

# GOGIA CAPITAL SERVICES LIMITED

Regd. Off.: The Capital Court, Olof Palme Marg, Munirka, New Delhi – 110 067

E-mail: [compliance@gogiacap.com](mailto:compliance@gogiacap.com) website: [www.gogiacap.com](http://www.gogiacap.com),

Phones: +91-11-49418870

CIN: L74899DL1994PLC059674

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Dated the 02<sup>nd</sup> July, 2024

Department of Corporate Services/Listing  
**BSE Ltd.**

Pheroze Jeejeebhoy Towers,  
Dalal Street, Fort,  
Mumbai – 400001

**Scrip Code: 531600**

**Reg.: Compliance under Regulation 30 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and other provisions, if any.**

Dear Sirs,

Pursuant to Regulation 30 read of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, this is to inform you that the Nation Stock Exchange (NSE) has disabled trading terminals of the Company w.e.f. EOD 28<sup>th</sup> June 2024, effectively from start of 01<sup>st</sup> July, 2024, in an anticipation of shortfall in net worth vide their email dated 26 June 2024 (received on 27 June 2024) and 01 July 2024.


Copy of the impugned communications is attached for your perusal.

Please take the same as compliance with the subject referred to.

Thanking you,

Yours Faithfully,

**For Gogia Capital Services Limited**

 Digitally signed  
by BHARTI RANA  
Date: 2024.07.02  
11:26:30 +05'30'

Bharti Rana  
Chief Financial Officer  
Company Secretary and Compliance Officer

Dhananjay Anantpurkar (REG-ENF) <[danantpurkar@nse.co.in](mailto:danantpurkar@nse.co.in)>

6/26/2024 9:42 PM

## Letter of Observation with reference to NSE inspection\_2024-43802\_GOGIA CAPITAL SERVICES LIMITED

To [bharti@gogiacap.com](mailto:bharti@gogiacap.com) • [IG@GOGIACAP.COM](mailto:IG@GOGIACAP.COM) <[ig@gogiacap.com](mailto:ig@gogiacap.com)> • [accounts@gogiacap.com](mailto:accounts@gogiacap.com) Copy DL-INSP-ENFORCEMENT <[dl-insp-enforcement@nse.co.in](mailto:dl-insp-enforcement@nse.co.in)> • DL-INSP-DRO <[dl-insp-dro@nse.co.in](mailto:dl-insp-dro@nse.co.in)>

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Dear Madam / Sir,

**Please ignore the trail email and kindly consider this email.**

Please find attached the communication dated June 26, 2024 along with Exhibit referred therein, with regards to verification of the Networth as at March 31, 2024 submitted to the Exchange.

In this regards, your attention is drawn to the Exchange circular NSE/INSP/62146 dated May 22, 2024 on administrative actions for shortfall in the Networth of Trading Members.

In accordance to said circular, administrative action pertaining to **shortfall over 50% is applicable i.e., no new clients and disablement of trading terminals will be initiated with effect EOD June 28, 2024** until Trading Member submits documentary evidence establishing recoupment of Networth to the satisfaction of the Exchange.

Kindly note that above action is independent of any other disciplinary action / monetary penalty that may be levied by the Relevant Authority as may deem fit for incorrect / short reporting of Networth to the Exchange, in accordance with Rules, Regulations, Byelaws and circulars by the Exchange from time to time.

Regards,

Dhananjay Anantpurkar

Regulatory - Enforcement Department

National Stock Exchange of India Limited (NSE)

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Non-Confidential

**From:** Yash Zavar (REG-ENF) <[yzavar@nse.co.in](mailto:yzavar@nse.co.in)>

**Sent:** Wednesday, June 26, 2024 7:21 PM

**To:** [bharti@gogiacap.com](mailto:bharti@gogiacap.com); [IG@GOGIACAP.COM](mailto:IG@GOGIACAP.COM)

**Cc:** DL-INSP-ENFORCEMENT <[dl-insp-enforcement@nse.co.in](mailto:dl-insp-enforcement@nse.co.in)>; DL-INSP-DRO <[dl-insp-dro@nse.co.in](mailto:dl-insp-dro@nse.co.in)>

**Subject:** RE: Letter of Observation with reference to NSE inspection\_2024-43802\_GOGIA CAPITAL SERVICES LIMITED

Dear Sir / Madam,

Please find attached the communication dated June 26, 2024 along with Exhibit referred therein, with regards to verification of the Networth as at March 31, 2024 submitted to the Exchange.

In this regards, your attention is drawn to the Exchange circular NSE/INSP/62146 dated May 22, 2024 on administrative actions for shortfall in the Networth of Trading Members.

In accordance to said circular, administrative action pertaining to **shortfall over 50% is applicable i.e., no new clients and disablement of trading terminals will be initiated with effect EOD June 28, 2024** until Trading Member submits documentary evidence establishing recoupment of Networth to the satisfaction of the Exchange.

Kindly note that above action is independent of any other disciplinary action / monetary penalty that may be levied by the Relevant Authority as may deem fit for incorrect / short reporting of Networth to the Exchange, in accordance with Rules, Regulations, Byelaws and circulars by the Exchange from time to time.

Kindly find attached herewith the member user guide for updating your reply to the letter of observation in the inspection system by **July 06, 2024**.

