

Dated: 18<sup>th</sup> November, 2025

To,  
**The Secretary,**  
Corporate Relationship Department,  
**BSE Limited,**  
PhirozeJeejeebhoy Towers,  
Dalal Street, Mumbai-400001

**Subject: Intimation under Regulation 30 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.**

**Reference: Swastika Investmart Limited (BSE Scrip Code 530585; ISIN INE691C01022)**

Dear Sir/ Madam,

Pursuant to Regulation 30 read with sub-para 20 of Para A of Part A of Schedule III of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, we hereby inform you that being a member of National Stock Exchange ("NSE") having SEBI registration number INZ000192732, the company had submitted Internal audit report for the period October 2024 to March 2025.

Based on the non-compliances reported by the Internal Auditor in the said report and with reference to the Exchange letter Ref. No. NSE/INSP/IAR/ACT/11297 dated November 17, 2025, NSE has imposed monetary penalty of Rs. 1,50,000 /- (Rupees One Lakh Fifty Thousand Only) along with advice under Exchange Circular Nos. NSE/INSP/51110 dated January 24, 2022, and NSE/INSP/53530 dated September 2, 2022.

There is no impact on financials, operations or other activities of the Company pursuant to the above-mentioned letter.

The required details under SEBI Circular No. SEBI/HO/CFD/CFD-PoD-1/P/CIR/2023/123 dated July 13, 2023, is enclosed as **Annexure A**.

This is for your information and record.

Thanking You

Yours Faithfully,

**FOR SWASTIKA INVESTMART LIMITED**

**SHIKHA AGRAWAL**  
**COMPANY SECRETARY & COMPLIANCE OFFICER**  
**M. NO. A36520**

Enclosed: as above

### Swastika Investmart Limited

Corp. Off. : 48 Jaora Compound, M.Y.H. Road, Indore-452001 ☎ 0731 66 44 000

Regd. Off. : Office No. 104, 1st Floor, Keshava Commercial Building, Plot No. C-5, "E" Block, Bandra Kurla Complex,  
Opp GST Bhavan, Bandra (East), Mumbai - 400051 ☎ 022 690 11544

✉ hello@swastika.co.in 🌐 www.swastika.co.in CIN : L 65910 MH 1992 PLC 067052

**CONTINUOUS DISCLOSURE REQUIREMENTS UNDER SUB-PARA 20 OF PARA-A OF PART-A OF SCHEDULE III PURSUANT TO REGULATION 30 OF THE SEBI (LODR) REGULATIONS, 2015**

**ANNEXURE-A**

S. No.	Particulars	Information/Remarks
1	Name of the authority	National Stock Exchange of India Limited
2	Nature and details of the action(s) taken or order(s) passed	A monetary penalty has been imposed of Rs. 1,50,000/- under Exchange Circular Nos. NSE/INSP/51110 dated January 24, 2022, and NSE/INSP/53530 dated September 2, 2022, for the non-compliances reported by the Internal Auditor for period the period Oct 2024 to March 2025.
3	Date of receipt of direction or order, including any ad-interim or interim orders, or any other communication from the authority	Date of issue of order by NSE dated 17 <sup>th</sup> November, 2025 and received the same to the company vide email dated 17 <sup>th</sup> November, 2025 at 12:50 PM.
4	Details of the violation(s)/contravention(s) committed or alleged to be committed	Non-compliances were in the nature of operational irregularities as per NSE circulars which includes proper maintenance of logs for sharing weekly Statement of Accounts with clients, non-availability of pre-trade evidence for 2 samples clients, allowed trading in account of minor etc.
5	Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible	There is no other impact on the financials, operations or other activities of the Company.

**FOR SWASTIKA INVESTMART LIMITED**

**SHIKHA AGRAWAL**  
**COMPANY SECRETARY & COMPLIANCE OFFICER**  
**M. NO. A36520**

**Swastika Investmart Limited**

Corp. Off. : 48 Jaora Compound, M.Y.H. Road, Indore-452001 ☎ 0731 66 44 000

Regd. Off. : Office No. 104, 1st Floor, Keshava Commercial Building, Plot No. C-5, "E" Block, Bandra Kurla Complex,  
Opp GST Bhavan, Bandra (East), Mumbai - 400051 ☎ 022 690 11544

✉ hello@swastika.co.in 🌐 www.swastika.co.in CIN : L 65910 MH 1992 PLC 067052