

General information about company		
Scrip code	543235	
NSE Symbol	ANGELONE	
MSEI Symbol	NOTLISTED	
ISIN	INE732I01013	
Name of the entity	ANGEL ONE LIMITED	
Date of start of financial year	01-04-2025	
Date of end of financial year	31-03-2026	
Reporting Quarter Type	Half Yearly	
Date of Quarter Ending	30-09-2025	
Type of company	Equity	
Whether Annexure I (Part A) of the SEBI Circular dated December 31, 2024 related to Compliance Report on Corporate Governance is applicable to the entity?	Yes	
Whether Annexure I (Part B) of the SEBI Circular dated December 31, 2024 related to Investor Grievance Redressal Report is Applicable to the entity?	Yes	
Whether Annexure I (Part C) of the SEBI Circular dated December 31, 2024 related to Disclosure of Acquisition of Shares or Voting Rights in Unlisted Companies is Applicable to the entity?	No	The provisions of Schedule III of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 are applicable to the Company with respect to this line item. However, the acquisition was made in a wholly owned subsidiary of the Company through Right Issue, which did not result in any change in the aggregate shareholding during the quarter. Accordingly, we have selected "NO" in this tab.
Whether Annexure I (Part D) of the SEBI Circular dated December 31, 2024 related to Disclosure of Imposition of Fine or Penalty is Applicable to the entity?	Yes	
Whether Annexure I (Part E) of the SEBI Circular dated December 31, 2024 related to Disclosure of Updates to Ongoing Tax	Yes	

Litigations or Disputes is Applicable to the entity?		
Whether Annexure I (Part F) of the SEBI Circular dated December 31, 2024 related to Disclosure Of Loans / Guarantees / Comfort Letters / Securities Etc. is Applicable to the entity?	Yes	
Risk management committee	Applicable	
Market Capitalisation as per immediate previous Financial Year	Top 500 listed entities	
Is SCORE ID Available ?	Yes	
SCORE Registration ID	comz00826	
Reason For No SCORE ID		
Type of Submission	Original	
Remarks (website dissemination)		
Remarks for Exchange (not for Website Dissemination)		

Annexure I								
Annexure I to be submitted by listed entity on quarterly basis								
I. Composition of Board of Directors								
Disclosure of notes on composition of board of directors explanatory								
Whether the listed entity has a Regular Chairperson							Yes	
Whether Chairperson is related to MD or CEO							Yes	
Sr	Title (Mr / Ms)	Name of the Director	PAN	DIN	Category 1 of directors	Category 2 of directors	Category 3 of directors	Date of Birth
1	Mr	Dinesh Thakkar	ACVPT9211B	00004382	Executive Director	Chairperson	MD	02-02-1962
2	Ms	Mala Todarwal	ADEPT5162D	06933515	Non-Executive - Independent Director	Not Applicable		03-05-1985
3	Mr	Ketan Shah	ATYPS8142A	01765743	Executive Director	Not Applicable		17-11-1970
4	Mr	Krishna Iyer	AARPI2880H	01954913	Non-Executive - Non Independent Director	Not Applicable		14-10-1976
5	Mr	Muralidharan Ramachanndran	AFRPR8231C	08330682	Non-Executive - Independent Director	Not Applicable		21-09-1967
6	Mr	Kalyan Prasath	AAJPP6262C	07677959	Non-Executive - Independent Director	Not Applicable		27-04-1966
7	Mr	Krishnaswamy Arabadi Sridhar	ABQPA3301H	00046719	Non-Executive - Independent Director	Not Applicable		15-07-1960
8	Mr	Amit Majumdar	AEKPM1973N	01633369	Executive Director	Not Applicable		01-06-1972

9	Mr	Arunkumar Nerur Thigarajan	AALPA3727B	02407722	Non-Executive - Independent Director	Not Applicable		24-09-1969
10	Mr	Ambarish Kenghe	EASPK3743L	10949234	Executive Director	Not Applicable	CEO	28-07-1976

I. Composition of Board of Directors					
Disqualification of Directors under section 164 of the Companies Act, 2013					
Sr	Whether the director is disqualified?	Start Date of disqualification	End Date of disqualification	Details of disqualification	Current status
1	No				Active
2	No				Active
3	No				Active
4	No				Active
5	No				Active
6	No				Active
7	No				Active
8	No				Active
9	No				Active
10	No				Active

