



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 Service
BSE Limited
Phiroze Jeejeebhoy Towers,
Dalal Street,
Mumbai - 400 001.
Scrip Code: 543235

Dear Sirs/ Ma'am,

Sub: Disclosure made under Regulation 30 of the SEBI (Listing Obligation and Disclosure Requirements) Regulations, 2015

This is to inform that the Member and Core Settlement Guarantee Fund Committee ("MCSGFC"/ "Committee") of National Stock Exchange of India Limited ("Exchange") has passed an order dated September 25, 2023, against the Company with respect to observations on the following:

- i) inspection conducted of books and records of Company covering the period from January 1, 2021, to December 31, 2021,
- ii) limited purpose inspection of the books and records of Angel One covering the period from February 1, 2022, to February 28, 2022
- iii) Review of bank books of 3 bank accounts of Angel Fincap Private Limited (subsidiary of Company)

Details of the Order have been provided in Annexure A (enclosed) in compliance with Regulation 30 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, read with circular No. CIR/CFD/CMD/4/2015 dated September 09, 2015.

The Company has always been committed to conducting business in compliance with applicable laws and regulations and with the highest ethical practices and principles and will continue to endeavor to do so.

Thanking you,

For Angel One Limited

Naheed Patel
Company Secretary and Compliance Officer

Date: September 29, 2023

Place: Mumbai

CSO, Corporate & Regd Office:
601, 6th Floor, Ackruti Star, Central Road, MIDC,
Andheri (E), Mumbai - 400093.
T: (022) 2820 5943 | (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: INP000001546,
Research Analyst: INH000000164, Investment Advisor: INA000008172,
AMFI Regn. No. ARN-77404, PFRDA, Regn. No.-19092018.



ANNEXURE A

| Sr. no. | Particulars | Remarks/Updates |
|---------|--|---|
| 1. | Name of the authority | Member and Core Settlement Guarantee Fund Committee ("MCSGFC"/ "Committee") of National Stock Exchange of India Limited ("Exchange") |
| 2. | Nature and details of the action(s) taken, initiated or order(s) passed | A monetary penalty has been imposed and warnings/ advisories have been issued (<i>as detailed below</i>). |
| 3. | Date of receipt of the order | September 25, 2023 The delay in making this disclosure is unintentional and inadvertent. |
| 4. | Details of the violation(s)/ contravention(s) committed or alleged to be committed | The Order has been passed by the Committee of the Exchange against the Company, in respect of the following observations: <ul style="list-style-type: none"> i. Non-settlement of clients' funds of active clients in respect of a few instances – Advisory issued. ii. Non-collection of adequate margins in the form of cash, cash equivalent, or Group I equity shares with appropriate hair cut in respect of a few instances – Monetary penalty of Rs. 15,00,000 (Rupees Fifteen Lakhs Only) iii. Material discrepancies in daily margin statement sent to client – Warning issued. iv. Funding of clients' transactions in a few instances – Warning issued. v. Passing of penalty to the clients on account of short/non-collection of upfront margins in a few instances – Warning issued. vi. Incorrect data reported in the weekly monitoring of clients' funds as of December 31, 2021 – Advisory issued. vii. Engagement as a principal in a business other than securities/commodities involving personal financial liability – Warning issued. viii. Engagement as a principal in a business other than securities/commodities involving personal financial liability – a) Monetary penalty of Rs.5,00,000 (Rupees Five Lakhs only) b) restructuring plan to be submitted within 45 days from the date of the order pertaining to disinvestment and recovery of loans, and (c) quarterly compliance report to be submitted for execution of |

CSO, Corporate & Regd Office:
601, 6th Floor, Ackruti Star, Central Road, MIDC,
Andheri (E), Mumbai - 400093.
T: (022) 2820 5943 | (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: INP000001546,
Research Analyst: INH000000164, Investment Advisor: INA000008172,
AMFI Regn. No. ARN-77404, PFRDA, Regn. No.-19092018.





| | | |
|----|--|---|
| | | action plan within 10 days from the end of the respective quarter ix. Facilitating the financing of client transactions through a financier- Monetary penalty of Rs. 5,00,000 (Rupees Five Lakhs only) |
| 5. | Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible | Monetary penalty of Rs. 25,00,000 (Rupees Twenty-five Lakhs) levied on the Company. There is no other impact on the financial, operations or other activities of the Company. |

CSO, Corporate & Regd Office:

601, 6th Floor, Ackruti Star, Central Road, MIDC, Andheri (E), Mumbai - 400093.

T: (022) 2820 5943 | (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: INP000001546,

Research Analyst: INH000000164, Investment Advisor: INA000008172, AMFI Regn. No. ARN-77404, PFRDA, Regn. No.-19092018.

