



**Secretarial Compliance Report of Geojit Financial Services Limited**  
**(CIN. L67120KL1994PLC008403)**  
**11<sup>th</sup> Floor, 34/659-P, Civil Line Road, Padivattom, Kochi – 682024**  
for the financial year ended 31.03.2026

I Satheesh Kumar N Partner, M/s Satheesh and Remesh, Practicing Company Secretaries, have examined:

- (a) all the documents and records made available to us and explanation provided by Geojit Financial Services Limited ("the listed entity"),
- (b) the filings/ submissions made by the listed entity to the stock exchanges,
- (c) website of the listed entity,
- (d) any other document/ filing, as may be relevant, which has been relied upon to make this certification,

for the financial year ended 31.03.2026 ("Review Period") in respect of compliance with the provisions of:

- (a) the Securities and Exchange Board of India Act, 1992 ("SEBI Act") and the Regulations, circulars, guidelines issued thereunder; and
- (b) the Securities Contracts (Regulation) Act, 1956 ("SCRA"), rules made thereunder and the Regulations, circulars, guidelines issued thereunder by the Securities and Exchange Board of India ("SEBI");

The specific Regulations, whose provisions and the circulars/ guidelines issued thereunder, have been examined, include-

- (a) Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015;
- (b) Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018;
- (c) Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011 as amended from time to time.
- (d) Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018;- Not Applicable during the period under review.
- (e) Securities and Exchange Board of India (Share Based Employee Benefits and Sweat Equity) Regulations, 2021;
- (f) Securities and Exchange Board of India (Issue and Listing of Non-Convertible Securities) Regulations, 2021;- Not Applicable during the period of review.
- (g) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
- (h) Securities and Exchange Board of India (Portfolio Managers) Regulations, 2020
- (i) Securities and Exchange Board of India (Settlement Proceedings) Regulations, 2018
- (j) Securities and Exchange Board of India (Investment Advisers) Regulations, 2013
- (k) Securities and Exchange Board of India (KYC (Know Your Client) Registration Agency) Regulations, 2011
- (l) Securities and Exchange Board of India (Intermediaries) Regulations, 2008
- (m) Securities and Exchange Board of India (Certification of Associated Persons in the Securities Markets) Regulations 2007.



- (n) Securities and Exchange Board of India (Prohibition of Fraudulent and Unfair trade practices relating to securities Market) Regulations 2003  
 (o) Securities And Exchange Board of India (Alternative Investment Funds) Regulations, 2012  
 (p) and other regulations as applicable and circulars/ guidelines issued thereunder;

and based on the above examination, we hereby report that, during the Review Period:

- (a) The listed entity has complied with the provisions of the above Regulations and circulars/ guidelines issued thereunder, except in respect of matters as specified in Annexure I;  
 (b) The listed entity has taken the following actions to comply with the observations made in previous reports: - Attached as Annexure -II  
 (c) we hereby report that, during the review period the compliance status of the listed entity with the following requirements:

Sr. No.	Particulars	Compliance status (Yes/No/NA)	Observations / Remarks by PCS*
1.	<u>Secretarial Standards:</u> The compliances of the listed entity are in accordance with the applicable Secretarial Standards (SS) issued by the Institute of Company Secretaries India (ICSI).	Yes	NA
2.	<u>Adoption and timely updating of the Policies:</u> All applicable policies under SEBI Regulations are adopted with the approval of board of directors of the listed entities All the policies are in conformity with SEBI Regulations and has been reviewed & timely updated as per the regulations/circulars/guidelines issued by SEBI.	Yes	NA
3.	<u>Maintenance and disclosures on Website:</u> <ul style="list-style-type: none"> <li>• The Listed entity is maintaining a functional website</li> <li>• Timely dissemination of the documents/ information under a separate section on the website</li> <li>• Web-links provided in annual corporate governance reports under Regulation 27(2) are accurate and specific which re-directs to the relevant document(s)/ section of the website</li> </ul>	Yes	NA
4.	<u>Disqualification of Director:</u> None of the Director of the Company are disqualified under Section 164 of Companies Act, 2013	Yes	NA
5.	<u>Details related to Subsidiaries of listed entities:</u> (a) Identification of material subsidiary companies Requirements with respect to disclosure of material as well as other subsidiaries	Yes	NA
6.	<u>Preservation of Documents:</u> The listed entity is preserving and maintaining records as prescribed under SEBI Regulations and disposal of records as per Policy of Preservation of Documents and Archival policy prescribed under the LODR Regulations.	Yes	NA