I. Composition of Board of Directors													
Sr	Whether special resolution passed? [Refer Reg. 17(1A) of Listing Regulations]	Date of passing special resolution	Initial Date of appointment	Date of Re-appointment	Date of cessation	Tenure of director (in months)	No of Directorship in listed entities including this listed entity (Refer Regulation 17A of Listing Regulations)	No of Independent Directorship in listed entities including this listed entity [with reference to proviso to regulation 17A(1) & reg. 17A(2)]	Number of memberships in Audit/ Stakeholder Committee(s) including this listed entity (Refer Regulation 26(1) of Listing Regulations)	No of post of Chairperson in Audit/ Stakeholder Committee held in listed entities including this listed entity (Refer Regulation 26(1) of Listing Regulations)	Reason for Cessation	Notes for not providing PAN	Notes for not providing DIN
1	NA		23-10-2007	01-01-2025			1	0	0	0			
2	NA		20-10-2021	20-10-2021		47.11	4	4	10	2			
3	NA		11-05-2018		18-07-2025		1	0	0	0	Others		
4	NA		15-07-2021				1	0	1	0			
5	NA		06-08-2021	06-08-2021		49.25	1	1	1	0			
6	NA		16-01-2023	16-01-2023		32.15	1	1	0	0			
7	NA		16-01-2023	16-01-2023		32.15	1	1	1	0			
8	NA		17-04-2023				1	0	1	0			
9	NA		13-07-2023	13-07-2023		26.18	1	1	0	0			

10	NA		16-04-2025				1	0	0	0			
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Audit Committee Details							
Whether the Audit Committee has a Regular Chairperson					Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	06933515	Mala Tadarwal	Non-Executive - Independent Director	Chairperson	20-10-2021		
2	08330682	Muralidharan Ramachandran	Non-Executive - Independent Director	Member	08-05-2023		
3	01954913	Krishna Iyer	Non-Executive - Non Independent Director	Member	12-10-2023		

Nomination and remuneration committee							
Whether the Nomination and remuneration committee has a Regular Chairperson					Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	00046719	Krishnaswamy Arabadi Sridhar	Non-Executive - Independent Director	Chairperson	08-05-2023		
2	06933515	Mala Todarwal	Non-Executive - Independent Director	Member	18-05-2022		
3	00004382	Dinesh Thakkar	Executive Director	Member	14-05-2018		
4	02407722	Arunkumar Nerur Thigarajan	Non-Executive - Independent Director	Member	12-10-2023		

Stakeholders Relationship Committee							
Whether the Stakeholders Relationship Committee has a Regular Chairperson					Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	06933515	Mala Tadarwal	Non-Executive - Independent Director	Chairperson	20-10-2021		
2	01633369	Amit Majumdar	Executive Director	Member	08-05-2023		
3	00046719	Krishnaswamy Arabadi Sridhar	Non-Executive - Independent Director	Member	12-10-2023		

Risk Management Committee							
Whether the Risk Management Committee has a Regular Chairperson					Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	08330682	Muralidharan Ramachandran	Non-Executive - Independent Director	Chairperson	20-10-2021		
2	07677959	Kalyan Prasath	Non-Executive - Independent Director	Member	08-05-2023		
3	00046719	Krishnaswamy Arabadi Sridhar	Non-Executive - Independent Director	Member	08-05-2023		
4	10949234	Ambarish Kenghe	Executive Director	Member	16-04-2025		

Corporate Social Responsibility Committee							
Whether the Corporate Social Responsibility Committee has a Regular Chairperson					Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	00004382	Dinesh Thakkar	Executive Director	Chairperson	14-05-2018		
2	01954913	Krishna Iyer	Non-Executive - Non Independent Director	Member	20-10-2021		
3	07677959	Kalyan Prasath	Non-Executive - Independent Director	Member	08-05-2023		

