

January 7, 2025

National Stock Exchange of India Limited
Listing Department
Exchange Plaza, C-1, Block G,
Bandra Kurla Complex,
Bandra (E), Mumbai - 400 051

BSE Limited
Listing Department
Phiroze Jeejeebhoy Towers,
Dalal Street,
Mumbai - 400 001

Dear Sir/Madam,

Sub: Disclosure under Regulation 30 read with Para A of Part A of Schedule III of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015

Ref: NSE Symbol - ISEC and BSE Scrip Code - 541179

This is to inform you that Securities and Exchange Board of India (SEBI) has passed a settlement order No. SO/AK/DS/2024-25/7953 dated January 6, 2025 against ICICI Securities Limited ('the Company'). The Company has received the aforesaid settlement order on January 6, 2025 at 4.31 p.m.

The same is in relation to a settlement application submitted to SEBI with respect to the inspection of its Authorised Persons. The inspection observations primarily related to monitoring and control over the operations and activities of Authorised Persons appointed by the Company.

The Company has paid ₹ 40,20,000/- (Rupees Forty Lakh Twenty Thousand Only) to SEBI towards settlement amount under SEBI (Settlement Proceedings) Regulations, 2018.

There is no material impact on financial, operations or other activities of the Company pursuant to the above-mentioned order.

The relevant details pertaining to the order are provided in **Annexure**.

This is for your information and records.

Thanking you,

Yours faithfully,

For ICICI Securities Limited

Raju Nanwani
Company Secretary

Member of National Stock Exchange of India Ltd, BSE Ltd and Multi Commodity Exchange of India Ltd.

SEBI Registration: INZ000183631

CIN No.: L67120MH1995PLC086241

Registered Office:

ICICI Venture House
Appasaheb Marathe Marg,
Prabhadevi, Mumbai - 400025, India
Tel. (91 22) 6807 7100
Fax (91 22) 6807 7803

Corporate Office :

Shree Sawan Knowledge Park, Plot No. D-507,
T.T.C. Ind. Area, M.I.D.C., Turbhe, Navi Mumbai - 400 705
Tel.: (91 22) 6807 7100
Fax: (91 22) 6807 7801

Name of Compliance Officer (Broking Operations) : Ms. Mamta Shetty
Email Address: complianceofficer@icicisecurities.com / Tel. (91 22) 4070 1000
Website Address: www.icicisecurities.com / www.icicidirect.com



ICICI Securities Limited**Name of Authority - Securities & Board Exchange of India****Date of Receipt of Order – January 06, 2025**

Sr. No.	Details of the violation(s)/contravention(s) committed or alleged to be committed	Nature and details of the action(s) taken, initiated or order(s) passed	Impact on financial, operation or other activities of the Company, quantifiable in monetary terms to the extent possible
			Settlement amount (Rs.)
1	Observations related to monitoring and control over the Authorised Person	The authority has accepted the settlement terms and Disposed-off the adjudication proceedings in the matter	40,20,000/-
Total Monetary Impact			40,20,000/-