

MONTHLY STATUS REPORT FOR MONETARY PENALTY - SEPTEMBER 2025

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
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED	1,500	PAN Modification
11300	PRABHUDAS LILLADHER PVT LTD	2,200	Delay in scanning and uploading the DIS images
12500	CHURIWALA SECURITIES PRIVATE LIMITED	500	PAN Modification
12800	DINDAYAL BIYANI STOCK BROKERS LIMITED	600	Delay in scanning and uploading the DIS images
13200	ASIT C MEHTA INVESTMENT INTERMEDIATES LTD	1,000	IG penalty
16700	VSE STOCK SERVICES LIMITED	1,000	PAN Modification
18900	B R JALAN SECURITIES PRIVATE LIMITED	500	PAN Modification
19200	C R KOTHARI AND SONS SHARES AND STOCK BROKERS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
23500	SUNIDHI SECURITIES & FINANCE LIMITED	500	PAN Modification
24200	TRUSTLINE SECURITIES LIMITED	400	Delay in scanning and uploading the DIS images
24400	MONEY CARE SECURITIES AND FINANCIAL SERVICES PRIVATE LIMITED	25,000	Delay in submitting Inspection compliance
24400	MONEY CARE SECURITIES AND FINANCIAL SERVICES PRIVATE LIMITED	1,000	Delay in submitting Internal Audit Report Compliance
25400	LSC SECURITIES LIMITED	500	PAN Modification
25500	WELLWORTH SHARE AND STOCK BROKING LIMITED	500	PAN Modification
25900	UNION BANK OF INDIA	2,000	PAN Modification
28600	IDBI BANK LIMITED	200	Delay in scanning and uploading the DIS images
29400	SAURASHTRA CAPITAL BROKING PRIVATE LIMITED	5,000	Delay in submitting Inspection compliance
30400	TRADESMART FINTECH SECURITIES LIMITED	500	PAN Modification

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
31600	KALPATARU MULTIPLIER LIMITED	1,500	Delay in scanning and uploading the DIS images
32600	MANALI TRADING AND HOLDINGS PVT LTD	200	Delay in scanning and uploading the DIS images
32800	DBFS SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
33900	PROGRESSIVE SHARE BROKERS PRIVATE LIMITED	500	PAN Modification
34000	ARJ SECURITIES PRIVATE LIMITED	500	PAN Modification
35000	MONARCH NETWORTH CAPITAL LIMITED	200	Delay in scanning and uploading the DIS images
35800	THE AKOLA URBAN COOPERATIVE BANK LIMITED, AKOLA	5,000	Delay in submitting Inspection compliance
35800	THE AKOLA URBAN COOPERATIVE BANK LIMITED, AKOLA	2,000	Delay in submitting Internal Audit Report Compliance
36200	INANI SECURITIES LIMITED	300	Delay in scanning and uploading the DIS images
36800	D B (INTERNATIONAL) STOCK BROKERS LIMITED	2,000	Delay in Surveillance Alerts Response
37800	GHANSHYAM SHARE AND STOCK BROKERS PRIVATE LIMITED	1,000	Delay in scanning and uploading the DIS images
39200	UNIFI CAPITAL PRIVATE LIMITED	500	PAN Modification
40100	PATERSON SECURITIES PRIVATE LIMITED	25,000	Inspection Observation
40400	ANUSH SHARES AND SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
41500	JAINAM BROKING LIMITED	500	PAN Modification
42100	KHAJANCHI AND GANDHI STOCKBROKING PRIVATE LIMITED	900	Delay in scanning and uploading the DIS images
42100	KHAJANCHI AND GANDHI STOCKBROKING PRIVATE LIMITED	2,000	Delay in submitting Internal Audit Report Compliance
44700	IIFL CAPITAL SERVICES LIMITED	500	PAN Modification
44800	NNM SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
45500	DEALMONEY COMMODITIES PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
46200	SHREE NAMAN SECURITIES AND FINANCE PRIVATE LIMITED	5,000	Delay in submitting Inspection compliance
46200	SHREE NAMAN SECURITIES AND FINANCE PRIVATE LIMITED	2,000	Delay in submitting Internal Audit Report Compliance
47100	JHP SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
47200	SBICAP SECURITIES LIMITED	500	PAN Modification
47600	SHAREWEALTH SECURITIES LIMITED	14,500	PAN Modification
48600	AFN LANGRANA SHARE AND STOCK BROKERS PRIVATE LIMITED	2,000	Delay in submitting Internal Audit Report Compliance
51300	PUNJAB NATIONAL BANK	200	Delay in scanning and uploading the DIS images
53200	VCK SHARE AND STOCK BROKING SERVICES LTD.	600	Delay in scanning and uploading the DIS images
56500	MULTIPLEX CAPITAL LIMITED	1,000	Delay in Surveillance Alerts Response
58100	PUNE E - STOCK BROKING LIMITED	500	Delay in Surveillance Alerts Response
58200	SHRI PARASRAM HOLDINGS PRIVATE LIMITED	1,000	Delay in submitting Internal Audit Report Compliance
59100	LAKSHMISHREE INVESTMENT AND SECURITIES LIMITED	300	Delay in scanning and uploading the DIS images
62900	WAY2WEALTH BROKERS PRIVATE LIMITED	2,000	Delay in submitting Internal Audit Report Compliance
64400	ALLWIN SECURITIES LIMITED	15,000	Delay in submitting Inspection compliance
64400	ALLWIN SECURITIES LIMITED	10,000	Delay in submitting Thematic Inspection compliance
64600	SUNFLOWER BROKING PRIVATE LIMITED	500	PAN Modification
64800	ABANS SECURITIES PRIVATE LIMITED	900	Delay in scanning and uploading the DIS images
65000	HINDUSTAN TRADECOM PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
65900	TRADESWIFT BROKING PRIVATE LIMITED	1,200	Delay in scanning and uploading the DIS images
66900	CHOICE EQUITY BROKING PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
66900	CHOICE EQUITY BROKING PRIVATE LIMITED	500	PAN Modification
67300	BASAN EQUITY BROKING LIMITED	400	Delay in scanning and uploading the DIS images
67800	JRK STOCK BROKING PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
68100	FRR SHARES AND SECURITIES LIMITED	2,000	Delay in submitting Internal Audit Report Compliance
69000	MOTISONS SHARES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
69000	MOTISONS SHARES PRIVATE LIMITED	500	PAN Modification