Other Committee						
Sr	DIN Number	Name of Committee members	Name of other committee	Category 1 of directors	Category 2 of directors	Remarks
1	08330682	Muralidharan Ramachanrdan	ESG Committee (Environment, Social and Governance)	Non-Executive - Independent Director	Chairperson	
2	00004382	Dinesh Thakkar	ESG Committee (Environment, Social and Governance)	Executive Director	Member	
3	01954913	Krishna Iyer	ESG Committee (Environment, Social and Governance)	Non-Executive - Non Independent Director	Member	
4	08330682	Muralidharan Ramachanrdan	Cyber Security and Information Technology Committee	Non-Executive - Independent Director	Chairperson	Textual Information(1)
5	10949234	Ambarish Kenghe	Cyber Security and Information Technology Committee	Executive Director	Member	Textual Information(2)
6	02407722	Arunkumar Nerur Thigarajan	Cyber Security and Information Technology Committee	Non-Executive - Independent Director	Member	Textual Information(3)
7	07677959	Kalyan Prasath	Cyber Security and Information Technology Committee	Non-Executive - Independent Director	Member	Textual Information(4)
8	00000000	Ravish Sinha	Cyber Security and Information Technology Committee	Member	Member	Textual Information(5)
9	00000000	Anuprita Daga	Cyber Security and Information Technology Committee	Member	Member	Textual Information(6)

Other Committee Text Block	
Textual Information(1)	Pursuant to the circular No. NSE/INSP/69804 dated August 22, 2025, for adherence of the SEBI circular on enhanced obligations and responsibilities on Qualified StockBrokers (QSBs) and the Cyber Security and Cyber Resilience Framework (CSCRF), the Board hereby accords consent to the merger of present committees viz. Technology and Cyber Security Committee and Information Technology Committee via Circular Resoltuion dated September 08,2025.
Textual Information(2)	Pursuant to the circular No. NSE/INSP/69804 dated August 22, 2025, for adherence of the SEBI circular on enhanced obligations and responsibilities on Qualified StockBrokers (QSBs) and the Cyber Security and Cyber Resilience Framework (CSCRF), the Board hereby accords consent to the merger of present committees viz. Technology and Cyber Security Committee and Information Technology Committee via Circular Resoltuion dated September 08,2025.
Textual Information(3)	Pursuant to the circular No. NSE/INSP/69804 dated August 22, 2025, for adherence of the SEBI circular on enhanced obligations and responsibilities on Qualified StockBrokers (QSBs) and the Cyber Security and Cyber Resilience Framework (CSCRF), the Board hereby accords consent to the merger of present committees viz. Technology and Cyber Security Committee and Information Technology Committee via Circular Resoltuion dated September 08,2025.
Textual Information(4)	Pursuant to the circular No. NSE/INSP/69804 dated August 22, 2025, for adherence of the SEBI circular on enhanced obligations and responsibilities on Qualified StockBrokers (QSBs) and the Cyber Security and Cyber Resilience Framework (CSCRF), the Board hereby accords consent to the merger of present committees viz. Technology and Cyber Security Committee and Information Technology Committee via Circular Resoltuion dated September 08,2025.
Textual Information(5)	Pursuant to the circular No. NSE/INSP/69804 dated August 22, 2025, for adherence of the SEBI circular on enhanced obligations and responsibilities on Qualified StockBrokers (QSBs) and the Cyber Security and Cyber Resilience Framework (CSCRF), the Board hereby accords consent to the merger of present committees viz. Technology and Cyber Security Committee and Information Technology Committee via Circular Resoltuion dated September 08,2025. Mr. Ravish Sinha-Group Chief Product and Technology Officer is a member of the Committee
Textual Information(6)	Pursuant to the circular No. NSE/INSP/69804 dated August 22, 2025, for adherence of the SEBI circular on enhanced obligations and responsibilities on Qualified StockBrokers (QSBs) and the Cyber Security and Cyber Resilience Framework (CSCRF), the Board hereby accords consent to the merger of present committees viz. Technology and Cyber Security Committee and Information Technology Committee via Circular Resoltuion dated September 08,2025. Ms. Anuprita Daga-Group Chief Information Security Officer is a member of the Committee.

