

Form No. MGT-7

Annual Return (other than OPCs and Small Companies)

[Pursuant to sub-section (1) of section 92 of the Companies Act, 2013 and sub-rule (1) of rule 11 of the Companies (Management and Administration) Rules, 2014]

Refer instruction kit for filing the form

All fields marked in * are mandatory

I REGISTRATION AND OTHER DETAILS

i *Corporate Identity Number (CIN)

L67120MH1996PLC101709

ii (a) *Financial year for which the annual return is being filed (From date) (DD/MM/YYYY)

01/04/2025

(b) *Financial year for which the annual return is being filed (To date) (DD/MM/YYYY)

31/03/2026

(c) *Type of Annual filing

Original

(d) SRN of MGT-7 filed earlier for the same financial years

iii.

Particulars	As on filing date	As on the financial year end date
Name of the company	ANGEL ONE LIMITED	ANGEL ONE LIMITED
Registered office address	601, 6th Floor, Akruti Star, Central Road, MIDC, Andheri East, NA, Mumbai, Mumbai City, Maharashtra, India, 400093	601, 6th Floor, Akruti Star, Central Road, MIDC, Andheri East, NA, Mumbai, Mumbai City, Maharashtra, India, 400093
Latitude details (as on filing date)	19.1185	19.1185
Longitude details (as on filing date)	72.8703	72.8703

(b) *Permanent Account Number (PAN) of the company

AAACM6094R

(c) *e-mail ID of the company

*****secretarial@angelbroking.com

(d) *Telephone number with STD code

02240003600

(e) Website

iv *Date of Incorporation (DD/MM/YYYY)

08/08/1996

v (a) *Class of Company (as on the financial year end date)
(Private company/Public company/One Person Company)

Public company

(b) *Category of the Company (as on the financial year end date)
(Company limited by shares/Company limited by guarantee/Unlimited company)

Company limited by shares

(c) *Sub-category of the Company (as on the financial year end date)
(Indian Non-Government company/Union Government Company/State Government Company/
Guarantee and association company/Subsidiary of Foreign Company)

Non-government company

vi *Whether company is having share capital (as on the financial year end date)

Yes

vii (a) Whether shares listed on recognized Stock Exchange(s)

Yes

(b) Details of stock exchanges where shares are listed

S. No.	Stock Exchange Name	Code
1	Bombay Stock Exchange (BSE)	A1 - Bombay Stock Exchange (BSE)
2	National Stock Exchange (NSE)	A1024 - National Stock Exchange (NSE)
3		#N/A
4		#N/A

viii Number of Registrar and Transfer Agent

ix * (a) Whether Annual General Meeting (AGM) held

No

(b) If yes, date of AGM (DD/MM/YYYY)

(c) Due date of AGM (DD/MM/YYYY)

30/09/2026

(d) Whether any extension for AGM granted

No

(e) If yes, provide the Service Request Number (SRN) of the GNL-1 application form filed for extension

(f) Extended due date of AGM after grant of extension (DD/MM/YYYY)

(g) Specify the reasons for not holding the same

The Annual General Meeting of the Company is scheduled to be held on June 12, 2026

II PRINCIPAL BUSINESS ACTIVITIES OF THE COMPANY

i *Number of business activities

2

S. No	Main Activity group code	Description of Main Activity group	Business Activity Code	Description of Business Activity	% of turnover of the company
1	K	Financial and insurance activities	64	Financial service activities, except insurance and	99.8
2	K	Financial and insurance activities	65	Other financial activities	0.20
3		#N/A		#N/A	
4		#N/A		#N/A	
5		#N/A		#N/A	
6		#N/A		#N/A	
7		#N/A		#N/A	
8		#N/A		#N/A	
9		#N/A		#N/A	
10		#N/A		#N/A	
11		#N/A		#N/A	
12		#N/A		#N/A	
13		#N/A		#N/A	
14		#N/A		#N/A	
15		#N/A		#N/A	

III PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES (INCLUDING JOINT VENTURES)

i *No. of Companies for which information is to be given

11

S. No.	CIN /FCRN	Other registration number	Name of the company	Holding/ Subsidiary/ Associate/Joint Venture	% of shares held
1	U51900MH1996PTC100820		ANGEL FINANCIAL ADVISORS PRIVATE LIMITED	Subsidiary	100
2	U67120MH1996PTC245680		ANGEL FINCAP PRIVATE LIMITED	Subsidiary	100
3	U67120MH1993PLC074847		ANGEL SECURITIES LIMITED	Subsidiary	100
4	U72100MH2011PTC216367		ANGEL DIGITECH SERVICES PRIVATE LIMITED	Subsidiary	100
5	U67120MH1997PTC112516		MIMANSA SOFTWARE SYSTEMS PVT LTD	Subsidiary	100
6	U66301MH2023PLC402297		ANGEL ONE ASSET MANAGEMENT COMPANY LIMITED	Subsidiary	100
7	U64300MH2023PLC403520		ANGEL ONE TRUSTEE LIMITED	Subsidiary	100
8	U66120MH2023PLC401699		ANGEL CREST LIMITED	Subsidiary	100
9	U66190MH2023PLC411784		ANGEL ONE WEALTH LIMITED	Subsidiary	100
10	U85500MH2024NPL433965		ANGEL ONE FOUNDATION	Subsidiary	100
11	U65110KA2025FLC208328		ANGEL ONE LIVWELL INSURANCE LIMITED	Associate	26

IV SHARE CAPITAL, DEBENTURES AND OTHER SECURITIES OF THE COMPANY

i SHARE CAPITAL

(a) Equity share capital

Particulars	Authorized Capital	Issued capital	Subscribed capital	Paid Up capital
Total number of equity shares	1200000000	910859230	910859230	910859230
Total amount of equity shares (in rupees)	1200000000.00	910859230.00	910859230.00	910859230.00

Number of classes

1

Class of shares	Authorized Capital	Issued capital	Subscribed Capital	Paid Up capital
EQUITY SHARES				
Number of equity shares	1200000000	910859230	910859230	910859230
Nominal value per share (in rupees)	1	1	1	1
Total amount of equity shares (in rupees)	1200000000.00	910859230.00	910859230.00	910859230.00

(b) Preference share capital

Number of classes

0

(c) Unclassified share capital

Particulars	Authorized Capital
Total amount of unclassified shares	0

(d) Break-up of paid-up share capital

Particulars	Number of shares			Total Nominal Amount	Total Paid-up amount	Total premium
	Physical	DEMAT	Total			
(i) Equity shares						
At the beginning of the year	2	90294035	90294037.00	902940370	902940370	
Increase during the year	0.00	791886.00	791886.00	7918860.00	7918860.00	0.00
i Public Issues	0	0	0.00	0	0	0
ii Rights issue	0	0	0.00	0	0	0
iii Bonus issue	0	0	0.00	0	0	0
iv Private Placement/ Preferential allotment	0	0	0.00	0	0	0
v ESOPs	0	791886	791886.00	7918860	7918860	
vi Sweat equity shares allotted	0	0	0.00	0	0	0
vii Conversion of Preference share	0	0	0.00	0	0	0
viii Conversion of Debentures	0	0	0.00	0	0	0
ix GDRs/ADRs	0	0	0.00	0	0	0
x Others, specify			0.00			
Decrease during the year	0.00	0.00	0.00	0.00	0.00	0.00
i Buy-back of shares	0	0	0.00	0	0	0
ii Shares forfeited	0	0	0.00	0	0	0
iii Reduction of share capital	0	0	0.00	0	0	0
iv Others, specify			0.00			
At the end of the year	2.00	91085921.00	91085923.00	910859230.00	910859230.00	
(ii) Preference shares						
At the beginning of the year	0	0	0.00	0	0	0
Increase during the year	0.00	0.00	0.00	0.00	0.00	0.00
i Issues of shares	0	0	0.00	0	0	0
ii Re-issue of forfeited shares	0	0	0.00	0	0	0
iii Others, specify			0.00			
Decrease during the year	0.00	0.00	0.00	0.00	0.00	0.00
i Redemption of shares	0	0	0.00	0	0	0
ii Shares forfeited	0	0	0.00	0	0	0
iii Reduction of share capital	0	0	0.00	0	0	0
iv Others, specify			0.00			
At the end of the year	0.00	0.00	0.00	0.00	0.00	0.00

ISIN of the equity shares of the company

INE732101021

ii Details of stock split/consolidation during the year (for each class of shares)

1

Class of shares	Before split / Consolidation		After split / consolidation	
	Number of shares	Face value per share	Number of shares	Face value per share
EQUITY SHARES	90855479	10	908554790	1

iii Details of shares/Debentures Transfers since closure date of last financial year (or in the case of the first return at any time since the incorporation of the company)

No

iv Debentures (Outstanding as at the end of financial year)

(a) Non-convertible debentures

Breakup of total number of shareholders (Promoters + Other than promoters)

Sl. No	Category	
1	Individual - Female	83429
2	Individual - Male	182108
3	Individual - Transgender	0
4	Other than individuals	5501
	Total	271038.00

C Details of Foreign institutional investors' (FIIs) holding shares of the company

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Name of the FII	Address	Date of Incorporation(DD/MM/YYYY)	Country of Incorporation	Number of shares held	% of shares held
LEGAL & GENERAL UCITS ETF PLC - LB	DEUTSCHE BANK AG, DB HOUSE HAZ NA			75660	0.0083
STATE STREET MSCI EMERGING MAR	HSBC SECURITIES SERVICES 11TH FLC NA		India	100160	0.011
CITY OF NEW YORK GROUP TRUST	HSBC SECURITIES SERVICES 11TH FLC NA		India	901210	0.0989
EMERGING MARKETS SMALL CAPITAL	JP Morgan Chase Bank N.A, INDIA SU NA		India	1884540	0.2069
ISHARES CORE MSCI EMERGING MA	CITIBANK N.A. CUSTODY SERVICES FI NA		India	5078350	0.5575
ISHARES CORE MSCI EMERGING MA	CITIBANK N.A. CUSTODY SERVICES FI NA		India	96030	0.0105
VIRGINIA RETIREMENT SYSTEM	STANDARD CHARTERED BANK SECUR NA			92700	0.0102
KUWAIT INVESTMENT AUTHORITY F	CITIBANK N.A. CUSTODY SERVICES FI NA		India	2048960	0.2249
DFA GLOBAL SUSTAINABILITY CORE	STANDARD CHARTERED BANK SECUR NA		India	12410	0.0014
INQQ THE INDIA INTERNET ETF	CITIBANK N.A. CUSTODY SERVICES FI NA		India	503780	0.0553
AL MEHWAR COMMERCIAL INVESTM	HSBC SECURITIES SERVICES 11TH FLC NA		India	446480	0.049
PRESCIENT GLOBAL FUNDS ICAV - FA	CITIBANK N.A. CUSTODY SERVICES FI NA			147420	0.0162
WORLD EX U.S. CORE EQUITY PORTF	CITIBANK N.A. CUSTODY SERVICES FI NA		India	119880	0.0132
AMERICAN CENTURY ETF TRUST - AV	DEUTSCHE BANK AG, DB HOUSE HAZ NA			17420	0.0019
BNYM MELLON CF SL ACWI EX-U.S	DEUTSCHE BANK AG, DB HOUSE HAZ NA		India	3680	0.0004
VANGUARD FIDUCIARY TRUST COMF	JP Morgan Chase Bank N.A, INDIA SU NA		India	3174610	0.3485
VANGUARD TOTAL WORLD STOCK IN	DEUTSCHE BANK AG DB HOUSE, HAZ NA		India	298390	0.0328
EMERGING MARKETS TARGETED VAL	CITIBANK N.A. CUSTODY SERVICES FI NA		India	63020	0.0069
PINEBRIDGE EMERGING MARKETS DJ	JP Morgan Chase Bank N.A, India SU NA		India	28850	0.0032
VANGUARD TOTAL INTERNATIONAL	JP Morgan Chase Bank N.A, INDIA SU NA		India	6302890	0.692
INTERNATIONAL MONETARY FUND-	CITIBANK N.A. CUSTODY SERVICES FI NA			8810	0.001
ABU DHABI INVESTMENT AUTHORITY	JP Morgan Chase Bank N.A, INDIA SU NA		India	2100390	0.2306
NEW HORIZON OPPORTUNITIES MA	DEUTSCHE BANK AG, DB HOUSE HAZ NA		India	730000	0.0801
DIMENSIONAL FUNDS PLC - MULTI-F	DEUTSCHE BANK AG, DB HOUSE HAZ NA		India	65320	0.0072
PINEBRIDGE GLOBAL FUNDS - PINEB	CITIBANK N.A. CUSTODY SERVICES FI NA		India	348550	0.0383