7.	<u>Performance Evaluation:</u> The listed entity has conducted performance evaluation of the Board, Independent Directors and the Committees at the start of every financial year as prescribed in SEBI Regulations.	Yes	NA
8.	<u>Related Party Transactions:</u> (a) The listed entity has obtained prior approval of Audit Committee for all Related party transactions (b) In case no prior approval obtained, the listed entity shall provide detailed reasons along with confirmation whether the transactions were subsequently approved/ratified/rejected by the Audit committee.	Yes	NA
9.	<u>Disclosure of events or information:</u> The listed entity has provided all the required disclosure(s) under Regulation 30 along with Schedule III of the LODR Regulations within the time limits prescribed thereunder.	Yes	NA
10.	<u>Prohibition of Insider Trading:</u> The listed entity is in compliance with Regulation 3(5) & 3(6) SEBI (Prohibition of Insider Trading) Regulations, 2015.	Yes	NA
11.	<u>Actions taken by SEBI or Stock Exchange(s), if any:</u> No actions taken against the listed entity/ its promoters/ directors/ subsidiaries either by SEBI or by Stock Exchanges (including under the Standard Operating Procedures issued by SEBI through various circulars) under SEBI Regulations and circulars/ guidelines issued thereunder (or) The actions taken against the listed entity/ its promoters/ directors/ subsidiaries either by SEBI or by Stock Exchanges are specified in the last column.	Yes	NA
12.	<u>Resignation of statutory auditors from the listed entity or its material subsidiaries</u> In case of resignation of statutory auditor from the listed entity or any of its material subsidiaries during the financial year, the listed entity and / or its material subsidiary(ies) has / have complied with paragraph 6.1 and 6.2 of section V-D of chapter V of the Master Circular on compliance with the provisions of the LODR Regulations by listed entities.	Yes	NA
13.	<u>No additional non-compliances observed:</u> No additional non-compliance observed for any of the SEBI regulation/circular/guidance note etc. except as reported above.	Yes	NA



Assumptions & limitation of scope and review:

1. Compliance of the applicable laws and ensuring the authenticity of documents and information furnished, are the responsibilities of the management of the listed entity.
2. Our responsibility is to report based upon our examination of relevant documents and information. This is neither an audit nor an expression of opinion.
3. We have not verified the correctness and appropriateness of financial records and books of account of the listed entity.
4. This report is solely for the intended purpose of compliance in terms of Regulation 24A (2) of the SEBI (LODR) Regulations, 2015 and is neither an assurance as to the future viability of the listed entity nor of the efficacy or effectiveness with which the management has conducted the affairs of the listed entity.

