

# DB (International) Stock Brokers Ltd.

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

Office: 114, New Delhi House, 27 Barakhamba Road, New Delhi-110001  
Tel.:011-43606162 Website: [www.dbonline.in](http://www.dbonline.in) E-Mail: [compliance@dbonline.in](mailto:compliance@dbonline.in)  
CIN: L67120GJ1992PLC121278

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Date: 28<sup>th</sup> November, 2023

<b>To,</b> <b>Listing Department</b> <b>National Stock Exchange of India Ltd.</b> <b>Exchange Plaza, Plot No. C/1,</b> <b>G Block Bandra Kurla Complex, Bandra (E)</b> <b>Mumbai - 400051</b>	<b>To,</b> <b>Department of Corporate Services</b> <b>BSE Limited,</b> <b>Phiroze Jeejeebhoy</b> <b>Towers, Dalal Street</b> <b>Mumbai- 400001</b>
<b>NSE Symbol: DBSTOCKBRO</b>	<b>BSE Scrip Code: 530393</b>

Dear Sir/Ma'am,

**Ref: NEAPS App. No:- 2023/Nov/15696/15790 dated 28-Nov-2023 01:36:03 PM and BSE Acknowledgement Number 6504909 dated 11/28/2023 1:08:11 PM**

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

Please consider revised disclosure with respect to the earlier disclosure made as per NEAPS App. No:- 2023/Nov/15696/15790 dated 28-Nov-2023 01:36:03 PM and BSE Acknowledgement Number 6504909 dated 11/28/2023 1:08:11 PM.

You are requested to take the same on your records.

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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<b>NSE Symbol: DBSTOCKBRO</b>	<b>BSE Scrip Code: 530393</b>

Dear Sir/Ma'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 ₹ 55,800/- (Rupees Fifty Five Thousand Eight Hundred) (plus GST) on our Company vide letter dated 24th November, 2023 for the observation raised in Regular Inspection- CM, F&O, CD and COM segments conducted during November 2022.

Further, the Company is in process to file for review of the penalty upon observation raised by the Exchange.

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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**Regd. Off.: Unit No. 210/211/211A at 2nd floor, Dalal Street Commercial Cooperative Society Ltd, Block No.53, Zone 5, Gift City, Gandhinagar, Gujarat-382355**

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## Annexure-I

Sr. No.	Particulars	Remarks
1.	Name of the Authority	National Stock Exchange of India Limited ("Exchange")
2.	Nature and details of the action(s) taken, initiated or order(s) passed	Monetary penalty of ₹ 55,800/- (plus GST)
3.	Date of receipt of the order	24 <sup>th</sup> November, 2023
4.	Details of the violation(s) / contravention(s) committed or alleged to be committed;	<ul style="list-style-type: none"><li>• Incorrect weekly Client Level Holding Statement and Bank Account Balances submission : <b>Advice</b></li><li>• Use of client bank account for the purposes other than specified : <b>Warning</b></li><li>• Pay-out of funds to clients in excess of their available balances : <b>penalty of Rs. 25,000/-</b></li><li>• SMS &amp; Email intimation to clients at the time of running account settlement of funds not sent : <b>Warning</b></li><li>• Incorrect reporting of margin collection from clients to the Exchange : <b>penalty of Rs. 17,800/-</b></li><li>• Inadequate systems to ensure that the margin requirement/ payable in derivative segment is in proportion to the income proof/ declared by client : <b>No Action</b></li><li>• Mapping of common email id and mobile number to multiple clients : <b>penalty of Rs. 3000/-</b></li><li>• Daily Margin Statement to clients not sent : <b>Advice</b></li><li>• Contract note to multiple clients on the same mail ID: <b>No separate action clubbed the same with vilation pertaining to common email ids and /or mobile number uploaded for more than one client.</b></li><li>• Inspection of branches/Registered Authorized persons : <b>Warning</b></li><li>• CTCL ID not available in Back office : <b>No Action</b></li><li>• Incorrect reporting of Risk Based Supervision (RBS) : <b>penalty of Rs. 10,000/-</b></li><li>• Incorrect submission of weekly monitoring of client funds : <b>Advice</b></li></ul>
5.	Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible	Monetary penalty of ₹ 55,800/- (Rupees Fifty Five Thousand Eight Hundred only) (plus GST) imposed on the Company.  There is no other impact on the financial, operations or other activities of the Company.