VII NUMBER OF PROMOTERS, MEMBERS, DEBENTURE HOLDERS

(Details of , Promoters, Members (other than promoters), Debenture holders)

Details	At the beginning of the year	At the end of the year
Promoters	36	7
Members (Other than Promoters)	402179	368523
Debenture Holders	0	1

VIII DETAILS OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

A Composition of Board of Directors

Category	Number of directors at the beginning of the year		Number of directors at the end of the year		Percentage of shares held by directors as at the end of year	
	Executive	Non-executive	Executive	Non-executive	Executive	Non-executive
A Promoter	1	0	1	0	18.41	0
B Non-Promoter	2	6	2	6	0.03	0.00
i Non-Independent	2	1	2	1	0.03	0
ii Independent	0	5	0	5	0	0.00
C Nominee Directors representing	0	0	0	0	0.00	0.00
i. Banks and FIs	0	0	0	0	0	0
ii Investing institutions	0	0	0	0	0	0
iii Government	0	0	0	0	0	0
iv Small share holders	0	0	0	0	0	0
v Others	0	0	0	0	0	0
Total	3	6	3	6	18.44	0.00

*Number of Directors and Key managerial personnel (who is not director) as on the financial year end date

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B (i) Details of directors and Key managerial personnel as on the closure of financial year

Name	DIN/PAN	Designation	Number of equity shares held	Date of cessation (after closure of financial year : If any) (DD/MM/YYYY)
DINESH DARIYANUMAL THAKKAR	00004382	Managing Director	167688050	
AMBARISH CHINTAMANI KENGHE	10949234	Whole-time director	0	
AMIT PRANAB KUMAR MAJUMDAR	01633369	Whole-time director	328390	
KRISHNA ESWARAN IYER	01954913	Director	0	
KALYAN PRASATH	07677959	Director	0	
KRISHNASWAMY SRIDHAR	00046719	Director	0	
MURALIDHARAN RAMACHANDRAN	08330682	Director	0	
MALA ARUN TODARWAL	06933515	Director	1290	
ARUNKUMAR NERUR	02407722	Director	0	
THIAGARAJAN				
AMBARISH CHINTAMANI KENGHE	EASPK3743L	CEO	0	
VINEET AGRAWAL	ACNPA0652M	CFO	520560	
NAHEED REHAN PATEL	BKYP58985F	Company Secretary	40040	

B (ii) *Particulars of change in director(s) and Key managerial personnel during the year

2

Name	DIN/PAN	Designation at the beginning / during the financial year	Date of appointment/ change in designation/ cessation (DD/MM/YYYY)	Nature of change (Appointment/ Change in designation/ Cessation)
KETAN SHAH BHARAT	01765743	Whole-time director	18/07/2025	Cessation
AMBARISH CHINTAMANI KENGHE	10949234	Whole-time director	16/04/2025	Appointment

IX MEETINGS OF MEMBERS/CLASS OF MEMBERS/ BOARD/COMMITTEES OF THE BOARD OF DIRECTORS

A MEMBERS/CLASS /REQUISITIONED/NCLT/COURT CONVENED MEETINGS

*Number of meetings held

1

Type of meeting	Date of meeting (DD/MM/YYYY)	Total Number of Members entitled to attend meeting	Attendance	
			Number of members attended	% of total shareholding
ANNUAL GENERAL MEETING	09/06/2025	368530	50	24.25

B BOARD MEETINGS

*Number of meetings held

6

S.No.	Date of meeting (DD/MM/YYYY)	Total Number of directors as on the date of meeting	Attendance	
			Number of directors attended	% of attendance
1	16/04/2025	9	9	100.00
2	14/05/2025	10	10	100.00
3	16/07/2025	10	9	90.00
4	23/07/2025	9	9	100.00
5	15/10/2025	9	9	100.00
6	15/01/2026	9	9	100.00

C COMMITTEE MEETINGS

Number of meetings held

26

S.No.	Type of meeting	Date of meeting (DD/MM/YYYY)	Total Number of Members as on the date of meeting	Attendance	
				Number of members attended	% of attendance
1	AUDIT COMMITTEE	16/04/2025	3	3	100.00
2	AUDIT COMMITTEE	14/05/2025	3	2	66.67
3	AUDIT COMMITTEE	16/07/2025	3	3	100.00
4	AUDIT COMMITTEE	15/10/2025	3	3	100.00
5	AUDIT COMMITTEE	15/01/2026	3	3	100.00
6	RISK MANAGEMENT COMMITTEE	24/06/2025	4	4	100.00
7	RISK MANAGEMENT COMMITTEE	24/09/2025	4	4	100.00
8	RISK MANAGEMENT COMMITTEE	22/12/2025	4	3	75.00
9	RISK MANAGEMENT COMMITTEE	17/03/2026	4	4	100.00
10	NOMINATION AND REMUNERATION	16/04/2025	4	4	100.00
11	NOMINATION AND REMUNERATION	16/07/2025	4	4	100.00
12	NOMINATION AND REMUNERATION	15/01/2026	4	4	100.00
13	STAKEHOLDER RELATIONSHIP COMM	08/01/2026	3	3	100.00
14	CORPORATE SOCIAL RESPONSIBILITY	22/04/2025	3	3	100.00
15	CORPORATE SOCIAL RESPONSIBILITY	08/10/2025	3	3	100.00
16	ENVIRONMENT SOCIAL AND GOVERN	15/04/2025	3	3	100.00
17	ENVIRONMENT SOCIAL AND GOVERN	16/02/2026	3	3	100.00
18	INFORMATION AND TECHNOLOGY C	24/06/2025	4	4	100.00
19	TECHNOLOGY AND CYBER SECURITY	24/06/2025	7	7	100.00
20	CYBER SECURITY AND INFORMATION	24/09/2025	6	6	100.00
21	CYBER SECURITY AND INFORMATION	22/12/2025	6	4	66.67
22	CYBER SECURITY AND INFORMATION	17/03/2026	6	6	100.00
23	INDEPENDENT DIRECTOR COMMITTEE	11/07/2025	5	5	100.00
24	INDEPENDENT DIRECTOR COMMITTEE	08/01/2026	5	5	100.00
25					0.00
26					0.00

D ATTENDANCE OF DIRECTORS

S.No.	Name of the Director	Board Meetings			Committee Meetings			Whether attended AGM/held on
		Number of Meetings which director was entitled to attend	Number of Meetings attended	% of attendance	Number of Meetings which director was entitled to attend	Number of Meetings attended	% of attendance	
1	DINESH DARIYANUMAL THAKKAR	6	6	100.00	7	7	100.00	Not applicable
2	AMBARISH CHINTAMANI KENGHE	6	6	100.00	6	4	66.67	Not applicable
3	AMIT PRANAB KUMAR MAJUMDAR	6	6	100.00	1	1	100.00	Not applicable
4	KRISHNA ESWARAN IYER	6	6	100.00	9	8	88.89	Not applicable
5	KALYAN PRASATH	6	6	100.00	13	13	100.00	Not applicable
6	KRISHNASWAMY SRIDHAR	6	6	100.00	10	10	100.00	Not applicable
7	MURALIDHARAN RAMACHANDRAN	6	6	100.00	16	16	100.00	Not applicable
8	MALA ARUN TODARWAL	6	6	100.00	9	9	100.00	Not applicable
9	ARUNKUMAR NERUR THIAGARAJAN	6	6	100.00	10	10	100.00	Not applicable

X REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

Yes

A *Number of Managing Director, Whole-time Directors and/or Manager whose remuneration details to be entered

4

S. No.	Name	Designation	Gross salary	Commission	Stock Option/ Sweat equity	Others	Total amount
1	DINESH THAKKAR	Managing director	107728212	0	0	0	107728212.00
2	AMBARISH KENGHE	Whole-time director	86944572	0	327907996	0	414852568.00
3	AMIT MAJUMDAR	Whole-time director	23407416	0	241999509	0	265406925.00
4	KETAN SHAH	Whole-time director	5521854	0	593973889	0	599495743.00
5							0.00
6							0.00
7							0.00
8							0.00
9							0.00
10							0.00
11							0.00
12							0.00
13							0.00
14							0.00
15							0.00
	Total		223602054.00	0.00	1163881394.00	0.00	1387483448.00

B *Number of CEO, CFO and Company secretary whose remuneration details to be entered

3

S. No.	Name	Designation	Gross salary	Commission	Stock Option/ Sweat equity	Others	Total amount
1	AMBARISH KENGHE	CEO	86944572	0	327907996	0	414852568.00
2	VINEET AGRAWAL	CFO	26487408	0	230859872	0	257347280.00

Companies Act, 2013 (the Act) and the rules made thereunder for the financial year ended on (DD/MM/YYYY)

31/03/2026

In my/our opinion and to the best of my information and according to the examinations carried out by me/ us and explanations furnished to me/ us by the company, its officers and agents, I/ we certify that:

A The Annual Return states the facts as at the close of the aforesaid financial year correctly and adequately.