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
69400	BHAIJEE PORTFOLIO PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
70200	TRADEBULLS SECURITIES PRIVATE LIMITED	1,000	PAN Modification
70300	GLOBALWORTH SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
70300	GLOBALWORTH SECURITIES LIMITED	1,500	Delay in Surveillance Alerts Response
71300	A C AGARWAL SHARE BROKERS PRIVATE LIMITED	900	Delay in scanning and uploading the DIS images
72000	SHREE BAHUBALI STOCK BROKING LIMITED	2,000	Delay in submitting Internal Audit Report Compliance
72300	WEALTH FIRST PORTFOLIO MANAGERS LIMITED	1,200	Delay in scanning and uploading the DIS images
72300	WEALTH FIRST PORTFOLIO MANAGERS LIMITED	500	PAN Modification
74200	VISHWAS FINCAP SERVICES PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
74300	ATS SHARE BROKERS PRIVATE LIMITED	1,000	Inspection Observation
75800	ACUMEN CAPITAL MARKET (INDIA) LIMITED	1,000	Delay in scanning and uploading the DIS images
78000	VRAMATH FINANCIAL SERVICES PRIVATE LIMITED	500	PAN Modification
79700	F R RATNAGAR AND COMPANY PRIVATE LIMITED	500	Delay in Surveillance Alerts Response
79900	MANAPPURAM FINANCE LIMITED	200	Delay in scanning and uploading the DIS images
80400	ZEBU SHARE AND WEALTH MANAGEMENTS PRIVATE LIMITED	900	Delay in scanning and uploading the DIS images
81500	TIPSONS STOCK BROKERS PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
81900	ARYA FIN-TRADE SERVICES (INDIA) PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
83000	J B S SECURITIES PVT LTD	200	Delay in scanning and uploading the DIS images
83900	PRARAMBH SECURITIES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
85100	ISTAA FINSERV PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
85200	SILVER STREAM EQUITIES PRIVATE LIMITED	1,000	Delay in submitting Internal Audit Report Compliance

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86000	BABA BHOOTHNATH TRADE AND COMMERCE LIMITED	200	Inspection Observation
86600	PENTAD SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
87700	GANESH STOCKINVEST PRIVATE LIMITED	1,200	Inspection Observation
90100	SPARK PWM PRIVATE 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
93400	VEDIKA STOCK BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
93500	ANISHA FINCAP CONSULTANTS LIMITED	200	Delay in scanning and uploading the DIS images
94000	KALPALABDHI FINANCIALS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
94100	GROWTH SECURITIES PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
95400	SIGNATUREGLOBAL COMTRADE PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
96100	BONDBAZAAR SECURITIES PRIVATE LIMITED	25,000	Delay in submitting Inspection compliance
96100	BONDBAZAAR SECURITIES PRIVATE LIMITED	3,000	Delay in submitting Internal Audit Report Compliance
98100	SB PATIL SECURITIES PRIVATE LIMITED	3,000	Delay in submitting Internal Audit Report Compliance
100200	AUM SECURITIES PRIVATE LIMITED	25,000	Inspection Observation
100500	TRDEZ INVESTMENT PRIVATE LIMITED	1,000	Non-Submission of BO Grievance Report

Details of Penalty Levied on RTAs directly connected to Depository:

RTAs	RTAs/ Issuers Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
106	ALANKIT ASSIGNMENTS LIMITED	30,500	Inspection Observation
110	BIGSHARE SERVICES PRIVATE LIMITED	2,000	RTA Internal Audit Report Compliance not submitted
240	MCS SHARE TRANSFER AGENT LIMITED - KOLKATA	9,500	Inspection Observation
245	MCS SHARE TRANSFER AGENT LIMITED - NEW DELHI	44,000	Inspection Observation