For Satheesh and Remesh,  
Company Secretaries

For Satheesh and Remesh  
Company Secretaries

N. Satheesh Kumar  
Partner  
M.No. 16543  
CP No. 6607

N. Satheesh Kumar

Partner

CP No. 6607

M. No 16543

Peer Review No:1638/2021

UDIN A016543H000490511

Date:26.05.2026

Place: Kochi



Sr No	Compliance requirement (regulations/ circulars/ guidelines including specific clauses)	Regulation/ Circular number	Deviations	Action taken by	Type of Action (Advisory/ Clarification/ Fine/ Show Cause Notice/ Warning, etc.)	Details of violation	Fine Amount	Observations/ remarks of the practising Company Secretary, if any	Management Response	Remarks
1	Final Action Taken Letter for violations observed in the Internal Audit Report for the half year ended March 2024	Securities and Exchange Board of India (Stock Brokers) Regulations, 1992	The observation was regarding one instance that the appropriate marking (margin violation marking) was not captured in the client's Contract Note	Stock Exchange (MCX)	Advisory	The observation was regarding one instance that the appropriate marking (margin violation marking) was not captured in the client's Contract Note.	0	Already rectified	This non-compliance aspect has already been rectified effective from March 2024 onwards and no such observation in subsequent Audits.	Geoit Financial Services Limited has completed the process of transfer of its stock-broking and allied business to Geoit Investments Limited, its wholly owned subsidiary in March 2025. Hence, Securities and Exchange Board of India (Stock Brokers) Regulations, 1992 is not applicable for the Company during the year 2025-26.
2	Explanation called for violation observed during the annual inspection for the period April 01, 2023 to March 31, 2024	Securities and Exchange Board of India (Stock Brokers) Regulations, 1992	Member has not made reasonable efforts to undertake promotion of investor education and investor awareness programmes through seminars, workshops, publications, training programmes etc. aimed at creating awareness about the Online Dispute Resolution (ODR) Portal for the Indian Securities Market	Stock Exchange (MCX)	Advisory	Member has not made reasonable efforts to undertake promotion of investor education and investor awareness programmes through seminars, workshops, publications, training programmes etc. aimed at creating awareness about the Online Dispute Resolution (ODR) Portal for the Indian Securities Market	0	The Company has taken all possible actions to undertake promotion of investor education and investor awareness programmes	We have taken reasonable measures to create client awareness and to ensure that all our clients are informed about the ODR portal. We have communicated the details of the ODR portal to all our clients through email. Furthermore, in order to create awareness, we have published the link to the ODR portal, along with a link redirecting to the SEBI Circular on Online Resolution of Disputes in the Indian Securities Market, on our website. In addition, starting from March 2025, we have included the details of the ODR portal and the grievance redressal mechanism in the monthly Do's and Don'ts communication mailer sent to all clients.	
3	Limited Purpose Inspection (Ofsite) conducted during October 2024, December 2024 & January 2025	Securities and Exchange Board of India (Stock Brokers) Regulations, 1992	Member has not pledged only those securities in Client unpaid securities pledgee account which are unpaid by the clients	Stock Exchange (NSE)	Advisory	Member has not pledged only those securities in Client unpaid securities pledgee account which are unpaid by the clients	0	Proper action have been taken to avoid the such situations	There were 14 instances reported by the Exchange and we have provided necessary clarifications to the Exchange. In all the instances the objection raised by the Exchange was with respect to non release of clients shares from CUSPA even when having credit balance. In 10 cases, the credit was received after completion of our day's CUSPA, unpledge process which usually happens around 5:00 Pm to 6:00 Pm. We have taken up this matter with exchange to review their observation. In 2 cases, Margin requirement was there for the clients in F&O segment. After considering the margin requirement, there was no credit balance available in client ledger to release unpaid securities. We have taken up the matter with exchange to review their observation. Remaining 2 cases were pertaining to Corporate Actions. Corporate action benefits were received in CUSPA, and the shares were lying in CUSPA Pledge. We have now developed a module in back office to allocate corporate actions benefits and we are now releasing shares from CUSPA based on client's ledger balance without any delay	