B During the aforesaid financial year the Company has complied with provisions of the Act & Rules made there under in respect of:

- 1 its status under the Act;
- 2 maintenance of registers/records & making entries therein within the timeprescribed therefor;
- 3 filing of forms and returns as stated in the annual return, with the Registrar of Companies, Regional Director, Central Government, the Tribunal, Court or other authorities within/beyond the prescribed time;
- 4 calling/ convening/ holding meetings of Board of Directors or its committees, if any, and the meetings of the members of the company on due dates as stated in the annual return in respect of which meetings, proper notices were given and the proceedings including the circular resolutions and resolutions passed by postal ballot, if any, have been properly recorded in the Minute Book/registers maintained for the purpose and the same have been signed;
- 5 closure of Register of Members / Security holders, as the case may be.
- 6 advances/loans to its directors and/or persons or firms or companies referred in section 185 of the Act;
- 7 contracts/arrangements with related parties as specified in section 188 of the Act;
- 8 issue or allotment or transfer or transmission or buy back of securities/ redemption of preference shares or debentures/ alteration or reduction of share capital/ conversion of shares/ securities and issue of security certificates in all instances;
- 9 keeping in abeyance the rights to dividend, rights shares and bonus shares pending registration of transfer of shares in compliance with the provisions of the Act
- 10 declaration/ payment of dividend; transfer of unpaid/ unclaimed dividend/other amounts as applicable to the Investor Education and Protection Fund in accordance with section 125 of the Act;
- 11 signing of audited financial statement as per the provisions of section 134 of the Act and report of directors is as per sub - sections (3), (4) and (5) thereof;
- 12 constitution/ appointment/ re-appointments/ retirement/ filling up casual vacancies/ disclosures of the Directors, Key Managerial Personnel and the remuneration paid to them;
- 13 appointment/ reappointment/ filling up casual vacancies of auditors as per the provisions of section 139 of the Act;
- 14 approvals required to be taken from the Central Government, Tribunal, Regional Director, Registrar, Court or such other authorities under the various provisions of the Act;
- 15 acceptance/ renewal/ repayment of deposits;
- 16 borrowings from its directors, members, public financial institutions, banks and others and creation/ modification/ satisfaction of charges in that respect, wherever applicable;
- 17 loans and investments or guarantees given or providing of securities to other bodies corporate or persons falling under the provisions of section 186 of the Act ;
- 18 alteration of the provisions of the Memorandum and/ or Articles of Association of the Company;

To be digitally signed by

DSC BOX

Name

MMJC & ASSOCIATES LLP

Date (DD/MM/YYYY)

14/05/2025

Place

MUMBAI

Whether associate or fellow:

Fellow

Certificate of practice number

8968

XVI Declaration under Rule 9(4) of the Companies (Management and Administration) Rules, 2014

(a) DIN/PAN/Membership number of Designated Person

00004382

(b) Name of the Designated Person

Declaration

I am authorised by the Board of Directors of the Company vide resolution number* [37] dated* (DD/MM/YYYY) 16/04/2026 to sign this form and declare that all the requirements of Companies Act, 2013 and the rules made there under in respect of the subject matter of this form and matters incidental thereto have been complied with. I further declare that:

- 1 Whatever is stated in this form and in the attachments thereto is true, correct and complete and no information material to the subject matter of this form has been suppressed or concealed and is as per the original records maintained by the company.
- 2 All the required attachments have been completely and legibly attached to this form.

*To be digitally signed by

DSC BOX

*Designation

Director

(Director /Liquidator/ Interim Resolution Professional (IRP)/Resolution Professional (RP))

*DIN of the Director; or PAN of the Interim Resolution Professional (IRP) or Resolution Professional (RP) or Liquidator

00004382

*To be digitally signed by

DSC BOX

*Whether associate or fellow:

Company Secretary

Associate

*Membership number

22506

Certificate of practice number

Angel One Limited					
Details in respect of shares held by or on behalf of the FIIs/ FPIs.					
Name of the FII	Address	Date of Incorporation	Country	Number of shares held	% of shares held
LEGAL & GENERAL UCITS ETF PLC -L&G GERD KOMMER MULTIFACTOR EQUITY UCITS ETF	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX			75660	0.0083
STATE STREET MSCI EMERGING MARKETS SMALL CAP INDEX NON-LENDING COMMON TRUST FUND	HSBC SECURITIES SERVICES 11TH FLOOR BLDG 3 NESCO IT PARK NESCO COMPLEX W E HIGHWAY		India	100160	0.011
CITY OF NEW YORK GROUP TRUST	HSBC SECURITIES SERVICES 11TH FLOOR BLDG 3 NESCO IT PARK NESCO COMPLEX W E HIGHWAY		India	901210	0.0989
EMERGING MARKETS SMALL CAPITALIZATION EQUITY INDEX NON-LENDABLE FUND	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	1884540	0.2069
ISHARES CORE MSCI EMERGING MARKETS ETF	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	5078350	0.5575
ISHARES CORE MSCI EMERGING MARKETS IMI INDEX ETF	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	96030	0.0105
VIRGINIA RETIREMENT SYSTEM	STANDARD CHARTERED BANK SECURITIES SERVICES, 3RD FLOOR 23-			92700	0.0102
KUWAIT INVESTMENT AUTHORITY FUND F238	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	2048960	0.2249
DFA GLOBAL SUSTAINABILITY CORE EQUITY FUND	STANDARD CHARTERED BANK SECURITIES SERVICES, 3RD FLOOR 23-		India	12410	0.0014
INQQ THE INDIA INTERNET ETF	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	503780	0.0553
AL MEHWAR COMMERCIAL INVESTMENTS L.L.C. - (WHITING)	HSBC SECURITIES SERVICES 11TH FLOOR BLDG 3 NESCO IT PARK NESCO COMPLEX W E HIGHWAY		India	446480	0.049
PRESCIENT GLOBAL FUNDS ICAV - FAIRTREE GLOBAL EMERGING MARKETS FUND	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-			147420	0.0162
WORLD EX U.S. CORE EQUITY PORTFOLIO OF DFA INVESTMENT DIMENSIONS GROUP INC.	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	119880	0.0132
AMERICAN CENTURY ETF TRUST - AVANTIS EMERGING MARKETS EX-CHINA EQUITY ETF	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX			17420	0.0019
BNYM MELLON CF SL ACWI EX-U.S IMI FUND	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX		India	3680	0.0004
VANGUARD FIDUCIARY TRUST COMPANY INSTITUTIONAL TOTAL INTERNATIONAL STOCK MARKET INDEX TRUST II	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	3174610	0.3485

VANGUARD TOTAL WORLD STOCK INDEX FUND	DEUTSCHE BANK AG DB HOUSE, HAZARIMAL SOMANI MARG POST BOX		India	298390	0.0328
EMERGING MARKETS TARGETED VALUE PORTFOLIO	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	63020	0.0069
PINEBRIDGE EMERGING MARKETS DYNAMIC MULTI ASSET FUND	JP Morgan Chase Bank N.A, India Sub Custody 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	28850	0.0032
VANGUARD TOTAL INTERNATIONAL STOCK INDEX FUND	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	6302890	0.692
INTERNATIONAL MONETARY FUND- MANAGER A	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-			8810	0.001
ABU DHABI INVESTMENT AUTHORITY - MONSOON	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	2100390	0.2306
NEW HORIZON OPPORTUNITIES MASTER FUND	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX		India	730000	0.0801
DIMENSIONAL FUNDS PLC - MULTI-FACTOR EQUITY FUND	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX		India	65320	0.0072
PINEBRIDGE GLOBAL FUNDS - PINEBRIDGE GLOBAL EMERGING MARKETS FOCUS EQUITY	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	348550	0.0383
MEDIOLANUM BEST BRANDS - MEDIOLANUM INDIA OPPORTUNITIES	STANDARD CHARTERED BANK SECURITIES SERVICES, 3RD FLOOR 23-		India	580540	0.0637
VANGUARD FTSE ALL-WORLD EX-US SMALL-CAP INDEX FUND	STANDARD CHARTERED BANK SECURITIES SERVICES, 3RD FLOOR 23-			1631580	0.1791
DIMENSIONAL EMERGING MARKETS SUSTAINABILITY CORE 1 ETF OF DIMENSIONAL ETF	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	119650	0.0131
NIPPON INDIA INVESTMENT UNIT TRUST - NIPPON INDIA SMALL AND MID-CAP EQUITIES FUND	BNP PARIBAS 1 NORTH AVENUE, MAKER MAXITY BANDRA KURLA			130690	0.0143
STATE OF ALASKA RETIREMENT AND BENEFITS PLANS MANAGED BY DIMENSIONAL FUND	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	48390	0.0053
AADHYAA INTERNATIONAL DMCC	ICICI BANK LIMITED 1ST FLOOR, SMS DEPT, EMPIRE COMPLEX 414, S. B. MARG, LOWER PAREL (WEST)			20000	0.0022
INDIA ACORN FUND LTD	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	369660	0.0406
TEXAS MUNICIPAL RETIREMENT SYSTEM	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX		India	67250	0.0074
FIDELITY SALEM STREET TRUST FIDELITY TOTAL INTERNATIONAL INDEX FUND	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	241860	0.0266

ASHOKA WHITEOAK ICAV - ASHOKA WHITEOAK INDIA OPPORTUNITIES FUND	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY		India	2481610	0.2724
ABS DIRECT EQUITY FUND LLC - INDIA SERIES 1	STANDARD CHARTERED BANK Securities Services, 3rd Floor 23-25		India	172400	0.0189
DIMENSIONAL WORLD EX U.S. CORE EQUITY 2 ETF OF DIMENSIONAL ETF TRUST	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	472100	0.0518
RADIANT GLOBAL FUND-CLASS B PARTICIPATING SHARES	ORBIS FINANCIAL CORPORATION LTD 4A OCUS TECHNOPOLES GOLF CLUB			2000	0.0002
STATE STREET MSCI EMERGING MARKETS SMALL CAP INDEX SECURITIES LENDING FUND	HSBC SECURITIES SERVICES 11TH FLOOR BLDG 3 NESCO IT PARK NESCO COMPLEX W E HIGHWAY		India	137730	0.0151
FUNDPARTNER SOLUTIONS (SUISSE) SA- TURICUM - AKTIEN - UND IMMOBILIENWERTSCHRIFTEN	HSBC SECURITIES SERVICES 11TH FLOOR BLDG 3 NESCO IT PARK NESCO COMPLEX W E HIGHWAY		India	38790	0.0043
ANANTA INDIA GROWTH INCORPORATED VCC SUB FUND 1	ICICI BANK LTD EMPIRE COMPLEX 1ST FLOOR 414 S B MARG LOWER PAREL			34000	0.0037
SSGA SPDR ETFs EUROPE I PUBLIC LIMITED COMPANY - SPDR MSCI EMERGING MARKETS	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX		India	136050	0.0149
VANGUARD FUNDS PLC - VANGUARD ESG EMERGING MARKETS ALL CAP UCITS ETF	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY		India	5020	0.0006
GS INDIA EQUITY	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY		India	230660	0.0253
CUSTODY BANK OF JAPAN, LTD. AS TRUSTEE FOR SMBCTB INNOVATION INDEX FINTECH MOTHER FUND	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY			2430	0.0003
VICTORY TRIVALENT EMERGING MARKETS SMALL CAP COLLECTIVE FUND	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C- STANDARD CHARTERED BANK			114540	0.0126
DFA INTERNATIONAL VECTOR EQUITY FUND	SECURITIES SERVICES, 3RD FLOOR 23-		India	60040	0.0066
TSP CUSTOM EMERGING MARKETS SECURITIES LENDING FUND	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY			316200	0.0347
NORTHERN TRUST COLLECTIVE EMERGING MARKETS SMALL CAP INDEX FUND- NON LENDING	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	291210	0.032
KB RISE INDIA DIGITAL GROWTH ETF (STOCK-DERIVATIVE TYPE)	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY			8460	0.0009
CRAFT EMERGING MARKET FUND PCC-CITADEL CAPITAL FUND	ORBIS FINANCIAL CORPORATION LTD 4 A OCUS TECHNOPOLES GOLF CLUB			5000	0.0005

