



Central Depository Services (India) Limited

CDSL/A&I/PEN-SURV/RAB/2025-26

October 31, 2025



TRDEZ INVESTMENT PRIVATE LIMITED

DPID - 100500

OFFICE NO 301, 3RD FLR,

CELLO PLATINA, LALIT MAHALCHOWK

FC ROAD, SHIVAJINAGAR

PUNE - 411005

Kind Attention: Compliance Officer

Dear Sir/Madam,

Sub: Imposition of penalty

This is with reference to the quarterly report submission on Surveillance alerts generated by DP for the quarter ended **September 2025**. As per Communique no: CDSL/OPS/DP/SYSTEM/2021/309 issued by the CDSL on July 15, 2021 for Surveillance Obligation of Depository Participant, DPs are required to provide duly approved status of the alerts on a quarterly basis in desired format within 15 days from end of the quarter.

It is observed that despite several reminder mails to Principal Officers of DP, there was delay in submission of the quarterly report by the DP and report was submitted after the due date (i.e. 15th of succeeding month of each quarter). Hence penalty of **Rs. 1000/-** is imposed on your DP as mentioned in communique CDSL/OPS/DP/POLCY/2022/686.

DP is hereby advised to note the provisions of Communique no: CDSL/OPS/DP/POLCY/2022/686 issued by CDSL on November 30, 2022 wherein DPs were advised to put in place a surveillance framework and obligation has been casted on DPs with respect to various parameters such as framing surveillance policy, generating and processing surveillance alerts, Quarterly reporting on status of alerts to Depository etc. The aforesaid Communique also provides for disciplinary action against the DP for non-fulfilment of Surveillance Obligation. Accordingly, DP is requested to take note that penalty for late submission or non-submission shall be imposed on them.

DP's may further note that any non-compliance with respect to surveillance obligations which may inter alia include delay in processing of alerts generated by DP / provided by CDSL and repeated instances of delay in reporting of the status of alerts, may result in further disciplinary action as deemed fit in terms of DP Operating instructions and Bye-laws of Depositories.

Thanking you,

Yours faithfully,

For **Central Depository Services (India) Limited**

Sd/-

Authorized Signatory

Audit, Inspection & Compliance