



To,
 Listing Department
 National Stock Exchange of India Limited
 Exchange Plaza, C-1, G Block,
 Bandra Kurla Complex, Bandra (East),
 Mumbai - 400 051.
Symbol: ANGELONE

Department of Corporate Services
 BSE Limited
 Phiroze Jeejeebhoy Towers,
 Dalal Street,
 Mumbai - 400 001.
Scrip Code: 543235

Subject: Disclosure under Regulation 30 of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015

Pursuant to the provisions of Regulation 30 read with sub-para 20, Para A, Part A, Schedule III of the SEBI (Listing Obligations and Disclosure Requirements), Regulations 2015 (Listing Regulations), we hereby submit the disclosure regarding the settlement order passed by Securities Exchange Board of India (SEBI).

The details of the above order as required under Regulation 30 of Listing Regulations are given below:

<p>Name of the Authority</p> <p>Nature and details of the action(s) taken, initiated or order(s) passed;</p>	<p>Securities Exchange Board of India</p> <p>Settlement Order No. SO/EFD2/2024-25/7823 dated September 27, 2024 is passed by SEBI.</p> <p>A Show Cause Notice dated April 24, 2024 (hereinafter referred to as the "SCN") was issued to AOL calling upon it to show cause as to why an inquiry should not be held against it in terms of Rule 4 of the SEBI (Procedure for Holding Inquiry and Imposing Penalties) Rules, 1995 and why suitable monetary penalties under Section 11B(2) read with Section 15HB of the SEBI Act, 1992 and Regulations 26 (iii), (xv) and (xvi) of SEBI (Stock Brokers) Regulations, 1992, should not be imposed on it for the alleged violations of the provisions of SEBI Circulars viz. SEBI/HO/MIRSD/DOP1/CIR/P/2018/54 dated March 22, 2018 and MIRSD/ DR-1/ Cir-16/09 dated November 06, 2009 and Clauses A(2) and A(5) of Code Of Conduct as specified under Schedule II of SEBI (Stock Brokers) Regulation, 1992, read with Regulation 9(f) of SEBI (Stock Brokers) Regulation, 1992.</p> <p>AOL had filed a settlement application dated May 15, 2024 in terms of the SEBI (Settlement Proceedings) Regulations, 2018 (hereinafter referred to as the "Settlement Regulations") proposing to settle the said proceeding through a settlement order without admitting or denying the findings of fact and conclusions of law.</p> <p>AOL filed Revised Settlement Terms ('RST') wherein AOL proposed to offer Rs. 21,64,500 (Rupees Twenty-One Lakh Sixty-Four Thousand Five Hundred Only) towards settlement amount. The same was duly accepted and AOL remitted the said amount.</p>
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Corporate & Regd Office:
 601, 6th Floor, Ackruti Star, Central Road, MIDC,
 Andheri (E), Mumbai - 400093.
 T: (022) 4000 3600
 F: (022) 4000 3609
 E: support@angelone.in
 www.angelone.in

Angel One Limited
 CIN: L67120MH1996PLC101709,
 SEBI Registration No Stock Broker: INZ000161534,
 CDSL: IN-DP-384-2018, PMS: INP00001546,
 Research Analyst: INH000000164, Investment Advisor: INA000008172,
 AMFI Regn. No. ARN-77404, PFRDA, Regn. No. -19092018.

Classified as Internal



	<p>Vide settlement order dated September 27, 2024, it was ordered that the said proceeding initiated against AOL, vide Show Cause Notice dated April 24, 2024, is disposed of as per the following terms:</p> <p><i>“9.1 SEBI shall not initiate any other enforcement action against the Applicant for the said violation; and</i> <i>9.2 Passing of this Order is without prejudice to the right of SEBI under Regulation 28 of the Settlement Regulations to initiate any enforcement action against the Applicant, if SEBI finds that:</i> <i>9.2.1 any representations made by the Applicant in the settlement proceedings is subsequently found to be untrue; or</i> <i>9.2.2 the Applicant has breached any of the clauses / conditions of undertakings waivers filed during the current settlement proceedings; or</i> <i>9.2.3 there was a discrepancy while arriving at the settlement terms.”</i></p>
Date of receipt of direction or order, including any ad-interim or interim orders, or any other communication from the authority	September 27, 2024
Details of the violation(s)/contravention(s) committed or alleged to be committed	Allegation of front running of orders by one of its Authorised person.
Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible.	There is no material impact on financial, no impact on operations or other activities of the Company due to the order.

Kindly take the same on record.

For **Angel One Limited**

Naheed Patel
Company Secretary and Compliance Officer
ACS: 22506

Date: September 27, 2024
Place: Mumbai



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