4	Limited Purpose Inspection (OHSIe) conducted during November 2024, December 2024 (2 Letters), January 2025, and February 2025.	Securities and Exchange Board of India (Stock Brokers) Regulations, 1992	Segregation and Monitoring of Collateral at Client Level (Incorrect reporting of ledger balance, peak ledger balance (258 instances), "NA" instead of "Yes" in column Unclaimed/ Unsettled client funds (1 instance) etc.)	Stock Exchange (NSE)	Advisory	Segregation and Monitoring of Collateral at Client Level (Incorrect reporting of ledger balance, peak ledger balance (258 instances), "NA" instead of "Yes" in column Unclaimed/ Unsettled client funds (1 instance) etc.)	0	Proper action have been taken to avoid the such situations	There were 259 instances reported by the Exchange and we have provided necessary clarifications to the Exchange. In 190 instances out of 258, as per the Caution / advice received from the Exchange, necessary changes will be implemented to report peak ledger balance in the appropriate segment. Based on the discussions with Exchange on 01/07/2025, we will modify the report and will arrange to report peak ledger balance accordingly. The observation with respect to Peak ledger balance was discussed and explained to the Board last time also. In 68 out of the 258 instances, incorrect reporting of ledger balance has happened due to non closure of UCC in one of the segments (F&O). As per our back office all these accounts were in CLOSED status, but as per Exchange records one of the segment (F&O) was ACTIVE. All these accounts were opened before 2018 and at that time NSE cash and F&O was registered in exchange, but only cash was registered in back office. Hence when an account gets closed in our system it gets inactivated in exchange based on the membership present in back office. And since only cash segment is present in back office, only cash is getting inactivated in exchange and not FO. Regularizations has been done in all the 68 instances. We are doing a recon exercise with full Exchange UCC data to identify other such cases. In the remaining 1 instance - a payout rejected by the bank on 28th November was captured in the file of unsettled client fund from 30th November only instead of capturing the same from 29th November onwards. This was a manual error. We will arrange to automate the marking of payout/rejection on the same day itself without any manual intervention to avoid this kind of observations in future
5	Adjudication Proceedings in the matter of Tradetron and other Algo Platforms	Securities and Exchange Board of India (Stock Brokers) Regulations, 1992	SEBI has decided to introduce a Settlement Scheme on Association with Certain Algo Platforms in the matter of Tradetron and other Algo Platforms. The Scheme would provide a settlement opportunity to all stock brokers who were associated with certain algo platforms, against whom proceedings have been initiated and are pending before any authority or forum, viz., Adjudicating Officer / the Hon'ble Securities Appellate Tribunal/ Courts. By availing the benefit of the Scheme, stock brokers may settle such proceedings. The Scheme proposes payment of ₹ 1,00,000/- as the Settlement Amount for each stock broker.	SEBI	Settlement	1,00,000	The Company has paid the settlement amount of Rs 1,00,000	The Company has paid the settlement amount of Rs 1,00,000	NIL





