



DB (International) Stock Brokers Ltd.

- NSE & BSE : CAPITAL MARKET, F&O & CURRENCY SEGMENTS
- MCX ICEX: COMMODITIES
- DEPOSITORY PARTICIPANT: CDSL IPO, MUTUAL FUND & BONDS

SEBI REGISTRATION NO. : INZ000179035 (BROKING), IN-DP-CDSL-266-2004 (DEPOSITORY)

Office: 114, New Delhi House, 27 Barakhamba Road, New Delhi-110001

Tel.:011-43606162 Website: www.dbonline.in E-Mail: compliance@dbonline.in

CIN: L67120GJ1992PLC121278

Date: 29th July, 2024

To,

**Listing Department
National Stock Exchange of India Ltd.,
Exchange Plaza Plot No. C/1, G Block
Bandra Kurla Complex Bandra (E)
Mumbai - 400051**

**Department of Corporate Services
BSE Limited,
Phiroze Jeejeebhoy Towers,
Dalal Street, Mumbai-400001**

NSE Symbol: DBSTOCKBRO

BSE Scrip Code: 530393

Dear Sir/Ma'am,

Ref: Letter of Observation vide NSE/INSP-ENF/CMFOCDS/OFFSITE/23-24/ ACT/ 06432/ 2024-37250 dated 29/07/2024 at 11:09 AM

Subject: Disclosure under Regulation 30 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015

Pursuant to Regulation 30 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 ("SEBI Listing Regulations"), read with Para A of Part A to Schedule III of the SEBI Listing Regulations, please be informed that National Stock Exchange of India Limited ("the Exchange") has imposed a monetary penalty of ₹ 4,700/- (Rupees Four Thousand Seven Hundred Only) (plus GST) on our Company vide letter no. NSE/INSP-ENF/CMFOCDS/OFFSITE/23-24/ACT/06432/2024-37250 dated 29th July, 2024 for the observation raised for incorrect reporting of margin collection from Clients observed during Limited Purpose Inspection (Offsite) in CM, F&O and CD Segments conducted during February 2024.

Details of the Order have been provided in "*Annexure I*" enclosed herewith in compliance with Regulation 30 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.

Thanking You,

**For and on behalf of
DB (International) Stock Brokers Limited**

**Prachi Sharma
Company Secretary
Membership No.: A71389**

Encl: as above



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Annexure-I

Sr. No.	Particulars	Remarks
1.	Name of the Authority	National Stock Exchange of India Limited (“the Exchange”)
2.	Nature and details of the action(s) taken, initiated or order(s) passed	Monetary penalty of ₹ 4,700/- (Rupees Four Thousand Seven Hundred Only) (plus GST)
3.	Date of receipt of the order	29 th July, 2024
4.	Details of the violation(s) / contravention(s) committed or alleged to be committed;	Observation raised for incorrect reporting of margin collection of Clients observed during Limited Purpose Inspection (Offsite) in CM, F&O and CD Segments conducted during February 2024
5.	Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible	Monetary penalty of ₹ 4,700/- (Rupees Four Thousand Seven Hundred Only) (plus GST) imposed on the Company. There is no other impact on the financial, operations or other activities of the Company.