TEACHER RETIREMENT SYSTEM OF TEXAS - SELF MANAGED 33	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY				51730	0.0057
XTRACKERS NIFTY 500 INDIA ETF	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY				1360	0.0001
NORTHERN TRUST COMMON ALL COUNTRY WORLD EX-US INVESTABLE MARKET INDEX FUND-	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India		19680	0.0022
PUB EQUITIES EMERGING MARKETS 1	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India		73670	0.0081
MERCER QIF FUND PLC-MERCER INVESTMENT FUND 1	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India		119830	0.0132
CALIFORNIA STATE TEACHERS RETIREMENT SYSTEM - NORTHERN TRUST INVESTMENTS, INC.	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY				201920	0.0222
PUBLIC EMPLOYEES RETIREMENT SYSTEM OF OHIO	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY		India		122800	0.0135
WORLD ALLOCATION 60/40 FUND OF DIMENSIONAL FUNDS PLC	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India		49640	0.0054
FACTORY MUTUAL INSURANCE COMPANY	JP Morgan Chase Bank N.A, India Sub Custody 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India		66100	0.0073
EMERGING MARKETS CORE EQUITY LOWER CARBON ESG SCREENED FUND OF DIMENSIONAL	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India		74450	0.0082
ALASKA PERMANENT FUND - DIMENSIONAL FUND ADVISORS LP - EMERGING MARKETS SMALL CAP	STANDARD CHARTERED BANK SECURITIES SERVICES, 3RD FLOOR 23				13150	0.0014
THE EMERGING MARKETS SMALL CAP SERIES OF THE DFA INVESTMENT TRUST COMPANY	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India		481130	0.0528
STATE STREET GLOBAL ALL CAP EQUITY EX-US INDEX PORTFOLIO	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX		India		104000	0.0114
VANGUARD FUNDS PLC / VANGUARD ESG GLOBAL ALL CAP UCITS ETF	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY		India		12330	0.0014
ST. JAMES'S PLACE GLOBAL SMALLER COMPANIES UNIT TRUST MANAGED BY NORTHERN TRUST GLOBAL INVESTMENTS LIMITED	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX NO. 1142, FORT MUMBAI				97570	0.0107
BVK PERSONALVORSORGE DES KANTONS ZURICH	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India		129130	0.0142

EMERGING MARKETS SMALL CAPITALIZATION EQUITY INDEX FUND B	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	43730	0.0048
AMERICAN CENTURY ETF TRUST-AVANTIS EMERGING MARKETS VALUE ETF	HSBC SECURITIES SERVICES 11TH FLR, BLDG NO.3, NESCO - IT PARK NESCO COMPLEX, W E HIGHWAY		India	229370	0.0252
ISHARES MSCI EMERGING MARKETS SMALL-CAP ETF	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	121800	0.0134
DIMENSIONAL EMERGING MARKETS CORE EQUITY 2 ETF OF DIMENSIONAL ETF TRUST	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	1621030	0.178
ABU DHABI INVESTMENT AUTHORITY - WAY	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	1617730	0.1776
EMERGING MARKETS CORE EQUITY FUND OF DIMENSIONAL FUNDS ICVC	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX		India	273420	0.03
DFA AUSTRALIA LIMITED AS RESPONSIBLE ENTITY FOR DIMENSIONAL EMERGING MARKETS	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	64240	0.0071
AMERICAN CENTURY ETF TRUST - AVANTIS EMERGING MARKETS EQUITY FUND	DEUTSCHE BANK AG, DB HOUSE, HAZARIMAL SOMANI MARG, P.O.BOX		India	125560	0.0138
PASSAGE TO INDIA MASTER FUND LIMITED	C/O CHILIN GLOBAL FIDUCIARY SERVICES LTD LEVEL 8 NEXTERACOM BULDING TOWER III RUE DU SAVOIR		Mauritius	35000	0.0038
AMERICAN CENTURY ETF TRUST-AVANTIS EMERGING MARKETS EQUITY ETF	DEUTSCHE BANK AG, DB HOUSE, HAZARIMAL SOMANI MARG, P.O.BOX		India	2853320	0.3133
CUSTODY BANK OF JAPAN, LTD. AS TRUSTEE FOR SMBCTB INDIA SMALL CAP EQUITY MOTHER FUND	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY			20700	0.0023
EMERGING MARKETS CORE EQUITY 2 PORTFOLIO OF DFA INVESTMENT DIMENSIONS GROUP INC.	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	4491980	0.4932
WASHINGTON STATE INVESTMENT BOARD MANAGED BY STATE STREET GLOBAL ADVISORS GUARANTEED EDUCATION TUITION-GET	HSBC SECURITIES SERVICES 11TH FLOOR BLDG 3 NESCO IT PARK NESCO COMPLEX W E HIGHWAY		India	3470	0.0004
ASHOKA WHITEOAK ICAV - ASHOKA WHITEOAK INDIA LEADERS FUND	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY		India	48970	0.0054
FLEXSHARES MORNINGSTAR EMERGING MARKETS FACTOR TILT INDEX FUND	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	5520	0.0006
EMERGING MARKETS SUSTAINABILITY CORE 1 PORTFOLIO	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	148480	0.0163

VANGUARD INVESTMENT SERIES PLC - VANGUARD ESG EMERGING MARKETS ALL CAP EQUITY INDEX FUND	HSBC SECURITIES SERVICES 11TH FLOOR BLDG 3 NESCO IT PARK NESCO COMPLEX W E HIGHWAY		India	56090	0.0062
THE REGENTS OF THE UNIVERSITY OF CALIFORNIA STATE STREET GLOBAL ADVISORS	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX		India	454400	0.0499
COLLEGE RETIREMENT EQUITIES FUND - STOCK ACCOUNT	DEUTSCHE BANK AG DB HOUSE, HAZARIMAL SOMANI MARG POST BOX		India	338530	0.0372
UTAH STATE RETIREMENT SYSTEMS	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	37530	0.0041
PEOPLE'S BANK OF CHINA	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX		India	71630	0.0079
DFA INTERNATIONAL CORE EQUITY FUND	STANDARD CHARTERED BANK SECURITIES SERVICES, 3RD FLOOR 23		India	119030	0.0131
ISHARES EMERGING MARKETS IMI EQUITY INDEX FUND	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	11830	0.0013
EMERGING MARKETS SMALL CAPITALIZATION EQUITY INDEX FUND	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	700050	0.0769
WORLD EX U.S. TARGETED VALUE PORTFOLIO OF DFA INVESTMENT DIMENSIONS GROUP INC.	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	63530	0.007
PUB EQUITIES EMERGING MARKETS 2	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	81080	0.0089
VANGUARD FIDUCIARY TRUST COMPANY INSTITUTIONAL TOTAL INTERNATIONAL STOCK MARKET INDEX TRUST	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	489830	0.0538
VANGUARD ESG INTERNATIONAL STOCK ETF	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	79200	0.0087
ENVISION INDIA FUND	Kotak Mahindra Bank Ltd A wing, 5th floor, Intellion Square Infinity IT Park		India	2655000	0.2915
STATE STREET GLOBAL SMALL CAP EQUITY EX-U.S. INDEX NON-LENDING SERIES FUND	HSBC SECURITIES SERVICES 11TH FLOOR BLDG 3 NESCO IT PARK NESCO COMPLEX W E HIGHWAY		India	1252530	0.1375
LAZARD ASSET MANAGEMENT LLC	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	2050	0.0002
UBS AG - ODI	STANDARD CHARTERED BANK Securities Services, 3rd Floor 23-25		India	27980	0.0031
GOLDMAN SACHS FUNDS - GOLDMAN SACHS INDIA EQUITY PORTFOLIO	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX			6386520	0.7012

STATE STREET MSCI ACWI EX USA IMI SCREENED NON-LENDING COMMON TRUST FUND	HSBC SECURITIES SERVICES 11TH FLOOR BLDG 3 NESCO IT PARK NESCO COMPLEX W E HIGHWAY		India	6600	0.0007
AMERICAN CENTURY ETF TRUST-AVANTIS EMERGING MARKETS SMALL CAP EQUITY ETF	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY			6940	0.0008
SPARTAN GROUP TRUST FOR EMPLOYEE BENEFIT PLANS SPARTAN TOTAL INTERNATIONAL INDEX	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	69310	0.0076
UNITED NATIONS FOR AND ON BEHALF OF THE UNITED NATIONS JOINT STAFF PENSION FUND	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	185520	0.0204
THRIFT SAVINGS PLAN	JP Morgan Chase Bank N.A, India Sub Custody 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	1379900	0.1515
SPDR PORTFOLIO EMERGING MARKETS ETF	HSBC SECURITIES SERVICES 11TH FLOOR BLDG 3 NESCO IT PARK NESCO COMPLEX W E HIGHWAY		India	723860	0.0795
SSGA SPDR ETFS EUROPE I PUBLIC LIMITED COMPANY-SPDR MSCI ALL COUNTRY WORLD	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX		Ireland	2790	0.0003
TEACHERS RETIREMENT SYSTEM OF THE CITY OF NEW YORK	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	11220	0.0012
DENDANA INVESTMENTS (MAURITIUS) LIMITED MANAGED BY ASHOKA WHITE OAK CAPITAL PTE.	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-			52000	0.0057
VANGUARD INVESTMENTS FUNDS ICVC- VANGUARD FTSE GLOBAL ALL CAP INDEX FUND	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX		India	31050	0.0034
UNIVERSAL - INVESTMENT - GESELLSCHAFT MBH ON BEHALF OF FOVERUKA PENSION UNIVERSAL	JP Morgan Chase Bank N.A, India Sub Custody 3rd Flr,JP MORGAN TOWER,OFF CST ROAD KALINA,		India	14270	0.0016
NEW YORK STATE TEACHERS RETIREMENT SYSTEM-MANAGED BY GOLDMAN SACHS ASSET	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX			351640	0.0386
ALL COUNTRY EX US EQUITY MARKET SUBTRUST OF DFA GROUP TRUST	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-			46500	0.0051
LEGAL & GENERAL EMERGING MARKETS EX CHINA SMALL CAP COLLECTIVE INVESTMENT TRUST	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-			117630	0.0129
MORGAN STANLEY ASIA (SINGAPORE) PTE.	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	2500	0.0003
DIMENSIONAL WORLD EX U.S. SUSTAINABILITY TARGETED VALUE PORTFOLIO OF DFA INVESTMENT DIMENSIONS GROUP INC.	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C- 54 AND C-55, BKC BANDRA - EAST,			19800	0.0022
AMUNDI ETF ICAV - AMUNDI MSCI INDIA IMI UCITS ETF	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY			600	0.0001

BNP PARIBAS FINANCIAL MARKETS	BNP PARIBAS, CUSTODY OPERATIONS BNP PARIBAS HOUSE, 6TH FLOOR 1 NORTH AVENUE, MAKER MAXITY		India	62540	0.0069
GOVERNMENT PENSION FUND GLOBAL	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	3010290	0.3305
WORLD EQUITY LOWER CARBON ESG SCREENED FUND OF DIMENSIONAL FUNDS PLC	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-			6330	0.0007
ISHARES CORE MSCI EM IMI UCITS ETF	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX			1222710	0.1342
ST. JAMES'S PLACE BALANCED MANAGED UNIT TRUST MANAGED BY PINEBRIDGE INVESTMENTS LLC	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY			650827	0.0715
EMQQ EMERGING MARKETS INTERNET UCITS ETF	JP Morgan Chase Bank N.A, India Sub Custody 3rd Flr, JP MORGAN TOWER, OFF CST ROAD KALINA,		India	74110	0.0081
PREMIER INVESTMENT FUND LIMITED	Kotak Mahindra Bank Ltd A wing, 5th floor, Intellion Square Infinity IT Park		India	31250	0.0034
VICTORY EMERGING MARKETS FUND	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	123803	0.0136
PINEBRIDGE DYNAMIC ASSET ALLOCATION FUND	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY		India	26156	0.0029
CAISSE DE DEPOT ET PLACEMENT DU QUEBEC	HSBC SECURITIES SERVICES 11TH FLOOR BLDG 3 NESCO IT PARK NESCO COMPLEX W E HIGHWAY		India	62570	0.0069
AMERICAN CENTURY ICAV - AVANTIS EMERGING MARKETS EQUITY UCITS ETF	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-			25968	0.0029
BNYM MELLON DB SL ACWI EX-U.S. SMALL CAP FUND	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX		India	8760	0.001
DIMENSIONAL EMERGING CORE EQUITY MARKET ETF OF DIMENSIONAL ETF TRUST	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	443410	0.0487
PINEBRIDGE GLOBAL FUNDS - PINEBRIDGE GLOBAL DYNAMIC ASSET ALLOCATION FUND	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	28161	0.0031
ISHARES MSCI INDIA SMALL-CAP ETF	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	847715	0.0931
BORDER TO COAST EMERGING MARKETS EQUITY FUND, A SUB FUND OF BORDER TO COAST AUTHORISED CONTRACTUAL SCHEME	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C- 54 AND C-55, BKC BANDRA - EAST,		India	4605284	0.5056
VICTORY CAPITAL GROWTH FUND	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	67613	0.0074
OXBOW MASTER FUND LIMITED	STANDARD CHARTERED BANK Securities Services, 3rd Floor 23-25		India	623446	0.0684