10	The process have been strengthened for non-recurrence of such incidents.	Nil	Requirements under NCL/CMP/151657 dated March 17, 2022 and NCL/CMP/155381 dated January 25, 2023	NCL/CMP/151657 dated March 17, 2022 and NCL/CMP/155381 dated January 25, 2023	NCL - Action Letter on Offsite Inspection conducted for the period of October 2022 to December 2023 - - NRI client tagged as individual in UCC records of Exchange - one instance - Erroneously reported reason code as RC04 instead of RC02 (Value of securities sold for which EPI has been done by EOD to CC) - one instance	Warning	Stock Exchange	0.00	Required rectifications were made	The company has taken proper action
11	Confirmation received from the Company, it is understood that the Company has not committed any violations of the applicable regulations	Nil	Compliance of Clause 4.2 of SEBI circular SEBI/HO/ MIRS/D/ DOP/PI/ CIR/2022/117 dated Sept 02, 2022 & the Code of Conduct of SEBI (Stock Brokers) Regulations	Clause 4.2 of SEBI circular SEBI/HO/ MIRS/D/ DOP/PI/ CIR/2022/117 dated Sept 02, 2022 & the Code of Conduct of SEBI (Stock Brokers) Regulations	SEBI Show Cause Notice (SCN) in the matter of Trade/ron and other Algo Platforms for the violation of Clause 4.2 of SEBI circular SEBI/HO/ MIRS/D/ DOP/PI/ CIR/2022/117 dated Sept 02, 2022 & the Code of Conduct of SEBI (Stock Brokers) Regulations	Show Cause Notice	SEBI	0.00	Payment was made to SEBI on 05.07.2025, and SEBI has confirmed receipt.	The company has taken proper action
12	The process have been strengthened for non-recurrence of such incidents.	Nil	Submission of Principal Officer (PO) details	Para 5.4 of SEBI Master Circular on Portfolio Manager dated June 07, 2024	SEBI - Advise letter on PMS Offsite Inspection data mismatch observed on the PMS Principal Officer details - Incorrect submission of Principal Officer (PO) details in the Offsite inspection data	Advisory	SEBI	0.00	Strengthened compliance standards to avoid recurrence of such incidents.	The company has taken proper action
13	As confirmed by Management, the details were provided as per the format	Nil	Submission of data towards Risk Based Supervision (RBS)	NSE/INSP/5/19/0 dated October 13, 2022	NSE - Limited Purpose Inspection (Offsite) conducted during April 2022 - Incorrect data submitted towards Risk Based Supervision (RBS)	Fine	Stock Exchange	10000.00	The penalty has been paid	Advised to ensure future compliances
14	non-recurrence of such incidents	Nil	Option to choose between Monthly and Quarterly running account settlement option for the client	BSE Notice no. 20180214-31 dated February 14, 2018	BSE - Final letter pertaining to Regular Inspection (Onsite) conducted in FY 2024-25 (Covering period from April 2023 to March 2024) - The client was not given option to choose between Monthly and Quarterly running account settlement option	Fine	Stock Exchange	20000.00	As specified in the Final letter, we have issued Compliance Certificate that while onboarding the clients in the online mode, the client will be able to choose between Monthly and Quarterly running account settlement option	Advised to ensure future compliances
15	The process have been strengthened for non-recurrence of such incidents.	Nil	Communication of KYC (Identifier) to clients	MCX Business Rules chapter 9 point 1.14 and MCX/INSP/149/2021 dated March 12, 2021	MCX - Regular Inspection of books of accounts, other records and documents for the period from April 01, 2022, to March 31, 2023 - Failure to communicate the KYC (Identifier) to clients	Advisory	Stock Exchange	0.00	The processes have been strengthened for non-recurrence of such incidents	Advised to ensure future compliances
16	The process have been strengthened for non-recurrence of such incidents.	Nil	Flag inactive client accounts as "inactive" in the Exchange UCC database	MCX/INSP/087/2020 dated February 11, 2020 MCX/INSP/908/2020 dated December 02, 2020 and MCX/INSP/400/2017 dated October 30, 2017	MCX - Regular Inspection of books of accounts, other records and documents for the period from April 01, 2022, to March 31, 2023 - Failure to flag inactive client accounts as "inactive" in the Exchange UCC database	Fine	Stock Exchange	2000.00	The penalty has been paid	Advised to ensure future compliances
17	The process have been strengthened for non-recurrence of such incidents.	Nil	Requirements under circular NCL/CMP/156624 dated May 5, 2023, NSE/INSP/10367 dated February 28, 2008, NSE/INSP/45191 dated July 31, 2020, NCL/CMP/49348 dated August 20, 2021 & NCL/CMP/49348 dated August 20, 2021	NCL - Final action letter for the Regular Inspection (Onsite) conducted in Futures & Options segment for the period July 01, 2021 to June 30, 2024 - a) Matched margin reporting (The client's exact margin amount available with the CM to be reported and not the margin requirement figure) - We were directed by the committee to make the required changes and submit Compliance reports within a month of the NCL action letter b) Delay in sending Daily margin statement (DMS) - We were warned by the Committee to submit Compliance Report after implementing the changes c) Improper Segregation Reporting (T+1 reporting) - It was observed that for CP codes member was reporting securities placed with NCL under UCC code - Securities received from CP client are being repledged to NCL under UCC code instead of CP code	Warning	Stock Exchange	0.00	We have made necessary changes in the system to send Daily margin statement (DMS) on daily basis to comply with the NCL guidelines	Advised to ensure future compliances	