Regards,

Yash Zavar

Enforcement Department

**National Stock Exchange of India Limited (NSE)**

Ground Floor, B2 Wing, Exchange Plaza,

G Block, Bandra Kurla Complex, Mumbai-400058

Email Id: [yzavar@nse.co.in](mailto:yzavar@nse.co.in) | Website: [www.nseindia.com](http://www.nseindia.com)



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Non-Confidential

Non-Confidential

**From:** NoReply-NSE [inspection\\_nse@nse.co.in](mailto:inspection_nse@nse.co.in)

**Sent:** Wednesday, June 26, 2024 7:19 PM

**To:** [bharti@gogiacap.com](mailto:bharti@gogiacap.com); [BHARTI@GOGIACAP.COM](mailto:BHARTI@GOGIACAP.COM)

**Cc:** DL-INSP-ENFORCEMENT <[dl-insp-enforcement@nse.co.in](mailto:dl-insp-enforcement@nse.co.in)>; Inspmails <[Inspmails@nse.co.in](mailto:Inspmails@nse.co.in)>; DL-INSP-DRO <[dl-insp-dro@nse.co.in](mailto:dl-insp-dro@nse.co.in)>

**Subject:** Letter of Observation with reference to NSE inspection\_2024-43802\_GOGIA CAPITAL SERVICES LIMITED

To BHARTI RANA,  
GOGIA CAPITAL SERVICES LIMITED

Dear Sir/ Madam,

This is reference to the inspection conducted by the Exchange for the year 2024-25. **Letter of Observation** in respect of above mentioned inspection has been issued.

Kindly click on the below mentioned link to login into Member Portal to provide point wise response to the Letter of Observation.

<https://inspection.nseindia.com/MemberPortal/>

The matter will henceforth be handled by the enforcement team of National Stock Exchange of India Limited. Please find the contact details as mentioned below:

Region	Contact no.
Western Regional Office (Mumbai)	022-61928200 (28665/23450)/ 022-26598100 (25312)
Chennai	033-40400406/ 011-23459145( 11045)/011-23459169(11069)/ 011-23459188 (11088)
Delhi	011-23459145( 11045)/011-23459169(11069)/ 011-23459188 (11088)
Kolkata	022-61928200 (28665/23450)/ 022-26598100 (25312)
Ahmedabad	033-40400406 011-23459145( 11045)/011-23459169(11069)/ 011-23459188 (11088)

Further, you can write to us on [dl-insp-enforcement@nse.co.in](mailto:dl-insp-enforcement@nse.co.in).

Thank You,  
Inspection Department  
National Stock Exchange of India Ltd

Non-Confidential

Disclaimer note on content of this message including enclosure(s) and attachments(s): The contents of this e-mail are the privileged and confidential material of National Stock Exchange of India Limited (NSE). The information is solely intended for the individual/entity it is addressed to. If you are not the intended recipient of this message, please be aware that you are not authorized in any which way whatsoever to read, forward, print, retain, copy or disseminate this message or any part of it. If you have received this e-mail in error, we would request you to please notify the sender immediately by return e-mail and delete it from your computer. This e-mail message including attachment(s), if any, is believed to be free of any virus and NSE is not responsible for any loss or damage arising in any way from its use.

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- 07929\_GOGIA\_LO\_24-25D\_CMFOCDS\_LPI\_26062024.pdf (92 KB)
- Exhibit working.xlsx (176 KB)
- Member Portal User Guide for Inspection System.docx (1 MB)
- image001.png (6 KB)

## NSE Clearing Limited

Ref. No. NCL/CMPL/2024/261

Date: July 1, 2024

**GOGIA CAPITAL SERVICES LIMITED**  
THE CAPITAL COURT, 6TH FLOOR,  
OLOF PALME MARG,  
MUNIRKA,  
WEST DELHI- DELHI- 110067

Kind Attn.: Ms. BHARTI RANA

### **Sub: Submission of Half Yearly Networth Certificate as on March 31, 2024**

Dear Ma'am,

This is with reference to the Networth Certificate submitted by you as on March 31, 2024 reporting a networth of Rs. 156835129.00.

Members are required to adhere and comply with the applicable Networth (i.e., higher of the Base Networth or Variable Networth) as stated in the SEBI Gazette Notification No. SEBI/LADNRO/GN/2022/73 dated February 23, 2022. It is observed that you are required to maintain a minimum networth of Rs 15 crores, but pursuant to the computation of networth figures it is observed that there is a shortfall in the networth reported as on March 31, 2024.

You hereby given one-month notice from the date of this letter to recoup the Networth and submit the revised Networth certificate to NSE Clearing Limited failing which:

- i. Clearing deposits shall be blocked in accordance to % of shortfall. No Exposure shall be permitted on such blocked deposit.
- ii. There shall be prohibition on onboarding of new Trading Members.

In view of the above, you are required to submit revised networth certificate latest by **August 01, 2024**.

Yours faithfully,  
**For NSE Clearing Limited.**

JINAL VINIT Digitally signed by  
JINAL VINIT SHAH  
SHAH  
Date: 2024.07.01  
19:34:14 +05'30'

**Jinal Shah**  
**Associate Vice President**