

## MONTHLY STATUS REPORT FOR MONETARY PENALTY – OCTOBER 2024

### Details of Penalty Levied on DPs:

DP ID	DP Name	Imp Monetary	Audit Type/ Reasons
10100	STOCK HOLDING CORPORATION OF INDIA LTD. (RETAIL)	100	PAN Modification
10700	KRCHOKSEY SHARES AND SECURITIES PVT LTD	5,000	Internal Audit-March-2024 Compliance not submitted
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED	5,000	Thematic Inspection
11200	INVENTURE GROWTH & SECURITIES LTD	5,000	Internal Audit-March-2024 Compliance not submitted
11200	INVENTURE GROWTH & SECURITIES LTD	15,000	Thematic Inspection
11800	WALLFORT FINANCIAL SERVICES LIMITED	1,800	DIS Not Upload
12107	SURESH RATHI SECURITIES PVT LIMITED - KOTA	1,200	DIS Not Upload
12400	HDFC BANK LIMITED	5,000	Thematic Inspection
12600	GEPL CAPITAL PRIVATE LIMITED	15,000	DIS Not Upload
16700	VSE STOCK SERVICES LIMITED	200	PAN Modification
16900	J G SHAH FINANCIAL CONSULTANTS PRIVATE LIMITED	100	PAN Modification
17600	ICICI BANK LIMITED -JAIPUR MAIN BRANCH	100	PAN Modification
18700	BOB CAPITAL MARKETS LIMITED	30,000	Thematic Inspection
20000	JOINDRE CAPITAL SERVICES LIMITED	100	PAN Modification
20600	GLOBE CAPITAL MARKET LIMITED	5,000	Thematic Inspection
22300	STEEL CITY SECURITIES LIMITED	1,000	Inspection
23400	DAILY GONG FINANCIAL SERVICES LIMITED	100	PAN Modification
23900	COCHIN STOCK BROKERS LIMITED	100	PAN Modification
24700	MANGAL KESHAV FINANCIAL SERVICES LLP	100	PAN Modification
25900	UNION BANK OF INDIA	5,400	DIS Not Upload
25900	UNION BANK OF INDIA	600	PAN Modification

DP ID	DP Name	Imp Monetary	Audit Type/ Reasons
25900	UNION BANK OF INDIA	1,000	PENALTY POINTS
27900	THE SOUTH INDIAN BANK LIMITED	1,400	DIS Not Upload
28900	SUSHIL FINANCIAL SERVICES PRIVATE LIMITED	100	PAN Modification
30200	RELIGARE BROKING LIMITED	100	PAN Modification
32300	NUVAMA WEALTH AND INVESTMENT LIMITED	15,000	Thematic Inspection
32300	NUVAMA WEALTH AND INVESTMENT LIMITED	100	PAN Modification
33200	ANGEL ONE LIMITED	15,000	Thematic Inspection
33200	ANGEL ONE LIMITED	200	PAN Modification
33500	BONANZA PORTFOLIO LIMITED	200	PAN Modification
34600	SYSTEMATIX SHARES AND STOCKS (INDIA) LIMITED	100	PAN Modification
34900	SANGHAVI SAVLA STOCK BROKERS LIMITED	4,200	DIS Not Upload
35800	THE AKOLA URBAN COOPERATIVE BANK LIMITED, AKOLA	100	PAN Modification
36600	MAVERICK SHARE BROKERS PRIVATE LIMITED	100	PAN Modification
38200	MARKET CREATORS LIMITED	100	PAN Modification
38700	CENTRAL BANK OF INDIA	25,000	Inspection
38700	CENTRAL BANK OF INDIA	100	PAN Modification
39800	FAIR INTERMEDIATE INVESTMENT PRIVATE LIMITED	1,000	Inspection
39800	FAIR INTERMEDIATE INVESTMENT PRIVATE LIMITED	5,000	Internal Audit-March-2024 Compliance not submitted
40100	PATERSON SECURITIES PRIVATE LIMITED	100	PAN Modification
40800	UNION BANK OF INDIA	5,000	Inspection
41400	RELIANCE SECURITIES LIMITED	15,000	Inspection
41400	RELIANCE SECURITIES LIMITED	100	PAN Modification
42000	INDIA ADVANTAGE SECURITIES PRIVATE LIMITED	100	PAN Modification
42100	KHAJANCHI & GANDHI STOCK BROKING PRIVATE LIMITED	8,000	Internal Audit-September-2023 Compliance not submitted