EMERGING MARKETS TARGETED VALUE FUND OF THE DIMENSIONAL FUNDS II PUBLIC LIMITED	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX		India	277204	0.0304
SPDR S&P EMERGING MARKETS EX-CHINA ETF	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY			1238	0.0001
ISHARES IV PUBLIC LIMITED COMPANY - ISHARES MSCI EM IMI SCREENED UCITS ETF	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	289800	0.0318
WISDOMTREE INDIA EARNINGS FUND	STANDARD CHARTERED BANK SECURITIES SERVICES, 3RD FLOOR 23			138667	0.0152
PINEBRIDGE GLOBAL DYNAMIC ASSET ALLOCATION FUND	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX		India	13289	0.0015
ULLICO DIVERSIFIED INTERNATIONAL EQUITY FUND, L.P.	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX		United States of	10080	0.0011
NIPPON INDIA INVESTMENT UNIT TRUST - NIPPON INDIA EQUITY FUND	BNP PARIBAS 1 NORTH AVENUE, MAKER MAXITY BANDRA KURLA			838674	0.0921
EMERGING MARKETS EX CHINA CORE EQUITY PORTFOLIO OF DFA INVESTMENT DIMENSIONS	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	62330	0.0068
TEACHER RETIREMENT SYSTEM OF TEXAS- SELF MANAGED 40	HSBC SECURITIES SERVICES 11TH FLOOR, BLDG 3, NESCO - IT PARK NESCO COMPLEX, W.E. HIGHWAY			3078	0.0003
VANGUARD EMERGING MARKETS STOCK INDEX FUND, A SERIES OF VANGUARD INTERNATIONAL EQUITY INDEX FUNDS	JP Morgan Chase Bank N.A, INDIA SUB CUSTODY 3rd Flr, JP MORGAN TOWER, OFF CST ROAD KALINA,		India	6057115	0.665
TRANS EXT GLOBAL EMRG MKTS	HSBC SECURITIES SERVICES 11TH FLOOR BLDG 3 NESCO IT PARK NESCO COMPLEX W E HIGHWAY		India	7444	0.0008
PINEBRIDGE GLOBAL FUNDS - PINEBRIDGE INDIA EQUITY FUND	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	2500000	0.2745
BNP PARIBAS FINANCIAL MARKETS - ODI	BNP PARIBAS HOUSE 1 NORTH AVENUE, MAKER MAXITY BANDRA		India	513103	0.0563
BOFA SECURITIES EUROPE SA	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	148000	0.0162
GOLDMAN SACHS ETF TRUST - GOLDMAN SACHS INDIA EQUITY ETF	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX			221966	0.0244
ISHARES MSCI EM SMALL CAP UCITS ETF	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	96092	0.0105
QUADRATURE TRADING VCC - SUB-FUND NO. 1	JPMorgan Chase Bank, N.A. India Sub Custody 3rd Flr, JP Morgan Tower, Off			2763079	0.3033
ISHARES CORE MSCI TOTAL INTERNATIONAL STOCK ETF	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	928205	0.1019
EMQQ THE EMERGING MARKETS INTERNET ETF	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	140348	0.0154

NUVAMA INDIA OPPORTUNITIES FUND - CLASS C	33 EDITH CAVELL STREET PORT LOUIS		Mauritius	41	0
SOCIETE GENERALE - ODI	SBI-SG GLOBAL SECURITIES SERVICES PL JEEVAN SEVA EXTENSION BUILDING GROUND		India	701825	0.0771
BOFA SECURITIES EUROPE SA - ODI	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	19632274	2.1554
WISDOMTREE ISSUER ICAV - WISDOMTREE INDIA EARNINGS UCITS ETF	STANDARD CHARTERED BANK SECURITIES SERVICES, 3RD FLOOR 23			512	0.0001
HOOD RIVER INTERNATIONAL OPPORTUNITY FUND	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-			1458072	0.1601
INQQ INDIA INTERNET UCITS ETF	JP Morgan Chase Bank N.A, India Sub Custody 3rd Flr, JP MORGAN TOWER, OFF CST ROAD KALINA,		India	113741	0.0125
HORNBILL ORCHID INDIA FUND	SBI SG GLOBAL SECURITIES SERVICES PL JEEVAN SEVA ANNEXE BUILDING, A WING GR FLOOR, S V ROAD		India	5466278	0.6001
VANECK DIGITAL INDIA ETF	DEUTSCHE BANK AG, DB HOUSE HAZARIMAL SOMANI MARG, P.O.BOX			165430	0.0182
FMQQ THE NEXT FRONTIER INTERNET ETF	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-		India	41845	0.0046
DIMENSIONAL EMERGING MARKETS EX CHINA CORE EQUITY ETF OF DIMENSIONAL ETF TRUST	CITIBANK N.A. CUSTODY SERVICES FIFC- 9TH FLOOR, G BLOCK PLOT C-			43471	0.0048
GSA INTERNATIONAL MASTER FUND LIMITED	STANDARD CHARTERED BANK SECURITIES SERVICES, 3RD FLOOR 23			14084	0.0015
ARDAN ENTERPRISES - FZCO	ORBIS FINANCIAL CORPORATION LTD 4 A, OCUS TECHNOPOLIS SECTOR 54,			4350	0.0005
CALIFORNIA PUBLIC EMPLOYEES' RETIREMENT SYSTEM	HSBC SECURITIES SERVICES 11TH FLOOR BLDG 3 NESCO IT PARK NESCO COMPLEX W E HIGHWAY		India	490773	0.0539
GENERATED ON : 13/05/2026					

Details Of Penalties / Punishment Imposed on Company/Directors /Officers

SR NO	Name of the company/directors/officers	Name of the court/concerned Authority	Date of Order	Name of the Act and section under which penalised / punished	Details of penalty/punishment	Details of appeal (if any) including present status
1.	Angel One Limited	CDSL	03/04/2025	Incorrect entry of PAN details in CDAS during the month of February-2025	₹ 100	These are Very old cases wherein incorrect PAN was entered by user and when such clients trade, we direct them to modify and update their correct PAN which is then pushed back to CDSL and CDSL consider this as modification and levy charges. We are in discussion with CDSL for one time solution of the pending cases.
2.	Angel One Limited	CDSL	03/04/2025	1 DIS (Delivery Instruction Slip) were not scanned and uploaded by the DP within the stipulated timeframe of T+1 day.	₹ 200	The User has not uploaded the scan image of DIS within 24 hours of the processing and has uploaded the scan image on next working day. In DPU4 file there was no pending of records showing for the respective date and it was believed that the DIS scan image has been uploaded within the timelines. Post RCA of the case and discussion with CDSL, the approach has been changed to extract the DPU5 file on everyday EOD to check if there is any pending DIS scan image at CDSL portal. Maker and checker process has been strengthened to verify the said data on daily basis.



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CDSL: IN-DP-384-2018, PMS:INP000001546,
Research Analyst: INH000000164, Investment Advisor: INA000008172,
AMFI Regn. No. ARN-77404, PFRDA, Regn. No.-19092018.

3.	Angel One Limited	CDSL	03/04/2025	4 DIS (Delivery Instruction Slip) were not scanned and uploaded by the DP within the stipulated timeframe of T+1 day.	₹ 800	The User has not uploaded the scan image of DIS within 24 hours of the processing and has uploaded the scan image on next working day. In DPU4 file there was no pending of records showing for the respective date and it was believed that the DIS scan image has been uploaded within the timelines. Post RCA of the case and discussion with CDSL, the approach has been changed to extract the DPU5 file on everyday EOD to check if there is any pending DIS scan image at CDSL portal. Maker and checker process has been strengthened to verify the said data on daily basis.
4.	Angel One Limited	CDSL	03/04/2025	1 DIS (Delivery Instruction Slip) were not scanned and uploaded by the DP within the stipulated timeframe of T+1 day.	₹ 200	The User has not uploaded the scan image of DIS within 24 hours of the processing and has uploaded the scan image on next working day. In DPU4 file there was no pending of records showing for the respective date and it was believed that the DIS scan image has been uploaded within the timelines. Post RCA of the case and discussion with CDSL, the approach has been changed to extract the DPU5 file on everyday EOD to check if there is any pending DIS scan image at CDSL portal.



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						Maker and checker process has been strengthened to verify the said data on daily basis.
5.	Angel One Limited	CDSL	03/04/2025	1 DIS (Delivery Instruction Slip) were not scanned and uploaded by the DP within the stipulated timeframe of T+1 day.	₹ 200	The User has not uploaded the scan image of DIS within 24 hours of the processing and has uploaded the scan image on next working day. In DPU4 file there was no pending of records showing for the respective date and it was believed that the DIS scan image has been uploaded within the timelines. Post RCA of the case and discussion with CDSL, the approach has been changed to extract the DPU5 file on everyday EOD to check if there is any pending DIS scan image at CDSL portal. Maker and checker process has been strengthened to verify the said data on daily basis.
6.	Angel One Limited	NSE	01/05/2025	Opening of their Bank accounts to the Exchange were not reported within one week of the opening	₹ 5000	The mentioned bank accounts were opened for the purposes of distribution of dividend. We have informed the corporate finance team to inform us while opening and closing such Demat accounts. Further we are also in a process of filing a review request for the levied penalty.
7.	Angel One Limited	BSE	02/05/2025	Position Limit Violation - Equity Derivatives_612 (3rd, 4th, 9th,17th, 21st, 24th,25th,28th & 30th April	₹ 60000	We are yet to receive a patch from the omnesys for monitoring the position limits for Sensex. We are presently monitoring the



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						position limits of Sensex manually.
8.	Angel One Limited	CDSL	05/05/2025	Incorrect entry of PAN details in CDAS during the month of March-2025	₹ 1500	These are Very old cases wherein incorrect PAN was entered by user and when such clients trade, we direct them to modify and update their correct PAN which is then pushed back to CDSL and CDSL consider this as modification and levy charges. We are in discussion with CDSL for one time solution of the pending cases.
9.	Angel One Limited	NSE	19/05/2025	Penalty for Unauthorized Trading - April 2025 (2 cases)	₹ 100000	Penalty has been levied for unauthorised trading pertaing to AP Mohan Raghvendra. AOL has now improved its mechanism to monitor the activities of the APs and deployed various corrective measures. The same was presented to the Arbitral Tribunal in detail.
10.	Angel One Limited	BSE	30/05/2025	Position Limit Violation - Equity Derivatives_612 (2nd, 5th, 8th,9th, 15th,19th & 29th May	₹ 40000	We are yet to receive a patch from the omnesys for monitoring the position limits for Sensex. We are presently monitoring the position limits of Sensex manually.
11.	Angel One Limited	CDSL	04/06/2025	Incorrect entry of PAN details in CDAS during the month of April-2025-033201	₹ 500	These are Very old cases wherein incorrect PAN was entered by user and when such clients trade, we direct them to modify and update their correct PAN which is then pushed back to CDSL and CDSL consider this as modification and levy charges. We are in discussion with CDSL for



