

Date: 30<sup>th</sup> April, 2025

<b>Listing Operations</b> <b>BSE Limited,</b> <b>P J Towers, Dalal Street,</b> <b>Mumbai-400001, India</b>  <b>Scrip Code: 543263</b> <b>Debentures Scrip Code: 939639,</b> <b>939655, 939657, 939643, 939651</b> <b>and 939647</b>	<b>Listing Department</b> <b>National Stock Exchange of India Limited,</b> <b>Exchange Plaza, C-1, Block G,</b> <b>Bandra Kurla Complex,</b> <b>Bandra</b> <b>( E ) Mumbai – 400051</b>  <b>Symbol: SMCGLOBAL</b>
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**Subject: Intimation under Regulation 30 of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 ('SEBI Listing Regulations') – Administrative Warning issued by SEBI**

Dear Sir/Ma'am,

This is to inform you that, the company has received administrative warning letter vide reference No. SEBI/HO/MIRSD/SEC5/P/OW/2025/12078/1 dated April 30, 2025, regarding inspection of books of account and other records of SMC Global Securities Limited (Stock Broker) — Thematic Inspection - Cyber Security & Cyber Resilience Framework and Framework on Technical Glitches.

In this regard, pursuant to the provisions of Regulation 30 read along with Clause 20 of Para A of Part A of Schedule III of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, we hereby enclose the warning letter received from SEBI.

This will also be hosted on the Company's website at [www.smcindiaonline.com](http://www.smcindiaonline.com)

This is for your information and record.

**For SMC Global Securities Limited**

**Suman Kumar**  
**E.V.P. (Corporate Affairs) & Company Secretary**  
**Membership No. F5824**

Name of the Authority	SEBI
Nature and details of the action(s) taken, initiated or order(s) passed	Administrative Warning Letter
Date of receipt of direction or order, including any ad-interim or interim orders, or any other communication from the authority	30 <sup>th</sup> April, 2025
Details of the violation(s)/contravention(s) committed or alleged to be committed	<p><b>A. Capacity Planning &amp; Management:</b> The member did not conduct capacity planning as required. It was observed that the capacity threshold exceeded 70% multiple times in case of several instances for memory utilization and CPU loads.</p> <p><b>B. Logging and Monitoring Mechanism:</b> In case of LAMA Implementation, there was delay of around 1 year in implementation of all critical servers into LAMA by the member.</p> <p><b>C. Disaster Recovery (DR) Drill:</b> Stockbroker has not conducted the required DR drill for the year 2023-2024.</p>
Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible.	None



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और विनिमय बोर्ड  
Securities and Exchange  
Board of India

Deputy General Manager  
Market Intermediaries Regulations & Supervision Department  
SEC-5

SEBI/HO/MIRSD/SEC5/P/OW/2025/12078/1  
April 30, 2025

The Compliance Officer  
SMC Global Securities Limited  
11/6B, Shanti Chambers,  
Main Pusa Road, New Delhi-110005

Dear Sir/Madam,

**Sub: Administrative Warning: Inspection of books of account and other records of SMC Global Securities Limited (Stock Broker) – Thematic Inspection - Cyber Security & Cyber Resilience Framework and Framework on Technical Glitches**

1. This is with reference to inspection of SMC Global Securities Limited, carried out by officials of SEBI and various correspondences exchanged on the captioned subject.
2. The findings of inspection were forwarded to you vide letter dated March 27, 2025 for your comments.
3. Subsequently, you submitted reply / comments on the findings of the inspection vide letter dated April 11, 2025.
4. In this regard, the following non-compliance was observed for the period of inspection:
  - a. **Capacity Planning & Management:**  
The member did not conduct capacity planning as required. It was observed that the capacity threshold exceeded 70% multiple times in case of several instances for memory utilization and CPU loads.
  - b. **Logging and Monitoring Mechanism:**  
In case of LAMA Implementation, there was delay of around 1 year in implementation of all critical servers into LAMA by the member.
  - c. **Disaster Recovery (DR) Drill:**  
Stockbroker has not conducted the required DR drill for the year 2023-2024.





अनुवर्ती :  
Continuation :

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*Securities and Exchange  
Board of India*

5. Kindly note that the above violations have been viewed very seriously. You are, therefore, warned to be careful in future and improve your compliance standards to avoid recurrence of such instances, failing which action as deemed fit, will be initiated against you in accordance with the Securities and Exchange Board of India (Stock Brokers) Regulations, 1992 and Circulars framed thereunder.
6. You are advised to take appropriate corrective steps to rectify the aforesaid discrepancies/ deficiencies and also examine other cases which were not a part of sample for our inspection, take corrective steps, wherever required, and send us the action taken report within 30 days of the receipt of this letter.
7. You are also advised to place the findings of inspection, corrective steps taken by you to rectify all the deficiencies and this communication before your Board of Directors and forward their comments to SEBI within two weeks of the Board meeting.
8. This letter is issued without prejudice to the right of SEBI to initiate enforcement actions pursuant to the present inspection, and any recurrence of the conduct, action/omission, deficiency or violation leading to issuance of this letter may attract appropriate proceedings in accordance with law.

Yours faithfully,

**Shameen Ahammed**

