

MONTHLY STATUS REPORT FOR MONETARY PENALTY – September 2026
Details of Penalty Levied on DPs:

Details of Penalty Levied on RTAs directly connected to Depository:

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
10600	ANAND RATHI SHARE AND STOCK BROKERS LIMITED	200	Delay in scanning and uploading the DIS images
10600	ANAND RATHI SHARE AND STOCK BROKERS LIMITED	25,000	Delayed in submitting Thematic Inspection IG compliance
10900	MOTILAL OSWAL FINANCIAL SERVICES LIMITED	200	Delay in scanning and uploading the DIS images
11700	DALAL AND BROACHA STOCK BROKING PRIVATE LIMITED	500	PAN Modification
12101	SURESH RATHI SECURITIES PRIVATE LIMITED-JODHPUR	300	Delay in scanning and uploading the DIS images
12101	SURESH RATHI SECURITIES PRIVATE LIMITED-JODHPUR	500	Inspection Observation
12101	SURESH RATHI SECURITIES PRIVATE LIMITED-JODHPUR	2,000	Inspection Observation
12200	CENTRUM FINVERSE LIMITED	500	PAN Modification
13200	ASIT C MEHTA INVESTMENT INTERMEDIATES LTD	500	PAN Modification
13800	BANK OF MAHARASHTRA	300	Delay in scanning and uploading the DIS images
14000	ASIAN MARKETS SECURITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
15400	THE GREATER BOMBAY CO-OPERATIVE BANK LIMITED	200	Delay in scanning and uploading the DIS images
16700	VSE STOCK SERVICES LIMITED	500	PAN Modification
17000	INDIRA SECURITIES PRIVATE LIMITED (TRF.)	600	Delay in scanning and uploading the DIS images
17000	INDIRA SECURITIES PRIVATE LIMITED (TRF.)	1,000	DP Operational non-compliance
19101	SMC GLOBAL SECURITIES LIMITED - NEW DELHI	500	PAN Modification
19200	C R KOTHARI AND SONS SHARES AND STOCK BROKERS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
22800	VEDIKA SECURITIES PVT LTD	300	Delay in scanning and uploading the DIS images
23000	EMKAY GLOBAL FINANCIAL SERVICES LIMITED	1,000	PAN Modification
23100	THE AKOLA JANATA COMMERCIAL CO-OPERATIVE BANK LIMITED, AKOLA	200	Delay in scanning and uploading the DIS images
24200	TRUSTLINE SECURITIES LIMITED	1,000	DP Operational non-compliance
24700	MANGAL KESHAV FINANCIAL SERVICES LLP	500	PAN Modification
25000	M. PRASAD AND CO LIMITED	1,500	Delay in scanning and uploading the DIS images
25700	SHILPA STOCK BROKER PRIVATE LIMITED	1,000	Inspection Observation
30000	LKP SECURITIES LIMITED	300	Delay in scanning and uploading the DIS images
31600	KALPATARU MULTIPLIER LIMITED	300	Delay in scanning and uploading the DIS images
32900	JAVERI FISCAL SERVICES LIMITED	200	Inspection Observation
33201	ANGEL ONE LIMITED	500	PAN Modification
35300	RAJCHANDRA STOCK BROKERS PRIVATE LIMITED	500	PAN Modification
36700	ELIXIR EQUITIES PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
36800	D B (INTERNATIONAL) STOCK BROKERS LIMITED	500	PAN Modification
37100	KEDIA SHARES AND STOCKS BROKERS LIMITED	400	Delay in scanning and uploading the DIS images
38600	SAMURAI SECURITIES PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
39800	FAIR INTERMEDIATE INVESTMENT PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
40300	SVC CO-OPERATIVE BANK LIMITED	500	PAN Modification
41400	INDUSIND SECURITIES LIMITED	1,000	DP Operational non-compliance
42100	KHAJANCHI AND GANDHI STOCKBROKING PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
43000	ARIHANT CAPITAL MARKETS LIMITED	300	Delay in scanning and uploading the DIS images
43700	SWASTIKA INVESTMART LIMITED	100	DP Operational non-compliance
43800	RAIMA EQUITIES PRIVATE LIMITED	400	Delay in scanning and uploading the DIS images
44400	MARFATIA STOCK BROKING PRIVATE LIMITED	500	PAN Modification
44700	IIFL CAPITAL SERVICES LIMITED	500	PAN Modification