Annexure 1								
Annexure 1								
III. Meeting of Board of Directors								
Disclosure of notes on meeting of board of directors explanatory								
Sr. No.	Date(s) of meeting (if any) in the previous quarter	Date(s) of meeting (if any) in the current quarter	Maximum gap between any two consecutive (in number of days)	Notes for not providing Date	Whether requirement of Quorum met (Yes/No)	Total Number of Directors as on date of the meeting	Number of Directors present* (All directors including Independent Director)	No. of Independent Directors attending the meeting*
1	16-04-2025				Yes	9	9	5
2	14-05-2025		27		Yes	10	10	5
3		16-07-2025	62		Yes	10	9	5
4		23-07-2025	6		Yes	9	9	5

Annexure 1										
IV. Meeting of Committees										
Disclosure of notes on meeting of committees explanatory							Textual Information(1)			
Sr	Name of Committee	Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	Maximum gap between any two consecutive (in number of days)	Name of other committee	Reason for not providing date	Whether requirement of Quorum met (Yes/No)	Total Number of Directors in the Committee as on date of the meeting	Number of Directors Present (All Directors including Independent Director)	No. of Independent Directors attending the meeting*	No. of members attending the meeting (other than Board of Directors)
1	Audit Committee	16-04-2025				Yes	3	3	2	0
2	Audit Committee	14-05-2025	27			Yes	3	3	2	0
3	Audit Committee	16-07-2025	62			Yes	3	3	2	0
4	Nomination and remuneration committee	16-04-2025				Yes	4	4	3	0
5	Nomination and remuneration committee	16-07-2025	90			Yes	4	4	3	0
6	Risk Management Committee	24-06-2025				Yes	4	4	3	0

Annexure 1

IV. Meeting of Committees

Sr	Name of Committee	Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	Maximum gap between any two consecutive (in number of days)	Name of other committee	Reason for not providing date	Whether requirement of Quorum met (Yes/No)	Total Number of Directors in the Committee as on date of the meeting	Number of Directors Present (All Directors including Independent Director)	No. of Independent Directors attending the meeting*	No. of members attending the meeting (other than Board of Directors)
7	Risk Management Committee	24-09-2025	91			Yes	4	4	3	0
8	Other Committee	24-06-2025		Technology And Cyber Security Committee		Yes	4	4	3	3
9	Other Committee	24-06-2025		Information Technology Committee		Yes	2	2	2	2
10	Other Committee	24-09-2025	91	Cyber Security and Information Technology Committee	Pursuant to the circular No. NSE/INSP/69804 dated August 22, 2025, for adherence of the SEBI circular on enhanced obligations and responsibilities on Qualified StockBrokers	Yes	4	4	3	2

					(QSBs) and the Cyber Security and Cyber Resilience Framework (CSCRF), the Board hereby accords consent to the merger of present committees viz. Technology and Cyber Security Committee and Information Technology Committee via Circular Resoltuion dated September 08,2025.					
11	Other Committee	11-07-2025		Independent Directors Meeting		Yes	5	5	5	0
12	Corporate Social Responsibility Committee	22-04-2025				Yes	3	3	1	0
13	Other Committee	15-04-2025		ESG Committee (Environment, Social and Governance)		Yes	3	3	2	0

Text Block	
Textual Information(1)	Pursuant to the circular No. NSE/INSP/69804 dated August 22, 2025, for adherence of the SEBI circular on enhanced obligations and responsibilities on Qualified StockBrokers (QSBs) and the Cyber Security and Cyber Resilience Framework (CSCRF), the Board hereby accords consent to the merger of present committees viz. Technology and Cyber Security Committee and Information Technology Committee via Circular Resoltuion dated September 08,2025.

Annexure 1		
V. Affirmations		
Sr	Subject	Compliance status (Yes/No)
1	The composition of Board of Directors is in terms of SEBI (Listing obligations and disclosure requirements) Regulations, 2015	Yes
2	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015 a. Audit Committee	Yes
3	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. b. Nomination & remuneration committee	Yes
4	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. c. Stakeholders relationship committee	Yes
5	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. d. Risk management committee (applicable to the top 1000 listed entities)	Yes
6	The committee members have been made aware of their powers, role and responsibilities as specified in SEBI (Listing obligations and disclosure requirements) Regulations, 2015.	Yes
7	The meetings of the board of directors and the above committees have been conducted in the manner as specified in SEBI (Listing obligations and disclosure requirements) Regulations, 2015.	Yes
8	This report and/or the report submitted in the previous quarter has been placed before Board of Directors.	Yes

