Central Depository Services (India) Limited

EMPOWERING INVESTORS
A SEBI Initiative

CDSL/A&I/PEN-DIS/KBM/2026-27 September 30, 2026

ANAND RATHI SHARE AND STOCK BROKERS LIMITED
DPID-10600
EXPRESS ZONE, A-WING
10TH FLOOR, WE HIGHWAY
GOREGAON EAST
MUMBAI 400063

Kind Attention: Compliance Officer

Dear Sir/Madam,

Subject: Imposition of penalty

In accordance with SEBI Circular No. CIR/MRD/DP/01/2014 dated January 7, 2014, and CDSL Communique No. CDSL/A,I&C/DP/POLCY/2024/428 dated August 1, 2024, Depository Participants (DPs) are required to scan and upload images of Delivery Instruction Slips (DIS) executed during the day into the CDSL system by the next day.

2. However, we wish to bring to your notice that **1** DIS were not scanned and uploaded by the DP within the stipulated timeframe and therefore monetary penalty as provided in the CDSL DP operating instructions has been imposed upon you as mentioned below:

Nature of non-compliance	Quantum of Penalty (Rs.)
Delivery Instruction Slip (DIS) scanned and uploaded in the system provided by Depositories. (* 1 DIS of **August-2026** @ Rs. 200 = Rs. 200)	200
Total	**200/-**

**(If deviation is observed in the 1st month- penalty of Rs. 200 per DIS to be imposed with a maximum Cap = Rs. 20,000 If deviation is observed in the 2nd month- penalty of Rs. 300 per DIS to be imposed with a maximum Cap = Rs. 30,000 If the total monetary penalty imposed under this head is more or equal to Rs. 1,00,000/- during one financial year, matter would be referred to Member Committee)*

3. The aforesaid penalty has been included in the monetary penalty bill for **September-2026**. Please note that in case of nonpayment of the above-mentioned penalty amount within the prescribed time limit, an additional penalty will be imposed.

4. You are kindly requested to make the payment of the aforementioned penalty amount immediately on receipt of the bill. Please also note that if the monetary penalty amount is not paid within the due date of the bill, the matter will be reported to the Member Committee.

Thank you,

Yours faithfully,
For **Central Depository Services (India) Limited**

Sd/-
Sachin Kanawade
Audit, Inspection & Compliance