

MONTHLY STATUS REPORT FOR MONETARY PENALTY – OCTOBER 2025

Details of Penalty Levied on DPs:

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
10100	STOCK HOLDING CORPORATION OF INDIA LIMITED	4,000	IG penalty
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED	1,500	PAN Modification
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED	3,000	IG penalty
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED	5,500	Non-Submission of Surveillance Alerts Response
10907	MOTILAL OSWAL FINANCIAL SERVICES LIMITED - NASIK	500	PAN Modification
11200	INVENTURE GROWTH & SECURITIES LTD	200	Delay in scanning and uploading the DIS images
11201	INVENTURE GROWTH & SECURITIES LIMITED - MALAD	200	Delay in scanning and uploading the DIS images
11300	PRABHUDAS LILLADHER PVT LTD	1,500	Delay in scanning and uploading the DIS images
12100	SURESH RATHI SECURITIES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
12101	SURESH RATHI SECURITIES PRIVATE LIMITED - JODHPUR	500	PAN Modification
12600	GEPL CAPITAL PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
15000	ABHIPRA CAPITAL LIMITED	200	Delay in scanning and uploading the DIS images
15200	ACML CAPITAL MARKETS LIMITED	500	PAN Modification
15400	THE GREATER BOMBAY CO-OPERATIVE BANK LIMITED	5,000	Non-Submission of Cyber Incident Report
17000	INDIRA SECURITIES PRIVATE LIMITED (TRF.)	400	Delay in scanning and uploading the DIS images
17701	HEM SECURITIES LIMITED - JAIPUR	500	PAN Modification
18000	SKSE SECURITIES LIMITED	500	PAN Modification
18600	SYKES AND RAY EQUITIES (INDIA) LTD	400	Delay in scanning and uploading the DIS images
18700	BOB CAPITAL MARKETS LIMITED	500	PAN Modification
18800	INTEGRATED MASTER SECURITIES LIMITED	5,000	Delay in submitting Inspection compliance
18900	B R JALAN SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
20800	BOI SHAREHOLDING LIMITED	1,000	PAN Modification
22500	RASHI EQUISEARCH PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
23900	COCHIN STOCK BROKERS LIMITED	600	Delay in scanning and uploading the DIS images
24200	TRUSTLINE SECURITIES LIMITED	300	Delay in scanning and uploading the DIS images
25000	M. PRASAD AND CO LIMITED	800	Delay in scanning and uploading the DIS images
25500	WELLWORTH SHARE AND STOCK BROKING LIMITED	3,000	Inspection Observation
25900	UNION BANK OF INDIA	400	Delay in scanning and uploading the DIS images
25900	UNION BANK OF INDIA	1,000	PAN Modification
26002	INDUS SHARESHREE PRIVATE LIMITED	500	PAN Modification
27900	THE SOUTH INDIAN BANK LIMITED	200	Delay in scanning and uploading the DIS images
27900	THE SOUTH INDIAN BANK LIMITED	5,000	Inspection Observation
28200	THE COSMOS BANK LIMITED	200	Delay in scanning and uploading the DIS images
28900	SUSHIL FINANCIAL SERVICES PRIVATE LIMITED	500	PAN Modification
29200	JSEL SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
29400	SAURASHTRA CAPITAL BROKING PRIVATE LIMITED	1,000	Delay in scanning and uploading the DIS images
30000	LKP SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
30000	LKP SECURITIES LIMITED	500	PAN Modification
30300	AJMERA ASSOCIATES LIMITED	500	PAN Modification
30700	P.C.S.SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
31600	KALPATARU MULTIPLIER LIMITED	2,100	Delay in scanning and uploading the DIS images
32600	MANALI TRADING AND HOLDINGS PVT LTD	4,000	Inspection Observation
33200	ANGEL ONE LIMITED	1,000	IG penalty
35100	MARWADI SHARES AND FINANCE LIMITED	500	PAN Modification
35200	KELLTON SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
35800	THE AKOLA URBAN COOPERATIVE BANK LIMITED, AKOLA	10,000	Delay in submitting Inspection compliance
35800	THE AKOLA URBAN COOPERATIVE BANK LIMITED, AKOLA	5,000	Delay in submitting IAR compliance
36000	SHAREKHAN LIMITED	1,000	IG penalty
36600	MAVERICK SHARE BROKERS PRIVATE LIMITED	200	Inspection Observation
36700	ELIXIR EQUITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
36800	D B (INTERNATIONAL) STOCK BROKERS LIMITED	200	Delay in scanning and uploading the DIS images
37100	KEDIA SHARES AND STOCKS BROKERS LIMITED	200	Delay in scanning and uploading the DIS images
37100	KEDIA SHARES AND STOCKS BROKERS LIMITED	500	PAN Modification
41400	RELIANCE SECURITIES LIMITED	1,000	PAN Modification
41400	RELIANCE SECURITIES LIMITED	2,000	IG penalty
41500	JAINAM BROKING LIMITED	200	Delay in scanning and uploading the DIS images
42100	KHAJANCHI AND GANDHI STOCKBROKING PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
42100	KHAJANCHI AND GANDHI STOCKBROKING PRIVATE LIMITED	500	Inspection Observation
42100	KHAJANCHI AND GANDHI STOCKBROKING PRIVATE LIMITED	5,000	Delay in submitting IAR compliance
43700	SWASTIKA INVESTMART LIMITED	500	PAN Modification
43800	RAIMA EQUITIES PRIVATE LIMITED	27,500	Non-Submission of Cyber Incident Report
44700	IIFL CAPITAL SERVICES LIMITED	1,000	IG penalty
44800	NNM SECURITIES PRIVATE LIMITED	3,000	Delay in scanning and uploading the DIS images
45600	NARIMAN FINVEST PVT. LTD.	200	Delay in scanning and uploading the DIS images
46200	SHREE NAMAN SECURITIES AND FINANCE PRIVATE LIMITED	10,000	Delay in submitting Inspection compliance
47600	SHAREWEALTH SECURITIES LIMITED	500	PAN Modification
49800	PACE STOCK BROKING SERVICES PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
50900	INDO THAI SECURITIES LIMITED	400	Delay in scanning and uploading the DIS images
53700	COMFORT SECURITIES LIMITED	1,800	Delay in scanning and uploading the DIS images