DP ID	DP Name	Imp Monetary	Audit Type/ Reasons
42100	KHAJANCHI & GANDHI STOCK BROKING PRIVATE LIMITED	4,000	Internal Audit-March-2024 Compliance not submitted
42300	RR EQUITY BROKERS PRIVATE LIMITED	1,000	Inspection
44400	MARFATIA STOCK BROKING PRIVATE LIMITED	100	PAN Modification
44700	IIFL SECURITIES LIMITED	5,000	Thematic Inspection
44700	IIFL SECURITIES LIMITED	100	PAN Modification
47200	SBICAP SECURITIES LIMITED	400	PAN Modification
47600	SHAREWEALTH SECURITIES LIMITED	200	PAN Modification
52000	KARUNA FINANCIAL SERVICES PRIVATE LIMITED	100	PAN Modification
52200	BHH SECURITIES PRIVATE LIMITED	2,000	Internal Audit-March-2024 Compliance not submitted
52900	ADINATH CAPITAL SERVICES LIMITED	100	PAN Modification
53700	COMFORT SECURITIES LIMITED	1,400	DIS Not Upload
54200	SAMCO SECURITIES LIMITED	15,000	Thematic Inspection
54300	SHREE KANHA STOCK BROKING PRIVATE LIMITED	100	PAN Modification
56300	FARSIGHT SECURITIES LIMITED	15,000	Inspection
58500	THE SARASWAT CO-OPERATIVE BANK LIMITED	2,000	Internal Audit-March-2024 Compliance not submitted
59300	FORT SHARE BROKING PRIVATE LIMITED	200	Inspection
62700	AIRAN FINSTOCKS PRIVATE LIMITED	1,200	DIS Not Upload
62800	SUNSHINE STOCK BROKING PRIVATE LIMITED	5,000	Inspection
63800	CDSL MANAGED DP- PRUDENT BROKING SERVICES PRIVATE LIMITED	1,600	DIS Not Upload
71300	A C AGARWAL SHARE BROKERS PRIVATE LIMITED	100	PAN Modification
72800	CHUKNOO SECURITIES LIMITED	1,000	Inspection

DP ID	DP Name	Imp Monetary	Audit Type/ Reasons
75800	ACUMEN CAPITAL MARKET (INDIA) LIMITED	100	PAN Modification
77400	ABIRA SECURITIES LIMITED	5,000	Internal Audit-March-2024 Compliance not submitted
81800	UPSTOX SECURITIES PRIVATE LIMITED	5,000	Thematic Inspection
81800	UPSTOX SECURITIES PRIVATE LIMITED	500	PENALTY POINTS
86000	BABA BHOOTHNATH TRADE AND COMMERCE LIMITED	15,000	Inspection
86600	PENTAD SECURITIES PRIVATE LIMITED	5,000	Internal Audit-March-2024 Compliance not submitted
87700	GANESH STOCKINVEST PRIVATE LIMITED	5,000	Internal Audit-March-2024 Compliance not submitted
89200	SHREE BALAJI MULTICOMMODITIES PRIVATE LIMITED	100	PAN Modification
93100	GOPALJI BROKING PRIVATE LIMITED	100	PAN Modification
94100	GROWTH SECURITIES PRIVATE LIMITED	15,000	Inspection
94100	GROWTH SECURITIES PRIVATE LIMITED	400	PAN Modification
96300	KSN CREDENCE COMMODITIES TRADING PRIVATE LIMITED	2,200	DIS Not Upload
98900	OUR BROKING SERVICES LLP	100	PAN Modification

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

DP ID	DP Name	Imp Monetary	Audit Type/ Reasons
296	SANWARIA CONSUMER LIMITED	4,500	RTA Internal Audit Report Non-Submission of Report and IAR compliance not submitted
384	INDO MONEY SECURITIES PRIVATE LIMITED	1,000	RTA Internal Audit Report-compliance not submitted