18	The process have been strengthened for non-recurrence of such incidents.	Nil	Risk Management Policy requirements	NCL/CMP/459930 dated December 26, 2023	NCL - Final action letter for the Regular Inspection (Onsite) conducted in Futures & Options segment for the period July 01, 2021 to June 30, 2024 - Risk Management Policy (Repeat)	NCL - Final action letter for the Regular Inspection (Onsite) conducted in Futures & Options segment for the period July 01, 2021 to June 30, 2024 - Risk Management Policy (Repeat)	Fine	Stock Exchange	25000.00	The penalty has been paid	Advised to ensure future compliances
19	The process have been strengthened for non-recurrence of such incidents.	Nil	Issuing of Daily Margin statement (DMS)	NSE/INSP/51110 dated January 24, 2022, and NSE/INSP/535390 dated September 02, 2022	NSE - Action Letter for violations observed in Internal Audit Report for half year ended September 2024 - Delay in issuing the Daily Margin statement (DMS) - 10 instances (Repeat)	NSE - Action Letter for violations observed in Internal Audit Report for half year ended September 2024 - Delay in issuing the Daily Margin statement (DMS) - 10 instances (Repeat)	Fine	Stock Exchange	40000.00	The penalty has been paid	Advised to ensure future compliances
20	The process have been strengthened for non-recurrence of such incidents.	Nil	Reporting of data towards Segregation and Monitoring of Collateral at Client Level	NCL/CMP/48348 dated August 20, 2021 & NCL/CMP/49640 dated September 17, 2021	NSE - Limited Purpose Inspection (Offsite) conducted during June 2024 and July 2024 - incorrect reporting of data towards Segregation and Monitoring of Collateral at Client Level (incorrect reporting of peak ledger balance, and value of early payin)	NSE - Limited Purpose Inspection (Offsite) conducted during June 2024 and July 2024 - incorrect reporting of data towards Segregation and Monitoring of Collateral at Client Level (incorrect reporting of peak ledger balance, and value of early payin)	Advisory	Stock Exchange	0.00	Necessary changes were implemented	Advised to ensure future compliances
21	The process have been strengthened for non-recurrence of such incidents	Nil	Computation of Time Weighted Rate of Return (TWRR)	SEBI FAQ dated October 28, 2020 and Clause 5.2.1.2 of SEBI Master circular on PMS dated June 07, 2024	SEBI letter - wit mismatch in computation of Time Weighted Rate of Return (TWRR) -	SEBI letter - wit mismatch in computation of Time Weighted Rate of Return (TWRR) -	Warning	SEBI	0.00	Rectified and completed	Advised to ensure future compliances
22	The process have been strengthened for non-recurrence of such incidents.	Nil	Issuing of Daily Margin statement (DMS)	BSE Notice no. 20180509-41 dated 09 May 2018	BSE - Action Letter for violations observed in Internal Audit Report for half year ended September 2024 - Delay in issuing the Daily Margin statement (DMS) - 10 instances	BSE - Action Letter for violations observed in Internal Audit Report for half year ended September 2024 - Delay in issuing the Daily Margin statement (DMS) - 10 instances	Fine	Stock Exchange	40000.00	The penalty has been paid	Advised to ensure future compliances
23	The process have been strengthened for non-recurrence of such incidents	Nil	Requirements under circular NCL/CMP/49348 dated August 20, 2021 & NCL/CMP/49640 dated September 17, 2021	NCL/CMP/48348 dated August 20, 2021 & NCL/CMP/49640 dated September 17, 2021	NSE - Limited Purpose Inspection (Offsite) conducted during - June 2024, July 2024, August 2024, September 2024, October 2024 & November 2024 - incorrect reporting of data towards Segregation and Monitoring of Collateral at Client Level (incorrect reporting of ledger balance, peak ledger balance and value of early payin)	NSE - Limited Purpose Inspection (Offsite) conducted during - June 2024, July 2024, August 2024, September 2024, October 2024 & November 2024 - incorrect reporting of data towards Segregation and Monitoring of Collateral at Client Level (incorrect reporting of ledger balance, peak ledger balance and value of early payin)	Caution Advise	Stock Exchange	0.00	Necessary changes were implemented	Advised to ensure future compliances
24	The process have been strengthened for non-recurrence of such incidents	Nil	Reporting of data towards daily Holding statement	NSE/INSP/93993 dated November 13, 2018 & NSE/INSP/55390 dated January 25, 2023	NSE - Limited Purpose Inspection (Offsite) conducted during July 2024 - incorrect reporting of data towards daily Holding statement as on July 26, 2024	NSE - Limited Purpose Inspection (Offsite) conducted during July 2024 - incorrect reporting of data towards daily Holding statement as on July 26, 2024	Advisory	Stock Exchange		Auto reconciliation alert mechanism have been implemented	Advised to ensure future compliances
25	The process have been strengthened for non-recurrence of such incidents.	Nil	Settlement of funds of active clients	NSE/INSP/53115 dated January 07, 2022 & NSE/INSP/53820 dated September 23, 2022	NSE - Limited Purpose Inspection (Offsite) conducted during August 2024 - Non-settlement of funds of active clients, 45 instances out of 1,04,702 client's quarterly running account settlement	NSE - Limited Purpose Inspection (Offsite) conducted during August 2024 - Non-settlement of funds of active clients, 45 instances out of 1,04,702 client's quarterly running account settlement	Advisory	Stock Exchange		Matter was clarified and closed	The company has taken proper action
26	The process have been strengthened for non-recurrence of such incidents	Nil	Requirements under circular NSE/INSP/54390 dated November 11, 2022	NSE/INSP/54390 dated November 11, 2022	NSE - Limited Purpose Inspection (Offsite) conducted during October 2024 - We have pledged those securities in Client Unpaid Securities Pledge Account (CUSPA) which are paid by the clients (01 instance amounting to Rs. 19,754,000/-)	NSE - Limited Purpose Inspection (Offsite) conducted during October 2024 - We have pledged those securities in Client Unpaid Securities Pledge Account (CUSPA) which are paid by the clients (01 instance amounting to Rs. 19,754,000/-)	Advisory	Stock Exchange		Matter was clarified and closed	The company has taken proper action
27	NSE Ltd and BSE Ltd imposed a fine of Rs. 10,000 each for delay in submission of voting results within the specified time period. However, the listed entity has rectified the delay by paying the fines to the NSE Ltd and BSE Ltd	Nil	The listed entity shall submit to the stock exchange, within two working days of conclusion of its General Meeting, details regarding the voting results in the format specified by the Board	Securities and Exchange Board of India (Using Obligations and Disclosure Requirements) Regulations, 2015	Delay in submitting the voting results within the period provided under Regulation 44(3) of the Listing Regulations	Delay in submitting the voting results within the period provided under Regulation 44(3) of the Listing Regulations	Fine	Stock Exchange	10000.00	Fine has been paid and delay has been rectified	The company has taken proper action