Annexure 1		
Sr	Subject	Compliance status
1	Name of signatory	Naheed Patel
2	Designation	Company Secretary and Compliance Officer

Affirmations on Compliance Requirements for AGM (applicable only for the first half-year filing i.e., 2nd quarter)				
I. Affirmations				
Sr	Particulars	Regulation Number	Compliance status (Yes/No/NA)	If status is “No” details of non-compliance may be given here.
1	Copy of the annual report including balance sheet, profit and loss account, directors report, corporate governance report, BRSR & BRSR core, if applicable, displayed on website	46(2)	Yes	
2	Presence of Chairperson of Audit Committee at the Annual General Meeting	18(1)(d)	Yes	
3	Presence of Chairperson of the nomination and remuneration committee at the annual general meeting	19(3)	Yes	
4	Presence of Chairperson of the Stakeholder Relationship committee at the annual general meeting	20(3)	Yes	
5	Disclosure of the Secretarial Audit Report of the listed entity and the material subsidiaries in the Annual Report	24A(1)	Yes	
6	Compliance with the conditions laid down for Secretarial Auditor or the person signing the Secretarial Compliance Report	24A(1A), 24A(1B), 24A(1C)	Yes	
7	Submission of Annual Secretarial Compliance Report	24A(2)	Yes	
8	Whether “Corporate Governance Report” disclosed in Annual Report	34(3) read with para C of Schedule V	Yes	
Any other information to be provided				

Annexure III		
1	Name of signatory	Naheed Patel
2	Designation	Company Secretary and Compliance Officer

Additional Half yearly Disclosure DISCLOSURE OF LOANS / GUARANTEES / COMFORT LETTERS / SECURITIES ETC. (applicable only for half-yearly filings)			
Any Other Information for Disclosure of Loans / Guarantees / Comfort Letters / Securities Etc.			Textual Information(1)
I. Disclosure of Loans/ guarantees/comfort letters /securities etc. Refer note below			
(A)Any loan or any other form of debt advanced by the listed entity directly or indirectly to			
Entity	Aggregate amount advanced during six months	Balance outstanding at the end of six months	
Promoter or any other entity controlled by them	0	0	
Promoter Group or any other entity controlled by them	0	0	
Directors (including relatives) or any other entity controlled by them	0	0	
KMPs or any other entity controlled by them	0	0	
(B) Any guarantee / comfort letter (by whatever name called) provided by the listed entity directly or indirectly, in connection with any loan(s) or any other form of debt availed By			
Entity	Type (guarantee, comfort letter etc.)	Aggregate amount of issuance during six months	Balance outstanding at the end of six months(taking into account any invocation)
Promoter or any other entity controlled by them	0	0	0
Promoter Group or any other entity controlled by them	0	0	0
Directors (including relatives) or any other entity controlled by them	0	0	0
KMPs or any other entity controlled by them	0	0	0

(C) Any security provided by the listed entity directly or indirectly, in connection with any loan(s) or any other form of debt availed by			
Entity	Type of security (cash, shares etc.)	Aggregate value of security provided during six months	Balance outstanding at the end of six months
Promoter or any other entity controlled by them	0	0	0
Promoter Group or any other entity controlled by them	0	0	0
Directors (including relatives) or any other entity controlled by them	0	0	0
KMPs or any other entity controlled by them	0	0	0
(D) Additional Information			Textual Information(2)
II. Affirmations			
Affirmations		Compliance Status	Company Remarks
All loans (or other form of debt), guarantees, comfort letters (by whatever name called) or securities in connection with any loan(s) (or other form of debt) given directly or indirectly by the listed entity to promoter(s), promoter group, director(s) (including their relatives), key managerial personnel (including their relatives) or any entity controlled by them are in the economic interest of the company.		Yes	Textual Information(3)
Name	Vineet Agrawal		
Designation	CFO		
Place	Mumbai		
Date	24-10-2025		

Text Block	
Textual Information(3)	There are Inter corporate Deposit transactions between Listed holding entity to its subsidiary Companies.Thus this half yearly disclosure is Not Applicable

Details of Cyber security incidence		
Whether as per Regulation 27(2)(ba) of SEBI (LODR) Regulations, 2015 there has been cyber security incidents or breaches or loss of data or documents during the quarter		No
Number of cyber security incidence or breaches or loss of data event occurred during the quarter		
Sr.	Date of the event	Brief details of the event