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						one time solution of the pending cases.
12.	Angel One Limited	CDSL	04/06/2025	Incorrect entry of PAN details in CDAS during the month of April-2025-033200	₹ 1000	These are Very old cases wherein incorrect PAN was entered by user and when such clients trade, we direct them to modify and update their correct PAN which is then pushed back to CDSL and CDSL consider this as modification and levy charges. We are in discussion with CDSL for one time solution of the pending cases.
13.	Angel One Limited	CDSL	02/07/2025	1) Incorrect entry of PAN details in CDAS during the month of May-2025	₹ 1000	These are very old cases wherein incorrect PAN was entered by user and when such clients trade, we direct them to modify and update their correct PAN which is then pushed back to CDSL and CDSL consider this as modification and levy charges. We are in discussion with CDSL for one time solution of the pending cases. This is in nature of fee and not penalty and there is no provision on CDSL for bulk modification.
14.	Angel One Limited	NSE	03/07/2025	1) Trading Members has executed the trades in the UCCs which were not permitted to trade. 2) Contravening clauses incorporated in client registration documents.	₹ 25000	1) While replying to the letter of Observation we have mentioned that client is compliant with all the six attributes and the clients were also allowed to trade on the Exchange platform 2) Contravening clauses have been removed from the KYC document w.e.f. March 15, 2023. Clause pertaining to 10,000 and 50,000 retention amount



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15.	Angel One Limited	MCX	10/07/2025	Re: Show Cause Notice for Abnormal/ Non-genuine Trades as per Exchange Circular-MCX/S&I/324/2018 dated August 20, 2018	₹ 1617600	<p>The two clients in question had done Synchronized trading within same account . Both the clients had traded online login through their credential .</p> <p>i) AOL has issued a caution letter dated March 30, 2024, to the said clients, advising them to ensure due care and diligence while dealing in the securities market.</p> <p>(ii) AOL has withheld the payout in respect of the said clients on March 30, 2024 and taken appropriate action in terms of the Prevention of Money Laundering Act,2002, as required.</p> <p>iii)Trading code deactivated</p> <p>iv) Caution Letter Issued to client</p> <p>iii) AOL filed an STR for the clients on April 10, 2024.</p> <p>iv)The penalty amount to the tune of Rs 11,79,674.6 has been recovered from the clients by debiting to client ledger, however the balance amount is yet to be recovered and the same is lying as a debit balance in the client ledger.</p> <p>v) Legal notice for recovery has also been issued to the clients.</p>
16.	Angel One Limited	BSE	11/07/2025	Position Limit Violation - Equity Derivatives_612 02-07-2025 , 10-07-2025, 16-07-2025, 21-07-2025, 23-07-2025, 25-07-2025, 31-07-2025	₹ 40000	We have a process of monitoring the position limits on a daily basis.



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17.	Angel One Limited	NSE	16/07/2025	1) Incorrect reporting of margin collection from clients. 2) Incorrect data submitted towards the segregation and monitoring of collateral at client level to the Clearing Member/ Clearing Corporation.	₹ 77200	1) Client has squared off the position in One Exchange and created the position in other Exchange, while capturing the snapshots peak margin for both the positions were added. We have raised a review request for 12,261.52. For balance amount "Premium amount" was not included in the peak margin as required from February 10, 2025. The system was corrected, and the enhancement was made effective from February 21, 2025. 2) Incorrect calculation of peak margin in segregation reporting which has been rectified from August 11, 2025 - Debit bill of T-1 not included
18.	Angel One Limited	BSE	24/07/2025	Non-Compliance w.r.t Non-Reporting & Delay in Reporting of Bank account of Stockbroker for period April 2025.	₹ 5000	We have sensitised the team to report the Bank and Demat details within the prescribed timelines.
19.	Angel One Limited	BSE	05/08/2025	Position Limit Violation - Equity Derivatives 01-Aug-25 04-Aug-25 06-Aug-25 13-Aug-25 18-Aug-25 20-Aug-25 28-Aug-25	₹ 40000	We have a process of monitoring the position limits on a daily basis.
20.	Angel One Limited	NSE	05/08/2025	1) Member has not pledged only those securities in Client unpaid securities pledgee account which are unpaid by the clients 2) Member has not invoked/ unpledged the unpaid securities which are unpaid by the clients	₹ 2000	1) & 2) We release the securities pledged in the CUSPA account twice a day from August 08, 2025. Based on the above the securities have been unpledged based on the ledger credit balance at EOD. 3) We have incorporated the provision of CUSPA



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				within 5 days after the payout 3) Non maintenance of a well documented Risk Management Policy.		circular in our RMS policy and placed before the Board in the meeting held in the month of July 2025. Further we have also placed a review request for the reversal of Rs 2,000.
21.	Angel One Limited	CDSL	28/08/2025	Incorrect entry of PAN details in CDAS during the month of July-2025	₹ 1000	These are very old cases wherein incorrect PAN was entered by user and when such clients trade, we direct them to modify and update their correct PAN which is then pushed back to CDSL and CDSL consider this as modification and levy charges. We are in discussion with CDSL for one time solution of the pending cases. This is in nature of fee and not penalty and there is no provision on CDSL for bulk upload.
22.	Angel One Limited	NSE	29/08/2025	Member has not reported the opening of their Bank Account to the Exchange within one week of the opening	₹ 5000	We have sensitised the team to report the Bank and Demat details within the prescribed timelines.
23.	Angel One Limited	BSE	08/09/2025	Position Limit Violation - Equity Derivatives_612 03-Sep-25 , 05-Sep-25, 09-Sep-25	₹ 10000	We have a process of monitoring the position limits on a daily basis.
24.	Angel One Limited	NSE	09/09/2025	1) Angel One has made pay-out of funds to clients in excess of their available balances 2) Risk management committee and IT committee meetings were not held quarterly in such a manner that gap of 120 days should not elapse between two meetings.	₹ 25000	1- We have sensitised the team to ensure not to release payout to clients in excess of their available balances. 2- The QSB mandated committee meetings are held four times in a year, in such a manner that gap between no two meetings is more than 120 days 3-The same is explicitly captured in the minutes



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			<p>3) Specific measures for strengthening internal financial control & financial risk management were proposed and Technical glitch details were not captured in the minutes of the meeting</p> <p>4) Evidence of conducting annual risk assessment is missing</p> <p>5) Evidence of conducting annual assessment of manpower is missing</p> <p>6) Comprehensive Risk Management policy is not maintained as per the requirement of QSB circular.</p> <p>7) Delay in submission of RMC minutes</p> <p>8) Angel One has not provided / delayed in providing duly approved status of alerts on quarterly basis, in manner and format prescribed by the Exchange in Circular NSE/SURV/48818</p> <p>9) Angel One has not automated process of risk management, reporting and compliance as per SEBI/ Exchange circular.</p> <p>10) The period of winding down was 6 months instead of 180 days in the winding down policy place is not as per the requirements of QSB circular.</p> <p>11) Angel One does not have in place a</p>	<p>4- The risk assessment is an ongoing activity and the same is captured in the Risk register. The same will also be captured in the minutes going forward.</p> <p>5- We have conducted the manpower assessment.</p> <p>6- We have sensitised the team to incorporate the necessary provisions in the Risk management policy</p> <p>7- We ensure that the RMC minutes are submitted within the prescribed timelines</p> <p>8- All the surveillance alerts are incorporated and duly reported from Dec 2024</p> <p>9- We have automated the risk management and compliance reporting</p> <p>10- The necessary corrections in the period of winding down has been made in the winding down policy.</p> <p>11- Infosec and Technology teams have been sensitised to get their policies reviewed half yearly.</p> <p>12- The necessary provisions are part of DR SOP</p> <p>13- We ensure that that the DR drills are conducted every quarter and we are serving from the DR site for atleast 1 live trading day</p>
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				<p>Cybersecurity policy, procedures and /or guidelines are not reviewed on half year basis</p> <p>12) Smooth failback to Primary site after the disaster is not part of BCP policy</p> <p>13) Angel One has not conducted the quarterly DR drill in the quarter Oct 2023- Dec 2023</p>		
25.	Angel One Limited	NSE	22/09/2025	<p>1. Member has not pledged only those securities in Client Unpaid Securities Pledgee Account (CUSPA) which are unpaid by the clients</p> <p>2. Member has not invoked/unpledged the unpaid securities which are unpaid by the clients within 5 days after the payout</p> <p>3. Angel One has not maintained well documented risk management policy</p>	₹ 2000	<p>1) We release the securities pledged in the CUSPA account twice a day from August 08, 2025. Based on the above the securities have been unpledged based on the ledger credit balance at EOD.</p> <p>2) We have incorporated the provision of CUSPA circular in our RMS policy and placed before the Board in the meeting held in the month of July 2025. We have filed a review request for Rs 2,000</p>
26.	Angel One Limited	NSE	08/08/2024	<p>1- Groupings and sub groupings are missing from Trial balance submitted to exchange</p> <p>2-The CISO report submitted, did not have the DR live dates explicitly mentioned</p> <p>3- AOL has not automated process of risk management, reporting and compliance as per SEBI/Exchange circular</p> <p>4- Angel One has not provided / delayed in providing duly approved</p>	₹ 2000	<p>1- We have made the necessary rectification in our submissions.</p> <p>2-The CISO team has been sensitised to include the details of DR drill dates in the CISO report.</p> <p>3- AOL has not automated process of risk management, reporting and compliance as per SEBI/Exchange circular</p> <p>4- All the surveillance alerts as prescribed in the circular has been implemented.</p>



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				<p>status of alerts on quarterly basis, in manner and format prescribed by the Exchange in Circular NSE/SURV/48818</p> <p>5- Comprehensive Risk Management policy is not maintained as per the requirement of QSB circular</p> <p>6- Minutes of the Board meeting did not capture whether there was any occurrence/non-occurrence of incidents w.r.t leakage of investor data. Accordingly, BOD / senior management have not viewed seriously, the recurrence of incidents/vulnerabilities, if any, having an impact on functioning</p>		<p>5- Necessary clauses have been incorporated in the Risk Management policy is not maintained as per the requirement of QSB circular</p> <p>6- The necessary requirement will be captured in the minutes of the meeting.</p>
27.	Angel One Limited	NSE	30/09/2025	<p>1) Angel One has incorrectly reported margin collection from clients in case of 111 instances out of 5,63,670 total instances amounting to Rs. Rs. 1,14,87,853.46 (constituting less than 10% of total instances</p> <p>2) Angel One has reported incorrect data for segregation and monitoring of collateral at client level to Clearing Member / Clearing Corporation.</p>	₹ 574400	<p>1) We have rectified the system from August 25, 2025 ensuring that EPI shall be done through API on near to real time basis. However, still some instances are observed wherein the clients have taken a further position after the sell transaction and prior to successful EPI being accepted in the depository system.</p> <p>2) We have already implemented the necessary changes in the system to include the debit bill of T-1 day due for settlement on the reporting date in the peak ledger balance for the purpose of segregation</p>



