

MONTHLY STATUS REPORT FOR MONETARY PENALTY - SEPTEMBER 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 |
| 10600 | ANAND RATHI SHARE AND STOCK BROKERS LIMITED | 100 | PAN Modification |
| 10601 | ANAND RATHI SHARE AND STOCK BROKERS LIMITED - NAGPUR | 100 | PAN Modification |
| 10605 | ANAND RATHI SHARE AND STOCK BROKERS LIMITED - JAIPUR | 200 | PAN Modification |
| 10700 | KRCHOKSEY SHARES AND SECURITIES PVT LTD | 4,000 | Internal Audit-IAR Compliance not submitted |
| 10900 | MOTILAL OSWAL FINANCIAL SERVICES LIMITED | 1,000 | Internal Audit- IAR Compliance not submitted |
| 10900 | MOTILAL OSWAL FINANCIAL SERVICES LIMITED | 300 | PAN Modification |
| 11200 | INVENTURE GROWTH & SECURITIES LTD | 2,500 | Inspection |
| 11200 | INVENTURE GROWTH & SECURITIES LTD | 4,000 | Internal Audit- IAR Compliance not submitted |
| 11200 | INVENTURE GROWTH & SECURITIES LTD | 100 | PAN Modification |
| 11300 | PRABHUDAS LILLADHER PVT LTD | 200 | PAN Modification |
| 12101 | SURESH RATHI SECURITIES PRIVATE LIMITED - JODHPUR | 300 | PAN Modification |
| 12107 | SURESH RATHI SECURITIES PVT LIMITED - KOTA | 100 | PAN Modification |
| 12200 | CENTRUM BROKING LIMITED | 100 | PAN Modification |
| 13200 | ASIT C. MEHTA INVESTMENT INTERRMEDIATES LIMITED | 5,000 | Inspection |
| 13300 | NIRMAL BANG SECURITIES PRIVATE LIMITED | 200 | PAN Modification |
| 13800 | BANK OF MAHARASHTRA | 2,500 | Inspection |
| 13800 | BANK OF MAHARASHTRA | 2,500 | Inspection |
| 13800 | BANK OF MAHARASHTRA | 200 | PAN Modification |

| DP ID | DP Name | Imp Monetary | Audit Type/ Reasons |
|-------|--|--------------|--|
| 14800 | IL&FS SECURITIES SERVICES LIMITED | 100 | PAN Modification |
| 14900 | PUNJAB NATIONAL BANK | 100 | PAN Modification |
| 15400 | THE GREATER BOMBAY CO-OPERATIVE BANK LIMITED | 200 | PAN Modification |
| 16400 | MANSUKH SECURITIES AND FINANCE LIMITED | 100 | PAN Modification |
| 16700 | VSE STOCK SERVICES LIMITED | 100 | PAN Modification |
| 17503 | KANTILAL CHHAGANLAL SECURITIES PRIVATE LIMITED- RAIPUR | 100 | PAN Modification |
| 17600 | ICICI BANK LIMITED -JAIPUR MAIN BRANCH | 100 | PAN Modification |
| 18700 | BOB CAPITAL MARKETS LIMITED | 200 | PAN Modification |
| 19101 | SMC GLOBAL SECURITIES LIMITED - NEW DELHI | 300 | PAN Modification |
| 19800 | ANS PRIVATE LIMITED | 100 | PAN Modification |
| 23000 | EMKAY GLOBAL FINANCIAL SERVICES LIMITED | 200 | PAN Modification |
| 23400 | DAILY GONG FINANCIAL SERVICES LIMITED | 200 | PAN Modification |
| 24201 | TRUSTLINE SECURITIES LIMITED- CHANDIGARH | 200 | PAN Modification |
| 24400 | MONEYCARE SECURITIES AND FINANCIAL SERVICES LIMITED | 1,000 | Internal Audit- IAR Compliance not submitted |
| 25900 | UNION BANK OF INDIA | 1,200 | DIS not upload |
| 25900 | UNION BANK OF INDIA | 500 | PAN Modification |
| 27700 | CD EQUISEARCH PRIVATE LIMITED | 200 | PAN Modification |
| 28700 | BP EQUITIES PRIVATE LIMITED | 4,000 | Internal Audit- IAR Compliance not submitted |
| 28900 | SUSHIL FINANCIAL SERVICES PRIVATE LIMITED | 200 | PAN Modification |
| 29600 | PASHUPATI CAPITAL SERVICES PRIVATE LIMITED | 300 | PAN Modification |
| 30000 | LKP SECURITIES LIMITED | 35,000 | Inspection |
| 32100 | MANUBHAI MANGALDAS SECURITIES PRIVATE LIMITED | 100 | PAN Modification |

