Central Depository Services (India) Limited

CDSL/A&I/PEN- TINSPIG/SNK/2026-27 June 02, 2026

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

Kind Attention: Compliance Officer

Dear Sir/Madam,

Sub: Imposition of penalty

Please refer to the Thematic Inspection report forwarded to you vide our letter reference no. CDSL/A&I/TINSPIG/DVD/2026/13 dated April 30, 2026, along with the list of non-compliances observed during the inspection.

As per the scale of penalty laid down in the penalty structure in Annexure 11.1 of CDSL's DP Operating Instructions, a penalty has been imposed on you for the non-compliance pointed out in the Thematic Inspection report. The details of compliance requirement, which was not adhered to, and penalty imposed upon you, are mentioned below:

Audit Type	Comp Id	Non - Compliance Description	Quantum of Penalty (Rs.)
Inspection	5.05	DP has not received complaints for data entry errors / omission which may cause inconvenience and/or loss to the BO/ system / Depository	600
Inspection	5.15	DP follows maker-checker concept in all of its activities to ensure the accuracy of the data and as a mechanism to check unauthorised transaction.	500
Inspection	5.19	The information provided by the DP in Risk Assessment Template has been verified and found to be factual.	1,000
Total			**2,100**

The aforesaid penalty has been included in the monetary penalty bill for **May-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.

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