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						reporting w.e.f. August 11, 2025.
28.	Angel One Limited	BSE	09/10/2025	Position Limit Violation - Equity Derivatives_612 03-Oct-2 08-Oct-25 10-Oct-25 17-Oct-25 20-Oct-25	₹ 20000	We have a process of monitoring the position limits on a daily basis. There is a committee meeting which is held after 10 instances of violation during the month. It is ensured that we do not exceed to instances during a month.
29.	Angel One Limited	NSE	10/10/2025	Angel One reported incorrect margin collection from clients in case of 2 instances out of 5,56,939 instances (constituting less than 10% of the total instances)	₹ 11700	Angel One failed to collect MTM margin on T+1 day. In both the instances there was a drop in the margin which was utilised to cover there MTM margins which was not accepted by NSE. We have filed a review request and we will keep the Board updated on the matter.
30.	Angel One Limited	NSE	15/10/2025	Observation and Penalty Letter regarding the technical glitch on September 05, 2025 for failure to inform the Exchange within one hour	₹ 50000	Penalty of Rs 50, 0000 imposed on account of delayed reporting of technical glitch
31.	Angel One Limited	NSE	29/11/2025	1) Incorrect data submitted for segregation and monitoring of collateral at client level to Clearing Member/ Clearing Corporation- Advice 2) Member has not automated process of risk management, reporting and compliance as per SEBI/Exchange circular- Advise and direction for financial penalty 2nd time and onwards	₹ 2000	1) Diference in reporting of peak ledger balance in segregation reporting as T-1 Debit bill not included. The same has been rectified since August 11,2025. 2) The Risk management policy does not include automating the process of risk management, reporting and compliance. 3) Risks which can arise during KYC and account opening process such as submission of clients, submission of fake



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				3) Member has not maintained or maintained but not devised a clear, well-documented and comprehensive Risk Management policy and / or not approved / adopted the same as per the requirement of QSB circular-2,000		information with an intention to commit fraud and non-updating of information submitted as and when there is any change in the information submitted during KYC.
32.	Angel One Limited	BSE	29/11/2025	Position Limit Violation - Equity Derivatives_612 07-Nov- 12-NOv-25 14-Nov-25 26-Nov-25	₹ 15000	We have a process of monitoring the position limits on a daily basis There is a committee meeting which is held after 10 instances of violation during the month. It is ensured that we do not exceed to instances during a month.
33.	Angel One Limited	BSE	26/12/2025	Position Limit Violation - Equity Derivatives_612 05-Dec-25 19-Dec-25 23-Dec-25	₹ 10000	We have a process of monitoring the position limits on a daily basis There is a committee meeting which is held after 10 instances of violation during the month. It is ensured that we do not exceed to instances during a month.
34.	Angel One Limited	NSE	23/12/2025	It was noted that there were non-compliant Algo IDs and Algo TOR points in system audit report submitted by system auditor.	₹ 4000	Unused algos have been deactivated
35.	Angel One Limited	MCX	30/12/2025	Penalty levied for delayed reporting of Technical Glitch and more than 3 instance of technical glitch encountered in the financial year.	₹ 100000	Penalty of Rs 1,00, 0000 imposed on account of third technical glitch encountered during the financial year and delayed reporting. The necessary RCA was submitted on T+14 day. Further the team has been sensitised to report the



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						glitch within 1 hour from the occurrence of the technical glitch.
36.	Angel One Limited	CDSL	29/11/2025	Incorrect entry of PAN details in CDAS during the month of October-2025	₹ 1000	These are very old cases wherein incorrect PAN was entered by user and when such clients trade, we direct them to modify and update their correct PAN which is then pushed back to CDSL and CDSL consider this as modification and levy charges. We are in discussion with CDSL for one time solution of the pending cases. This is in nature of fee and not penalty and there is no provision on CDSL for bulk modification.
37.	Angel One Limited	CDSL	29/11/2025	Transaction not executed as per the procedure prescribed by Depository such as change in bank details, change in signature, transmission, account closure, freeze/unfreeze, pledge, remat etc.-Abhay Kalra	₹ 1000	This case has been closed through a forceful closure in accordance with our established internal procedures. Going forward, we will incorporate the screening process at the client onboarding stage to ensure compliance and mitigate similar issues
38.	Angel One Limited	CDSL	29/11/2025	All formats used by the DP are in conformity with CDSL's prescribed format.	₹ 200	During the inspection, it was observed that the UID number appearing on the KYC document was not appropriately masked, along with certain other regulatory observations. As a corrective action, we have ensured that the UID number is properly masked and that all applicable regulatory guidelines, including those pertaining to signature mismatch



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						address proof mismatch, Gender Mis-match, have been duly complied with.
39.	Angel One Limited	CDSL	31/10/2025	Transaction not executed as per the procedure prescribed by Depository such as change in bank details, change in signature, transmission, account closure, freeze/unfreeze, pledge, remat etc.- Madhusadan Kalra	₹ 1000	For the mentioned client we have modified the mobile number and the modification was uploaded on CDSL at a later date due to migration failure. During our periodic reconciliation we have identified and the same data was uploaded at a later date. We were using a legacy tool which led to this delay in uploading the client data. Currently we are on real time synchronization the data gets pushed to Exchange via API and gets processed ahead post approval received from the Exchanges.
40.	Angel One Limited	NSE	01/01/2026	1) Incorrect reporting of margin collection from clients	₹ 160200	Details of disciplinary action 1) We consider the peak margin requirement by identifying the highest peak margin from the aggregate peak margin requirements across all segments for each snapshot. We consider peak margin available based on the peak ledger balance, securities available with us in the form of pledge and the value of EPI done during the market hours. Any peak margin shortfall arising after considering the peak margin available is duly reported by us. For the above-mentioned cases, clients had initially



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						<p>sold some securities for which EPI was marked during the market hours. The respective clients subsequently bought back securities of the same scrip for which the EPI was reversed on the same day(Delete). "Credit for sale" benefit was allowed to the clients prior to successful EPI being done in the Depository system.</p> <p>Corrective action The margin shortfall is on account of EPI not being accepted by the Depositors and futher position being given to the clients. CDSL vide its circular CDSL/OPS/DP/TECH/202 6/85 dated february 06, 2026 has designing a new API URL with instantaneous response which will enable the EPI on real time basis The Link shall be activated after March 31, 2026</p>
41.	Angel One Limited	NSE	21/01/2026	1) Incorrect reporting of margin collection from clients	₹ 66800	<p>Disciplinary action 1) We consider the peak margin requirement by identifying the highest peak margin from the aggregate peak margin requirements across all segments for each snapshot. We consider peak margin available based on the peak ledger balance, securities available with us in the form of pledge and the value of EPI done during the market hours. Any</p>



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						<p>peak margin shortfall arising after considering the peak margin available is duly reported by us. For the above-mentioned cases, clients had initially sold some securities for which EPI was marked during the market hours. The respective clients subsequently bought back securities the of the same scrip for which the EPI was reversed on the same day (Delete). "Credit for sale" benefit was allowed to the clients prior successful EPI being done in the Depository system.</p> <p>corrective action The margin shortfall is on account of EPI not being accepted by the Depositors and futher position being given to the clients. CDSL vide its circular CDSL/OPS/DP/TECH/202 6/85 dated february 06, 2026 has designing a new API URL with instantaneous response which will enable the EPI on real time basis The Link shall be activated after March 31, 2026</p>
42.	Angel One Limited	NSE	06/02/2026	<p>1) Incorrect reporting of margin collection from clients</p> <p>2) Member has not correctly reported the data towards "Segregation and Monitoring of Collateral at Client Level" to</p>	₹ 223000	<p>details of disciplinary action</p> <p>1) We consider the peak margin requirement by identifying the highest peak margin from the aggregate peak margin requirements across all segments for each snapshot. We consider</p>



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				<p>Clearing Member/ Clearing Corporation</p>	<p>peak margin available based on the peak ledger balance, securities available with us in the form of pledge and the value of EPI done during the market hours. Any peak margin shortfall arising after considering the peak margin available is duly reported by us. For the above-mentioned cases, clients had initially sold some securities for which EPI was marked during the market hours. The respective clients subsequently bought back securities of the same scrip for which the EPI was reversed on the same day. "Credit for sale" benefit was allowed to the clients prior successful EPI being done in the Depository system.</p> <p>2) While computing the peak ledger balance Member has not given effect to the JV entries passed in MTF segment. It may be noted that the peak ledger balance reported by AOL is lower than that as computed by the Exchange.</p> <p>Corrective action</p> <p>1) The margin shortfall is on account of EPI not being accepted by the Depositors and further position being given to the clients. CDSL vide its circular CDSL/OPS/DP/TECH/202 6/85 dated february 06,</p>
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						<p>2026 has designing a new API URL with instantaneous response which will enable the EPI on real time basis The Link shall be activated after March 31, 2026</p> <p>2) We are yet to implement the inclusion of JV entries while computing the peak ledger balance.</p>
43.	Angel One Limited	NSE	30/01/2026	1) Incorrect reporting of margin collection from clients	₹ 223000	<p>Details of disciplinary action</p> <p>1) We consider the peak margin requirement by identifying the highest peak margin from the aggregate peak margin requirements across all segments for each snapshot. We consider peak margin available based on the peak ledger balance, securities available with us in the form of pledge and the value of EPI done during the market hours. Any peak margin shortfall arising after considering the peak margin available is duly reported by us. For the above-mentioned cases, clients had initially sold some securities for which EPI was marked during the market hours. The respective clients subsequently bought back securities the securities for which the EPI was reversed on the same day. "Credit for sale" benefit was allowed to the clients prior successful EPI being done in the Depository system.</p>



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						<p>corrective action</p> <p>1) The margin shortfall is on account of EPI not being accepted by the Depositors and further position being given to the clients. CDSL vide its circular CDSL/OPS/DP/TECH/2026/85 dated february 06, 2026 has designing a new API URL with instantaneous response which will enable the EPI on real time basis The Link shall be activated after March 31, 2026</p>
44.	Angel One Limited	NSE	29/01/2026	<p>1) Incorrect reporting of margin collection from clients</p> <p>2) Member has not correctly reported the data towards "Segregation and Monitoring of Collateral at Client Level" to Clearing Member/ Clearing Corporation</p>	₹ 35000	<p>Details of disciplinary action</p> <p>1) We consider the peak margin requirement by identifying the highest peak margin from the aggregate peak margin requirements across all segments for each snapshot. We consider peak margin available based on the peak ledger balance, securities available with us in the form of pledge and the value of EPI done during the market hours. Any peak margin shortfall arising after considering the peak margin available is duly reported by us. For the above-mentioned cases, clients had initially sold some securities for which EPI was marked during the market hours. The respective clients subsequently bought back securities the securities</p>



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						<p>for which the EPI was reversed on the same day. "Credit for sale" benefit was allowed to the clients prior successful EPI being done in the Depository system.</p> <p>2) While computing the peak ledger balance Member has not given effect to the JV entries passed in MTF segment. It may be noted that the peak ledger balance reported by AOL is lower than that as computed by the Exchange.</p> <p>Corrective action</p> <p>1) The margin shortfall is on account of EPI not being accepted by the Depositors and further position being given to the clients. CDSL vide its circular CDSL/OPS/DP/TECH/2026/85 dated february 06, 2026 has designing a new API URL with instantaneous response which will enable the EPI on real time basis The Link shall be activated after March 31, 2026</p> <p>2) We are yet to implement the inclusion of JV entries while computing the peak ledger balance.</p>
45.	Angel One Limited	NSE	22/01/2026	1) Incorrect reporting of margin collection from clients	₹ 138000	<p>Details of disciplinary action</p> <p>1) We consider the peak margin requirement by identifying the highest peak margin from the aggregate peak margin requirements across all</p>



