

November 04, 2024

To, The Manager, Listing Department, BSE Limited, Phiroze Jeejeebhoy Tower, Dalal Street, Mumbai – 400 001. BSE Scrip Code: 540776	To, The Manager, Listing Department, The National Stock Exchange of India Ltd., Exchange Plaza, 5th Floor, Plot C/1, G Block, Bandra - Kurla Complex, Bandra (E), Mumbai – 400 051. NSE Symbol: 5PAISA
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Dear Sir / Madam,

Sub: Intimation with respect to order passed by the Adjudicating Officer, SEBI concerning the Show Cause Notice (“SCN”) dated July 31, 2024:

Ref: Disclosure under Regulation 30 of the Securities and Exchange Board of India (Listing Obligations and Disclosures Requirements) Regulations, 2015 (“SEBI Listing Regulations”):

Pursuant to Regulation 30 read with Para A of Part A of Schedule III of Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 (“SEBI Listing Regulations”) we wish to inform that Securities and Exchange Board of India (“SEBI”) has issued an Order dated October 31, 2024 which was received by the Company on November 04, 2024 under Section 15-I of Securities and Exchange Board of India Act, 1992 and Rule 5 of SEBI (Procedure for Holding Inquiry and Imposing Penalties) Rules, 1995.

In this regard, please find below disclosure of information pursuant to Regulation 30 of the SEBI Listing Regulations.

Sr. No.	Particulars	Details
1.	Name of the authority	Securities and Exchange Board of India (“SEBI”)
2.	Nature and details of the action(s) taken, initiated or order(s) passed	Adjudication Order by SEBI whereby SEBI has levied a penalty of ₹ 8,00,000/- (Rupees Eight Lakhs Only) for various violations observed during the course of joint inspection which was scheduled in the month of January 2024.
3.	Date of receipt of direction or order, including any ad-interim or interim orders, or any other communication from the authority;	SEBI Order dated October 31, 2024 received by the Company from SEBI <i>vide</i> their email dated November 04, 2024.
4.	Details of the violation(s)/ contravention(s) committed or alleged to be committed;	The company was in receipt of SEBI show cause notice alleging following violations: <ol style="list-style-type: none">1. Incorrect reporting of Enhanced Supervision Data.2. Discrepancy in amount reported for clear client balances for cash and cash equivalent report and segregation report.3. Incorrect reporting of risk-based supervision data.4. Inadequate control and supervision over the Authorised Persons.5. Inadequate collection of margin from clients under the MTF facility.6. Non-compliance with cyber-security requirements.7. Non-reporting of technical glitches to stock

5paisa Capital Limited

		exchanges. In this regard, the Company had submitted appropriate responses along with relevant supporting / proofs. The Company further assures that it is committed in upholding the compliance requirements thus adhering to industry standards and fostering a culture of accountability and transparency in all our operations.
5.	Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible.	Apart from the monetary penalty, there is no significant impact on Company's operations.

We kindly request you to take the above information on record.

Thanking You,

Yours faithfully,

For 5paisa Capital Limited

Namita Godbole
Company Secretary & Compliance Officer
Membership No.: A21056
Email: csteam@5paisa.com

5paisa Capital Limited