DP ID	DP Name	Penalty Imposed (Rs.)	Audit Type/ Reasons
47200	SBICAP SECURITIES LIMITED	1,000	PAN Modification
47900	COMPETENT FINMAN PRIVATE LIMITED	500	Delay in submitting Surveillance Alerts Response
48600	AFN LANGRANA SHARE AND STOCK BROKERS PRIVATE LIMITED	1,000	PAN Modification
49700	R R NABAR AND COMPANY SHARE BROKERS PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
51300	PUNJAB NATIONAL BANK	1,000	DP Operational non-compliance
54200	SAMCO SECURITIES LIMITED	303	DP Operational non-compliance
54600	TATA SECURITIES LIMITED	500	PAN Modification
59100	LAKSHMISHREE INVESTMENT AND SECURITIES LIMITED	500	PAN Modification
61200	SPFL SECURITIES LIMITED	200	Delay in scanning and uploading the DIS images
61400	RUDRA SHARES AND STOCK BROKERS LIMITED	300	Delay in scanning and uploading the DIS images
64400	ALLWIN SECURITIES LIMITED	10,000	Delay in submitting Inspection compliance
64900	ALB STOCK BROKING PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
64900	ALB STOCK BROKING PRIVATE LIMITED	1,000	Inspection Observation
65400	MILI CONSULTANTS AND INVESTMENT PVT LTD	300	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 compliance
69400	BHAJEE BROKING & INVESTMENTS PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
70300	GLOBALWORTH SECURITIES LIMITED	300	Delay in scanning and uploading the DIS images
71600	PRITHVI FINMART PRIVATE LIMITED	200	Delay in scanning and uploading the DIS images
74400	PINNACLE FOREX AND SECURITIES PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
74700	HORIZON FINANCIAL CONSULTANTS PRIVATE LIMITED	300	Delay in scanning and uploading the DIS images
80300	FLATTRADE BROKING PRIVATE LIMITED	1,10,000	Inspection Observation
85300	ALICE BLUE FINANCIAL SERVICES PRIVATE LIMITED	500	Delay in submitting Surveillance Alerts Response
85600	PARKER DERIVATIVES(INDIA) PRIVATE LIMITED	1,000	Inspection Observation
88100	BgSE FINANCIALS LIMITED	400	Delay in scanning and uploading the DIS images
88701	GROWW INVEST TECH PRIVATE LIMITED	500	Delay in submitting Surveillance Alerts Response
90100	SPARK PWM PRIVATE LIMITED	8,000	Thematic Inspection IG Observation
95400	SIGNATUREGLOBAL COMTRADE PRIVATE LIMITED	600	Delay in scanning and uploading the DIS images
96200	FOCUS STOCK BROKERS LIMITED	300	Delay in scanning and uploading the DIS images
98100	SB PATIL SECURITIES PRIVATE LIMITED	1,000	Delay in submitting Internal Audit compliance
101600	ALANKIT IMAGINATIONS LIMITED	500	Thematic Inspection Surveillance Alert Observation
101600	ALANKIT IMAGINATIONS LIMITED	6,000	Thematic Inspection Surveillance Alert Observation
104900	TRADEBOOK CONSULTANCY SERVICES PRIVATE LIMITED	25,000	Inspection Observation
104900	TRADEBOOK CONSULTANCY SERVICES PRIVATE LIMITED	1,000	DP Operational non-compliance

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
165	PURVA SHARE REGISTRY INDIA PRIVATE LIMITED	500	Inspection Observation
245	MCS SHARE TRANSFER AGENT LIMITED - NEW DELHI	14,000	Inspection Observation