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					<p>segments for each snapshot. We consider peak margin available based on the peak ledger balance, securities available with us in the form of pledge and the value of EPI done during the market hours. Any peak margin shortfall arising after considering the peak margin available is duly reported by us. For the above-mentioned cases, clients had initially sold some securities for which EPI was marked during the market hours. The respective clients subsequently bought back securities the securities for which the EPI was reversed on the same day. "Credit for sale" benefit was allowed to the clients prior successful EPI being done in the Depository system.</p> <p>Corrective action</p> <p>1) The margin shortfall is on account of EPI not being accepted by the Depositors and further position being given to the clients. CDSL vide its circular CDSL/OPS/DP/TECH/2026/85 dated february 06, 2026 has designing a new API URL with instantaneous response which will enable the EPI on real time basis The Link shall be activated after March 31, 2026</p>
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46.	Angel One Limited	NSE	09/02/2026	1) Incorrect reporting of margin collection from clients	₹ 196100	<p>Details of disciplinary action</p> <p>1) We consider the peak margin requirement by identifying the highest peak margin from the aggregate peak margin requirements across all segments for each snapshot. We consider peak margin available based on the peak ledger balance, securities available with us in the form of pledge and the value of EPI done during the market hours. Any peak margin shortfall arising after considering the peak margin available is duly reported by us. For the above-mentioned cases, clients had initially sold some securities for which EPI was marked during the market hours. The respective clients subsequently bought back securities the securities for which the EPI was reversed on the same day. "Credit for sale" benefit was allowed to the clients prior successful EPI being done in the Depository system.</p> <p>Corrective action</p> <p>1) The margin shortfall is on account of EPI not being accepted by the Depositors and further position being given to the clients. CDSL vide its circular CDSL/OPS/DP/TECH/202 6/85 dated february 06,</p>
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						2026 has designing a new API URL with instantaneous response which will enable the EPI on real time basis The Link shall be activated after March 31, 2026
47.	Angel One Limited	NSE	19/02/2026	1) Incorrect reporting of margin collection from clients 2) Incorrect data submitted for segregation and monitoring of collateral at client level to the Clearing Member/ Clearing Corporation	₹ 188500	Details of disciplinary action 1) We consider the peak margin requirement by identifying the highest peak margin from the aggregate peak margin requirements across all segments for each snapshot. We consider peak margin available based on the peak ledger balance, securities available with us in the form of pledge and the value of EPI done during the market hours. Any peak margin shortfall arising after considering the peak margin available is duly reported by us. For the above-mentioned cases, clients had initially sold some securities for which EPI was marked during the market hours. The respective clients subsequently bought back securities the securities for which the EPI was reversed on the same day. "Credit for sale" benefit was allowed to the clients prior successful EPI being done in the Depository system. 2) Incorrect data submitted for segregation for 03 instances amounting to Rs.



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						<p>1,28,661.88 as on August 11, 2025 exclusion of the T-1 day's debit bill, which was due for pay-in on the T-day, from the peak ledger balance computation.</p> <p>Corrective action</p> <p>1) The margin shortfall is on account of EPI not being accepted by the Depositors and further position being given to the clients. CDSL vide its circular CDSL/OPS/DP/TECH/2026/85 dated February 06, 2026 has designed a new API URL with instantaneous response which will enable the EPI on real time basis. The Link shall be activated after March 31, 2026</p> <p>2) We have implemented the inclusion of T-1 bill while deriving the peak ledger balance since August 11, 2025</p>
48.	Angel One Limited	NSE	26/02/2026	<p>1) Non-upload/update of clients details in UCC database</p> <p>2) Incorrect reporting of margin collection from clients</p>	₹ 106000	<p>Details of disciplinary action</p> <p>1) Member, the Exchange observed that Angel One incorrectly reported client category as "1" instead of "11" in UCC database of the Exchange in case of 1 instance as on June 16, 2025.</p> <p>2) We consider the peak margin requirement by identifying the highest peak margin from the aggregate peak margin requirements across all segments for each snapshot. We consider</p>



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Angel One Limited
CIN: L67120MH1996PLC101709,
SEBI Registration No Stock Broker: INZ000161534,
CDSL: IN-DP-384-2018, PMS: INP000001546,
Research Analyst: INH000000164, Investment Advisor: INA000008172,
AMFI Regn. No. ARN-77404, PFRDA, Regn. No.-19092018.

					<p>peak margin available based on the peak ledger balance, securities available with us in the form of pledge and the value of EPI done during the market hours. Any peak margin shortfall arising after considering the peak margin available is duly reported by us. For the above-mentioned cases, clients had initially sold some securities for which EPI was marked during the market hours. The respective clients subsequently bought back securities the securities for which the EPI was reversed on the same day. "Credit for sale" benefit was allowed to the clients prior successful EPI being done in the Depository system</p> <p>Corrective action</p> <ol style="list-style-type: none"> 1) We have rectified the process from August 2025 the identified single instance pertains to June 2025 2) The margin shortfall is on account of EPI not being accepted by the Depositors and futher position being given to the clients. CDSL vide its circular CDSL/OPS/DP/TECH/2026/85 dated february 06, 2026 has designing a new API URL with instantaneous response which will enable the EPI on real time basis The Link
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						shall be activated after March 31, 2026
49.	Angel One Limited	NSE	06/03/2026	1) Trading member has not correctly reported Daily margin trading file (MTR file)	₹ 11000	<p>Details of disciplinary action</p> <p>Upon verification of MTR File, Client ledgers, and details of borrowing taken for MTF as provided by the Member, the Exchange observed that Angel One has incorrectly reported Lender Category of borrowings in Daily Margin Trading File (MTR File) in case of 11 instances as on various dates between November 03, 2025, to November 19, 2025.</p> <p>Corrective action</p> <p>There was an incorrect reporting of lender category while uploading MTF report. On the observing the error we have rectified the ledger category from subsequent reporting</p>
50.	Angel One Limited	NSE	16/03/2026	1) Member has not reported opening of their bank account within one week of opening	₹ 5000	<p>Details of disciplinary action</p> <p>Upon verification of bank account records of the Exchange based on enhanced supervision submissions of the Member along with the list of all bank accounts available with the Member, the Exchange observed that Angel One has not reported the opening of their bank accounts to the Exchange within one week of the opening in case of 01 instance during the inspection period.</p>



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						<p>Corrective action</p> <p>We have advised the team to be extra careful and report the opening and closing of bank account within 7 calendar days.</p>
51.	Angel One Limited	CDSL	02/03/2026	<p>Any type of transaction not executed as per the procedure prescribed by Depository such as change in bank details, change in signature, transmission, account closure, freeze/unfreeze, pledge, remat etc. as prescribed under guidelines of CDSL / SEBI /PMLA : (Client account was opened with incorrect email ID and mobile number. On identification the account was closed.)</p>	₹ 1000	<p>Details of disciplinary action</p> <p>Client, Jay Pawar(1203320338884481), opened the account himself through the Angel One mobile application using a referral link shared by the SB on 3rd September 2024. However, the email ID and mobile number used during onboarding did not belong to the client, indicating a KYC discrepancy. Upon identifying this issue, the client raised a complaint with CDSL on 23rd January 2026.</p> <p>Subsequently, appropriate action was taken by initiating force closure of the account, serving a 30-day notice, and successfully closing the account at both Angel One BO and CDSL levels on 27th February 2026.</p> <p>Corrective action</p> <p>Will Provide penalty representation. The client, Jay Pawar (1203320338884481), opened the account himself through the Angel One mobile application using a referral link shared</p>



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						by the SB on 3rd September 2024. The onboarding was completed by the client, including selfie verification, wherein the client himself provided the email ID and mobile number at the time of account opening.
52.	Angel One Limited	CDSL	02/03/2026	There is a system to maintain all the documents and records satisfactorily for a minimum period of 8 years. Refer Securities and Exchange Board of India (Depositories And Participants) Regulations, 2018 dated 3rd October, 2018. (Error account was opened ; hence not submitted to CDSL)	₹ 2000	Details of disciplinary action PAN of Mr. Viresh Patel (BO ID: 1203320372057718) was flagged for eyeball verification; however, due to an inadvertent error, the account was approved instead of being rejected. As the account was opened erroneously, we are unable to provide the account opening form. Corrective action To prevent recurrence, additional system controls have been implemented wherein the DigiLocker name is first fetched and validated with Protean, and in case of any mismatch, the account opening journey is stopped. Further, at the e-sign stage, if the PAN name validation from Protean does not match, the system triggers an error and halts the process, preventing the user from proceeding.
53.	Angel One Limited	SEBI	17/03/2026	Some algorithm trading strategies were displayed on certain algo platforms offering assured returns and	₹ 100000	Details of disciplinary action Some algorithm trading strategies were displayed on certain algo



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				some stock brokers registered with SEBI were associated with these algo platforms		platforms offering assured returns and some stock brokers registered with SEBI were associated with these algo platforms Corrective action We have disassociated ourselves from taking services of algo provided by tradetron
54.	Angel One Limited	NSE	30/03/2026	Non-upload/ update of client's details in UCC database	₹ 50000	Details of disciplinary action Upon verification of UCC details of the clients and back-office database of the Member, the Exchange observed that Angel One has not uploaded/ updated client's details in UCC database in case of 94 instances as on November 28, 2025 Corrective action We are in the process of filing a review request to the exchange . There was mismatch in UCC and UCI data base. Both these utilities are Exchange provided. We are in process of reconciling the database.
55.	Angel One Limited	CDSL	30/03/2026	1) Data entry errors / omission which may cause inconvenience and/or loss to the BO/ system / Depository. (Bank details were erroneously updated wrongly in BO's Demat Account due to an operational oversight) 2) Any type of transaction not executed as per the procedure prescribed by	₹ 1100	Details of disciplinary action 1. Laxman Kumar (BO ID:1203320235454344)- Laxman Kumar (BO ID:1203320235454344)- BO had open account on 29th December 2023, At the time of onboarding client had uploaded wrong bank leaf cheque & same has been updated in back office. When client



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				<p>Depository such as change in bank details, change in signature, transmission, account closure, freeze/unfreeze, pledge, remat etc (Same mobile number of client and AP (relation) tag. however the BO account was freezed., and the same was not as per the CDSL operating manual for initiating the freeze.</p>	<p>demand for the payout funds get transfer to third party account. After investigating this matter we have updated correct bank details in back office & make payout to the BO.</p> <p>2. Praveen Kumar (BO ID: 1203320070554103)- Praveen Kumar (BO ID: 1203320070554103) raised a request on 27th April 2023 to update his mobile number and email ID, which was duly updated in the system. During an internal check, common contact details were identified, as the provided mobile number and email ID were already mapped to two SB codes (pertains to same BO). Consequently, the account was deactivated/frozen on 16th December 2025. After the complaint was raised, we coordinated with the BO, who independently updated the contact details in the SB code. Subsequently, the new mobile number and email ID were updated in the BO ID.</p> <p>Corrective action</p> <ol style="list-style-type: none"> 1. This is a corner case & to prevent recurrence, additional system controls have been implemented 2. Feedback has been shared with the concerned
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						team to ensure that the family declaration is duly obtained in all applicable cases going forward.
56.	Angel One Limited	BSE	25/03/2026	Position Limit Violation - Equity Derivatives_612 (01, 04, 10, 11th 24th March 2026 and 03, 04, 10, 11th 24th 27th February 2026 and 07,12,13,23,27,28th January 2026)	₹ 70000	We have been regularly updating the details to the Operations team regarding Limit violation on BSE.
57.	Angel One Limited	MCX	18/02/2026	Trading terminals situated at the place of inspection has been operated by other than approved and certified users/ persons.- AP Prabhav Investment	₹ 1500	NA



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