Central Depository Services (India) Limited



CDSL/A&I/IG-PEN/UMC/2022-23 August 30, 2022

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

Kind Attention: Compliance Officer

Dear Sir/Madam,

Sub: Imposition of penalty

SEBI vide circular no. SEBI/HO/MIRSD/MIRSD6/CIR/P/2017/20 dated March 10, 2017 has directed that all grievances are required to be addressed/redressed by depository participants within a period of 15 days from the receipt of complaint. Penalty as per operating instructions will be levied for non-redressal of grievances within the stipulated period.

2. During the month of August-2022, you have not resolved 2 complaints even after 30 days from the date of receipt. Hence, the penalty as follows has been imposed as under:

Audit Type	Comp Id	Non - Compliance Description	Penalty (Rs.)
Penalty Points (August-2022)	77	All the grievances of BOs arising at the main DP or at the branch are recorded properly and redressed within the stipulated time of 30 days. (except disputes /court cases)	1000
Total			**1000**

3. Please note that the aforesaid penalty has been included in the monthly bill of August - 2022. You are requested to make payment of aforesaid penalty amount immediately on receipt of the bill. Please also note that if the penalty amount is not paid within a month of the due date of the bill, the matter will be reported to Member Committee.

Thanking you.

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

Sd/-
Authorized Signatory
Audit, Inspection & Compliance