| DP ID | DP Name | Imp Monetary | Audit Type/ Reasons |
|--------------|--|---------------------|--|
| 32300 | NUVAMA WEALTH AND INVESTMENT LIMITED | 200 | PAN Modification |
| 32300 | NUVAMA WEALTH AND INVESTMENT LIMITED | 15,000 | Special Inspection |
| 32600 | MANALI TRADING & HOLDINGS PRIVATE LIMITED | 2,000 | Inspection |
| 32600 | MANALI TRADING & HOLDINGS PRIVATE LIMITED | 35,000 | Inspection |
| 32600 | MANALI TRADING & HOLDINGS PRIVATE LIMITED | 2,500 | Inspection |
| 33200 | ANGEL ONE LIMITED | 300 | PAN Modification |
| 33200 | ANGEL ONE LIMITED | 15,000 | Special Inspection |
| 33200 | ANGEL ONE LIMITED | 5,000 | Special Inspection |
| 33500 | BONANZA PORTFOLIO LIMITED | 100 | PAN Modification |
| 36800 | D B (INTERNATIONAL) STOCK BROKERS LIMITED | 15,000 | Inspection |
| 36800 | D B (INTERNATIONAL) STOCK BROKERS LIMITED | 100 | PAN Modification |
| 38200 | MARKET CREATORS LIMITED | 100 | PAN Modification |
| 38700 | CENTRAL BANK OF INDIA | 15,000 | Inspection |
| 38700 | CENTRAL BANK OF INDIA | 4,000 | Internal Audit- IAR Compliance not submitted |
| 38700 | CENTRAL BANK OF INDIA | 100 | PAN Modification |
| 39800 | FAIR INTERMEDIATE INVESTMENT PRIVATE LIMITED | 4,000 | Internal Audit- IAR Compliance not submitted |
| 40300 | SVC CO-OPERATIVE BANK LIMITED | 100 | PAN Modification |
| 41400 | RELIANCE SECURITIES LIMITED | 300 | PAN Modification |
| 41400 | RELIANCE SECURITIES LIMITED | 500 | PENALTY POINTS |
| 41500 | JAINAM BROKING LIMITED | 2,000 | Internal Audit- IAR Compliance not submitted |
| 41500 | JAINAM BROKING LIMITED | 100 | PAN Modification |
| 41500 | JAINAM BROKING LIMITED | 40,000 | Special Inspection |
| 41800 | R K STOCKHOLDING (P) LIMITED | 200 | Inspection |
| 41900 | ALMONDZ GLOBAL SECURITIES LIMITED | 35,000 | Inspection |
| 41900 | ALMONDZ GLOBAL SECURITIES LIMITED | 1,000 | Internal Audit- IAR Compliance not submitted |

