

August 02, 2024

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

**Sub: Intimation with respect to order passed by the Adjudicating Officer, SEBI considering the Show Cause Notice (“SCN”) dated May 13, 2024:**

**Ref: Disclosure under Regulation 30 of the Securities and Exchange Board of India (Listing Obligations and Disclosures Requirements) Regulations, 2015 (“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 Regulation”) we wish to inform that SEBI has issued an Order dated July 30, 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.

<b>Sr. No.</b>	<b>Particulars</b>	<b>Details</b>
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 Officer, SEBI has levied a penalty of ₹ 2,00,000/- (Rupees Two Lakhs Only).
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 July 30, 2024 received by the Company from SEBI <i>vide</i> its email dated August 01, 2024.
4.	Details of the violation(s)/ contravention(s) committed or alleged to be committed;	<p>The company was in receipt of SEBI show cause notice alleging that incorrect data for certain clients including Sikkim based clients was uploaded in UCC Database of MCX which was different from KYC Documents with respect to 22 clients for the period from July 01, 2020 to June 30, 2022. This led to a conclusion that the above mentioned 22 clients who were not domiciled in Sikkim were considered as Sikkim based due to incorrect UCC Data and thus a possible violation of Stamp duty Act and misuse of exemption available to Sikkim based clients.</p> <p>In this regard, we have submitted our response as under:</p> <ol style="list-style-type: none"><li>1. There was issue in mapping pin code state master file provided by MCX because of which there was issue in some of the UCCs uploaded to the Exchange.</li><li>2. These instances of incorrect mapping of states were purely unintentional and has not caused any harm</li></ol>

## 5paisa Capital Limited

		<p>to investors, markets at large, Exchange, SEBI or even the State for Stamp Duty.</p> <p>3. MCX has already collected the differential stamp duty and also levied a penalty of ₹ 2,20,000/- plus GST for these S22 instances.</p> <p>4. As per the present order, the Adjudication Officer has again levied a penalty of ₹ 2,00,000/- (Rupees Two Lakhs Only) for which we are in consultation with our lawyers for further course of action.</p>
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 impact.

Kindly take the above in record.

Thanking You,

Yours faithfully,

**For 5paisa Capital Limited**

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**Namita Godbole**  
**Company Secretary & Compliance Officer**  
**Membership No.: A21056**  
**Email: [csteam@5paisa.com](mailto:csteam@5paisa.com)**

**5paisa Capital Limited**