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57100	GRD SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
57800	AUM CAPITAL MARKET PRIVATE LIMITED	27,500	Non-Submission of Cyber Incident Report
63900	MONEY LOGIX SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
64400	ALLWIN SECURITIES LIMITED	25,000	Delay in submitting Inspection compliance
66900	CHOICE EQUITY BROKING PRIVATE LIMITED	5,000	Non-Submission of Cyber Incident Report
67800	JRK STOCK BROKING PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
68100	FRR SHARES AND SECURITIES LIMITED	5,000	Delay in submitting IAR compliance
69000	MOTISONS SHARES PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
69400	BHAJEE BROKING & INVESTMENTS PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
69900	SACHDEVA STOCKS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
71000	LATIN MANHARLAL SECURITIES PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
71300	A C AGARWAL SHARE BROKERS PRIVATE LIMITED	900	Delay in scanning and uploading the DIS images
72000	SHREE BAHUBALI STOCK BROKING LIMITED	5,000	Delay in submitting IAR compliance
72800	CHUKNOO SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
74200	VISHWAS FINCAP SERVICES PRIVATE LIMITED	1,000	Inspection Observation
74300	ATS SHARE BROKERS PRIVATE LIMITED	1,000	Delay in scanning and uploading the DIS images
74900	SHRENI SHARES LIMITED	200	Delay in scanning and uploading the DIS images
76000	AMBALAL SHARES AND STOCKS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
76700	BHANSALI VALUE CREATIONS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
78300	WEALTH INDIA FINANCIAL SERVICES PRIVATE LIMITED	500	PAN Modification
80200	ARHAM WEALTH MANAGEMENT PRIVATE LIMITED	5,000	Delay in submitting Inspection compliance

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
81800	UPSTOX SECURITIES PRIVATE LIMITED	5,000	Delay in submitting Inspection compliance
83300	360 ONE DISTRIBUTION SERVICES LIMITED	400	Delay in scanning and uploading the DIS images
84300	FINVASIA SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
85000	NIDHI BROKING SERVICES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
88704	GROWW INVEST TECH PRIVATE LIMITED	500	PAN Modification
90100	SPARK PWM PRIVATE LIMITED	5,000	Inspection Observation
94100	GROWTH SECURITIES PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
96100	BONDBAZAAR SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
98100	SB PATIL SECURITIES PRIVATE LIMITED	5,000	Delay in submitting IAR compliance
98200	AUTUS SECURITIES PRIVATE LIMITED	1,200	Delay in scanning and uploading the DIS images
100500	TRDEZ INVESTMENT PRIVATE LIMITED	3,000	Non-Submission of BO Grievance Report
100500	TRDEZ INVESTMENT PRIVATE LIMITED	1,000	Non-Submission of Surveillance Alerts
101300	IRAGE BROKING SERVICES LLP	200	Delay in scanning and uploading the DIS images
102400	GURUSTOX LIMITED	500	PAN Modification

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