVICES LIMITED	200	Delay in scanning and uploading the DIS images
90400	PRL STOCK & SHARE BROKERS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
93100	GOPALJI BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images

DP ID	DP Name	Penalty Imposed (Rs)	Audit Type/ Reasons
97200	RELIABLENIVESH SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
36200	INANI SECURITIES LIMITED	5,000	Delay in submitting Inspection compliance
64400	ALLWIN SECURITIES LIMITED	25,000	Delay in submitting Inspection compliance
78700	MINDEX CAPITAL MARKET PVT LTD	5,000	Delay in submitting Inspection compliance
28100	PRAGYA SECURITIES P LTD	2,000	Inspection Observation
28600	IDBI CAPITAL MARKETS & SECURITIES LTD	2,000	Inspection Observation
66800	INCRED MARKETS LIMITED	9,200	Inspection Observation
98100	SB PATIL SECURITIES PRIVATE LIMITED	14,500	Inspection Observation
99800	POCKETFUL FINTECH CAPITAL PRIVATE LIMITED	1,000	Inspection Observation
88700	GROWW INVEST TECH PRIVATE LIMITED	1,000	DP Operational non-compliance
75800	ACUMEN CAPITAL MARKET (INDIA) LIMITED	100	DP Operational non-compliance
79200	KOSAMATTAM FINANCE LIMITED	1,000	DP Operational non-compliance
40400	ANUSH SHARES AND SECURITIES PRIVATE LIMITED	1,000	DP Operational non-compliance
42200	RAJVI STOCK BROKING PRIVATE LIMITED	15,000	Non-closure of observations made in annual system audit report within prescribed timeline in the Action Taken Report (ATR).
43200	BALJIT SECURITIES PRIVATE LIMITED	7,500	Non-closure of observations made in annual system audit report within prescribed timeline in the Action Taken Report (ATR).
48400	KUNVARJI FINSTOCK PRIVATE LIMITED	15,000	Non-closure of observations made in annual system audit report within prescribed timeline in the Action Taken Report (ATR).
102100	GIRIRAJ STOCK BROKING PRIVATE LIMITED	7,500	Non-closure of observations made in annual system audit report within prescribed timeline in the Action Taken Report (ATR).
10600	ANAND RATHI SHARE AND STOCK BROKERS LIMITED	30,000	Non-closure of open vulnerability observed in the VAPT report within stipulated timelines in the compliance report.
48400	KUNVARJI FINSTOCK PRIVATE LIMITED	50,000	Non-closure of observations made in Cyber Security Audit report within prescribed timeline in the ATR.
10700	KRCHOKSEY SHARES AND SECURITIES PRIVATE LIMITED	500	PAN Modification
13200	ASIT C MEHTA INVESTMENT INTERRMEDIATES LTD	500	PAN Modification
19101	SMC GLOBAL SECURITIES LIMITED - NEW DELHI	500	PAN Modification
23400	DAILY GONG FINANCIAL SERVICES LIMITED	500	PAN Modification
25400	LSC SECURITIES LIMITED	500	PAN Modification
25900	UNION BANK OF INDIA	1,500	PAN Modification
27900	THE SOUTH INDIAN BANK LIMITED	500	PAN Modification
30000	LKP SECURITIES LIMITED	500	PAN Modification
33200	ANGEL ONE LIMITED	500	PAN Modification
43700	SWASTIKA INVESTMART LIMITED	500	PAN Modification
58100	PUNE E - STOCK BROKING LIMITED	500	PAN Modification

DP ID	DP Name	Penalty Imposed (Rs)	Audit Type/ Reasons
64600	SUNFLOWER BROKING PRIVATE LIMITED	500	PAN Modification
73700	NAYAN M VALA SECURITIES PRIVATE LIMITED	500	PAN Modification
74800	P SURYAKANT SHARE AND STOCK BROKERS PRIVATE LIMITED	500	PAN Modification
87500	KEDIA CAPITAL SERVICES PRIVATE LIMITED	500	PAN Modification
93400	VEDIKA STOCK BROKING PRIVATE LIMITED	500	PAN Modification
95300	MARKET PULSE SECURITIES PRIVATE LIMITED	1,000	Surveillance Non Submission
98100	SB PATIL SECURITIES PRIVATE LIMITED	1,000	Surveillance Non Submission
40100	PATERSON SECURITIES PRIVATE LIMITED	500	Non-Submission of Surveillance Alerts Response
54500	HSB SECURITIES & EQUITIES LIMITED	500	Non-Submission of Surveillance Alerts Response

Details of Penalty Levied on RTAs directly connected to Depository:

RTA	RTA Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
117	FREEDOM REGISTRY LIMITED	2,000	Delay in submitting RTA Internal Audit compliance