| DP ID | DP Name | Imp Monetary | Audit Type/ Reasons |
|--------------|--|---------------------|--|
| 42100 | KHAJANCHI & GANDHI STOCK BROKING PRIVATE LIMITED | 400 | PAN Modification |
| 42200 | RAJVI STOCK BROKING PRIVATE LIMITED | 100 | PAN Modification |
| 43700 | SWASTIKA INVESTMART LIMITED | 100 | PAN Modification |
| 43800 | RAIMA EQUITIES PRIVATE LIMITED | 1,000 | Internal Audit- IAR Compliance not submitted |
| 44200 | MERFIN SHARES & STOCK BROKING PRIVATE LIMITED | 5,000 | Inspection |
| 44700 | IIFL SECURITIES LIMITED | 100 | PAN Modification |
| 45000 | SSPL SECURITIES PRIVATE LIMITED | 1,000 | Inspection |
| 45500 | DEALMONEY COMMODITIES PRIVATE LIMITED | 400 | PAN Modification |
| 45700 | AJCON GLOBAL SERVICES LIMITED | 1,000 | Internal Audit- IAR Compliance not submitted |
| 45800 | BHUMIKA CONSULTANCY PRIVATE LIMITED | 300 | PAN Modification |
| 47100 | JHP SECURITIES PRIVATE LIMITED | 5,000 | Inspection |
| 47200 | SBICAP SECURITIES LIMITED | 600 | PAN Modification |
| 47600 | SHAREWEALTH SECURITIES LIMITED | 18,100 | PAN Modification |
| 47800 | MANASHVI SECURITIES LIMITED | 100 | PAN Modification |
| 48800 | CHOLAMANDALAM SECURITIES LIMITED | 100 | PAN Modification |
| 50900 | INDO THAI SECURITIES LIMITED | 1,000 | Internal Audit- IAR Compliance not submitted |
| 51000 | MITHUN SECURITIES PRIVATE LIMITED | 200 | Inspection |
| 54200 | SAMCO SECURITIES LIMITED | 100 | PAN Modification |
| 58100 | PUNE E STOCK BROKING LIMITED | 100 | PAN Modification |
| 59400 | FAST CAPITAL MARKETS LIMITED | 100 | PAN Modification |
| 62900 | WAY2WEALTH BROKERS PRIVATE LIMITED | 600 | PAN Modification |
| 64400 | ALLWIN SECURITIES LIMITED | 100 | PAN Modification |
| 66400 | INTELLECT STOCK BROKING LIMITED | 200 | Inspection |

| DP ID | DP Name | Imp Monetary | Audit Type/ Reasons |
|--------------|--|---------------------|--|
| 67200 | MARKET-HUB STOCK BROKING PRIVATE LIMITED | 100 | PAN Modification |
| 67400 | ECONO BROKING PRIVATE LIMITED | 1,000 | Internal Audit- IAR Compliance not submitted |
| 68100 | FRR SHARES AND SECURITIES LIMITED | 100 | PAN Modification |
| 69000 | MOTISONS SHARES PRIVATE LIMITED | 1,000 | Internal Audit- IAR Compliance not submitted |
| 69400 | BHAJEE PORTFOLIO PRIVATE LIMITED | 40,000 | Internal Audit- Non Submission of Report |
| 70200 | TRADEBULLS SECURITIES PRIVATE LIMITED | 300 | PAN Modification |
| 70800 | GANPATI FINSEC PRIVATE LIMITED | 100 | PAN Modification |
| 71000 | LATIN MANHARLAL SECURITIES PRIVATE LIMITED | 100 | PAN Modification |
| 71700 | ARHAM SHARE PRIVATE LIMITED | 200 | PAN Modification |
| 71900 | RELIABLE STOCKS AND SHARES (INDIA) LIMITED | 100 | PAN Modification |
| 74100 | CDSL MANAGED DP- INDO MONEY SECURITIES PRIVATE LIMITED | 3,000 | Concurrent Audit- Non Submission of Report |
| 74100 | CDSL MANAGED DP- INDO MONEY SECURITIES PRIVATE LIMITED | 2,000 | Concurrent Audit- Non Submission of Report |
| 74100 | CDSL MANAGED DP- INDO MONEY SECURITIES PRIVATE LIMITED | 4,000 | Concurrent Audit- Non Submission of Report |
| 74100 | CDSL MANAGED DP- INDO MONEY SECURITIES PRIVATE LIMITED | 4,000 | Concurrent Audit- Non Submission of Report |
| 74100 | CDSL MANAGED DP- INDO MONEY SECURITIES PRIVATE LIMITED | 3,000 | Concurrent Audit- Non Submission of Report |
| 74100 | CDSL MANAGED DP- INDO MONEY SECURITIES PRIVATE LIMITED | 4,000 | Concurrent Audit- Non Submission of Report |
| 74100 | CDSL MANAGED DP- INDO MONEY SECURITIES PRIVATE LIMITED | 3,000 | Internal Audit-Non Submission of Report |
| 74200 | VISHWAS FINCAP SERVICES PRIVATE LIMITED | 1,000 | Inspection |
| 74200 | VISHWAS FINCAP SERVICES PRIVATE LIMITED | 100 | PAN Modification |