Signatory Details	
Name of signatory	Naheed Patel
Designation of person	Company Secretary and Compliance Officer
Place	Mumbai
Date	24-10-2025

Investor Grievance Details	
No. of investor complaints pending at the beginning of Quarter	1
No. of investor complaints received during the Quarter	7
No. of investor complaints disposed off during the Quarter	8
No. of investor complaints those remaining unresolved at the end of the Quarter	0

Disclosure of Imposition of Fine or Penalty The details of imposition of fine or penalty during the quarter in terms of sub-para 20 of para A of Part A of Schedule III are given below:					
Any Other Information for Disclosure of Imposition of Fine or Penalty					
Sr. No.	Name of the authority	Nature and details of the action(s) taken or order(s) passed	Date of receipt of direction or order, including any ad interim or interim orders, or any other communication from the authority	Details of the violation(s)/ contravention(s) committed or alleged to be committed	Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible
1	CDSL	Penalty levied for Rs. 1000 for violation related to regulatory non compliance	02-07-2025	1) Incorrect entry of PAN details in CDAS during the month of May-2025	Operational lapse
2	NSE	Penalty levied for Rs. 25000 for violation related to regulatory non compliance	03-07-2025	1) Trading Members has executed the trades in the UCCs which were not permitted to trade. 2) Contravening clauses incorporated in client registration documents.	Operational lapse

3	BSE	Penalty levied for Rs. 40000 for violation related to regulatory non compliance	11-07-2025	Position Limit Violation - Equity Derivatives_612 02-07-2025 , 10-07-2025, 16-07-2025, 21-07-2025, 23-07-2025, 25-07-2025, 31-07-2025	Operational lapse
4	NSE	Penalty levied for Rs. 77200 for violation related to regulatory non compliance	16-07-2025	1) Incorrect reporting of margin collection from clients. 2) Incorrect data submitted towards the segregation and monitoring of collateral at client level to the Clearing Member/ Clearing Corporation.	Operational lapse
5	BSE	Penalty levied for Rs. 5000 for violation related to regulatory non compliance	24-07-2025	Non-Compliance w.r.t Non-Reporting & Delay in Reporting of Bank account of Stockbroker for period April 2025.	Operational lapse
6	BSE	Penalty levied for Rs. 40000 for violation related to regulatory non compliance	05-08-2025	Position Limit Violation - Equity Derivatives 01-Aug-25 04-Aug-25 06-Aug-25 13-Aug-25 18-Aug-25 20-Aug-25 28-Aug-25	Operational lapse
7	NSE	Penalty levied for Rs. 2000 for violation related to regulatory	05-08-2025	1) Member has not pledged only those securities in Client unpaid securities pledgee account which are unpaid by the clients 2) Member has not invoked/ unpledged the unpaid securities which are unpaid by the clients within 5 days after the payout 3) Non maintenance of a well documented Risk Management Policy.	Operational lapse

		non compliance			
8	NSE	Penalty levied for Rs. 2000 for violation related to regulatory non compliance	08-08-2025	1- Groupings and sub groupings are missing from Trial balance submitted to exchange 2-The CISO report submitted, did not have the DR live dates explicitly mentioned 3- AOL has not automated process of risk management, reporting and compliance as per SEBI/Exchange circular 4- Angel One has not provided / delayed in providing duly approved status of alerts on quarterly basis, in manner and format prescribed by the Exchange in Circular NSE/SURV/48818 5-Comprehensive Risk Management policy is not maintained as per the requirement of QSB circular 6- Minutes of the Board meeting did not capture whether there was any occurrence/non-occurrence of incidents w.r.t leakage of investor data. Accordingly, BOD / senior management have not viewed seriously, the recurrence of incidents/vulnerabilities, if any, having an impact on functioning	Operational lapse
9	CDSL	Penalty levied for Rs. 1000 for violation related to regulatory non compliance	28-08-2025	Incorrect entry of PAN details in CDAS during the month of July-2025	Operational lapse
10	NSE	Penalty levied for Rs. 5000 for violation related to regulatory non compliance	29-08-2025	Member has not reported the opening of their Bank Account to the Exchange within one week of the opening	Operational lapse
11	BSE	Penalty levied for Rs. 10000 for violation related to regulatory	08-09-2025	Position Limit Violation - Equity Derivatives_612 03-Sep-25 , 05-Sep-25, 09-Sep-25	Operational lapse

