

Dated: March 14, 2024

To,
The Secretary,
Corporate Relationship Department,
BSE Limited,
Phiroze Jeejeebhoy 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 INE691C01014)

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, this is to inform you that Securities and Exchange Board of India (“SEBI”) had conducted an inspection of the Company being a registered member of SEBI as Merchant Banker having registration number INM000012102 for the period 1 April 2021 to 31 March 2023 and as per findings SEBI imposed monetary penalty of Rs. 3.00 Lakhs (Rupees Three Lakhs) under Section 15HB of the SEBI Act via Adjudication Order bearing Ref No. ORDER/NH/RJ/2023-2024/30078 dated March 12, 2024.

Further please may note there is no impacts on the operations of the Company vide the order issued by SEBI and Further note that Associated person designated as KMPs and Compliance Officer have obtained necessary NISM certifications and therefore complied the regulatory requirements.

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 BANSAL
COMPANY SECRETARY & COMPLIANCE OFFICER
M. NO. A36520

Enclosed: as above

Swastika Investmart Limited

Corp. Off. : 48 Jaora Compound, M.Y.H. Road, Indore-452001 ☎ 0731-6644000, 3345000

Regd. Off. : Flat No. 18, North Wing, Madhaveshwar Co-op. Hsg. Society, S.V. Road, Andheri (W), Mumbai-400058 ☎ 022-26254568-69

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

Swastika Group : Member of NSE, BSE, NCDEX, MCX, MSEI DP : NSDL & CDSL

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	Adjudicating officer of SECURITIES AND EXCHANGE BOARD OF INDIA
2	Nature and details of the action(s) taken, initiated or order(s) passed	A monetary penalty has been imposed of Rs. 3,00,000 under the provisions of Section 15HB of SEBI Act, 1992
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 adjudicating authority dated 12 th March, 2024 and received the same to the company vide email dated 13 th March, 2024 at 10.29 AM.
4	Details of the violation(s)/ contravention(s) committed or alleged to be committed	Regulations 3(1) and 4(1) of SEBI (Certification of Associated Persons in the Securities Markets) Regulations, 2007 read with Notifications dated 11 th March, 2013 and 2 nd August, 2013 issued under Regulation 3 of SEBI (Certification of Associated Persons in the Securities Markets) Regulations, 2007.
5	Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible	Monetary penalty of Rs. 3,00,000 (Three Lakhs) levied on the Company. There is no other impact on the financial, operations or other activities of the Company.

FOR SWASTIKA INVESTMART LIMITED

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