NSE Ltd and BSE Ltd imposed a fine of Rs.2,10,000 each for delay in complying with Regulation 17 (1) of the SEBI (Listing Obligations and Disclosures Requirements) Regulations, 2015. The listed entity has rectified the delay by paying the fines to the NSE Ltd and BSE Ltd	Nil	Where the chairperson of the board of directors is a non-executive director, at least one-third of the board of directors shall comprise of independent directors and where the listed entity does not have a regular non-executive chairperson, at least half of the board of directors shall comprise of independent directors	Securities and Exchange Board of India (Listing Obligations and Disclosures Requirements) Regulations, 2015	Delay in complying with the requirements pertaining to the composition of the Board under Regulation 17(1) of the Listing Regulations.	Delay of 42 days for complying with the requirements pertaining to the composition of the Board under Regulation 17(1) of the Listing Regulations.	Fine	Stock Exchange	2,10,000.00	Fine has been paid and delay has been rectified	The company has taken proper action
NSE Ltd and BSE Ltd imposed a fine of Rs.5000 each for delay in complying with Regulation 23(9) of the SEBI (Listing Obligations and Disclosures Requirements) Regulations, 2015. The listed entity, has rectified the delay by paying the fines to the NSE Ltd and BSE Ltd	Nil	The listed entity shall submit to the stock exchanges disclosures of related party transactions every six months on the date of publication of its standalone and consolidated financial results	Securities and Exchange Board of India (Listing Obligations and Disclosures Requirements) Regulations, 2015	Delay in submitting the Related Party Transactions within the period provided under Regulation 23(9) of the Listing Regulations	Delay in submitting the Related Party Transactions within the period provided under Regulation 23(9) of the Listing Regulations	Fine	Stock Exchange	5000.00	Fine has been paid and delay has been rectified	The company has taken proper action