		non compliance			
12	NSE	Penalty levied for Rs. 25000 for violation related to regulatory non compliance	09-09-2025	<p>1) Angel One has made pay-out of funds to clients in excess of their available balances 2) Risk management committee and IT committee meetings were not held quarterly in such a manner that gap of 120 days should not elapse between two meetings. 3) Specific measures for strengthening internal financial control & financial risk management were proposed and Technical glitch details were not captured in the minutes of the meeting 4) Evidence of conducting annual risk assessment is missing 5) Evidence of conducting annual assessment of manpower is missing 6) Comprehensive Risk Management policy is not maintained as per the requirement of QSB circular. 7) Delay in submission of RMC minutes 8) Angel One has not provided / delayed in providing duly approved status of alerts on quarterly basis, in manner and format prescribed by the Exchange in Circular NSE/SURV/48818 9) Angel One has not automated process of risk management, reporting and compliance as per SEBI/ Exchange circular. 10) The period of winding down was 6 months instead of 180 days in the winding down policy place is not as per the requirements of QSB circular. 11) Angel One does not have in place a Cybersecurity policy, procedures and /or guidelines are not reviewed on half year basis 12) Smooth failback to Primary site after the disaster is not part of BCP policy 13) Angel One has not conducted the quarterly DR drill in the quarter Oct 2023- Dec 2023</p>	Operational lapse
13	NSE	Penalty levied for Rs.2000 for violation related to regulatory non compliance	22-09-2025	<p>1. Member has not pledged only those securities in Client Unpaid Securities Pledgee Account (CUSPA) which are unpaid by the clients 2. Member has not invoked/ unpledged the unpaid securities which are unpaid by the clients within 5 days after the payout 3. Angel One has not maintained well documented risk management policy</p>	Operational lapse

Disclosure of Updates to Ongoing Tax Litigations or Disputes The updates on tax litigations or disputes in terms of sub-para 8 of para B of Part A of Schedule III read with corresponding provisions of Annexure 18 of the Master Circular are given below:				
Any Other Information for Disclosure of Updates to Ongoing Tax Litigations or Disputes				Textual Information(1)
Sr. No.	Name of the opposing party	Date of initiation of the litigation / dispute	Status of the litigation / dispute as per last disclosure	Current status of the litigation / dispute
1	Income Tax Department	25-07-2018	Pending for adjudication/hearing	Matter is pending before Hon'ble Bombay High Court.
2	Income Tax Department	17-01-2018	Pending for adjudication/hearing	Matter is pending before Hon'ble CIT(A).
3	Income Tax Department	25-10-2022	Pending for adjudication/hearing	Matter is pending before Hon'ble CIT(A).
4	GST department (Punjab FY 17-18)	20-03-2024	Pending for adjudication/hearing	Matter is pending before GST Appellate Authority
5	GST department (Telangana FY 18-19)	27-04-2024	Pending for adjudication/hearing	Matter is pending before GST Appellate Authority
6	GST department (Punjab FY 18-19)	18-07-2024	Pending for adjudication/hearing	Matter is pending before GST Appellate Authority
7	GST department (Bihar FY 17-18 to 19-20)	11-01-2025	Pending for adjudication/hearing	Matter is pending before GST Appellate Authority
8	GST department (Uttar Pradesh FY 20-21)	01-02-2025	Pending for adjudication/hearing	Matter is pending before GST Appellate Authority
9	GST department (Karnataka FY 20-21)	25-02-2025	Pending for adjudication/hearing	Matter is pending before GST Appellate Authority

Disclosure of Updates to Ongoing Tax Litigations or Disputes The updates on tax litigations or disputes in terms of sub-para 8 of para B of Part A of Schedule III read with corresponding provisions of Annexure 18 of the Master Circular are given below: Text Block	
Textual Information(1)	10. Name of the Opposing Party-GST department (Rajasthan FY 18-19) Date of Initiation of Litigation/dispute- to be filed Status of Litigation-Pending for adjudication/hearing Current Status of the litigation-Matter is pending before GST Appellate Authority