| DP ID | DP Name | Imp Monetary | Audit Type/ Reasons |
|--------------|---|---------------------|--|
| 74300 | ATS SHARE BROKERS PRIVATE LIMITED | 200 | Inspection |
| 74300 | ATS SHARE BROKERS PRIVATE LIMITED | 1,000 | Inspection |
| 74300 | ATS SHARE BROKERS PRIVATE LIMITED | 6,000 | Internal Audit- IAR Compliance not submitted |
| 75700 | PRB SECURITIES PRIVATE LIMITED | 100 | PAN Modification |
| 76400 | WEALTH DISCOVERY SECURITIES PRIVATE LIMITED | 200 | Inspection |
| 77400 | ABIRA SECURITIES LIMITED | 4,000 | Internal Audit- IAR Compliance not submitted |
| 78000 | VRAMATH FINANCIAL SERVICES PRIVATE LIMITED | 100 | PAN Modification |
| 78300 | WEALTH INDIA FINANCIAL SERVICES PRIVATE LIMITED | 100 | PAN Modification |
| 79100 | VACHANA INVESTMENTS PRIVATE LIMITED | 15,000 | Inspection |
| 79200 | KOSAMATTAM FINANCE LIMITED | 300 | PAN Modification |
| 79700 | F R RATNAGAR AND COMPANY PRIVATE LIMITED | 1,000 | Internal Audit- IAR Compliance not submitted |
| 81000 | KHANDWALA SECURITIES LIMITED | 15,000 | Inspection |
| 81800 | UPSTOX SECURITIES PRIVATE LIMITED | 40,000 | Special Inspection |
| 82500 | 5PAISA CAPITAL LIMITED | 4,000 | Internal Audit- IAR Compliance not submitted |
| 82500 | 5PAISA CAPITAL LIMITED | 40,000 | Special Inspection |
| 83400 | MONEYLICIOUS SECURITIES PRIVATE LIMITED | 100 | PAN Modification |
| 83600 | PROFITMART SECURITIES PRIVATE LIMITED | 100 | PAN Modification |
| 85000 | NIDHI BROKING SERVICES PRIVATE LIMITED | 200 | PAN Modification |
| 86000 | BABA BHOOTHNATH TRADE AND COMMERCE LIMITED | 2,000 | Internal Audit- IAR Compliance not submitted |
| 86600 | PENTAD SECURITIES PRIVATE LIMITED | 4,000 | Internal Audit- IAR Compliance not submitted |

| DP ID | DP Name | Imp Monetary | Audit Type/ Reasons |
|-------|---|--------------|--|
| 87500 | KEDIA CAPITAL SERVICES PRIVATE LIMITED | 200 | PAN Modification |
| 87700 | GANESH STOCKINVEST PRIVATE LIMITED | 4,000 | Internal Audit- IAR Compliance not submitted |
| 88700 | GROWW INVEST TECH PRIVATE LIMITED | 100 | PAN Modification |
| 89200 | SHREE BALAJI MULTICOMMODITIES PRIVATE LIMITED | 100 | PAN Modification |
| 89300 | MAITRA COMMODITIES PRIVATE LIMITED | 5,000 | Inspection |
| 90100 | SPARK PWM PRIVATE LIMITED | 100 | PAN Modification |
| 90400 | PRL STOCK & SHARE BROKERS PRIVATE LIMITED | 2,000 | Internal Audit- IAR Compliance not submitted |
| 90400 | PRL STOCK & SHARE BROKERS PRIVATE LIMITED | 200 | PAN Modification |
| 92800 | SKY COMMODITIES INDIA PRIVATE LIMITED | 100 | PAN Modification |
| 92900 | MIRAE ASSET CAPITAL MARKETS (INDIA) PRIVATE LIMITED | 1,000 | Internal Audit- IAR Compliance not submitted |
| 93100 | GOPALJI BROKING PRIVATE LIMITED | 200 | Inspection |
| 93500 | ANISHA FINCAP CONSULTANTS LIMITED | 100 | PAN Modification |
| 96400 | NU INVESTORS TECHNOLOGIES PVT LTD | 3,000 | Internal Audit- IAR Compliance not submitted |
| 99000 | MALIRAM MAKHARIA FINSTOCK PRIVATE LIMITED | 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 | 10,000 | RTA Internal Audit Report Non-Submission of Report |
| 384 | INDO MONEY SECURITIES PRIVATE LIMITED | 2,000 | RTA Internal Audit Report-compliance not submitted |