Central Depository Services (India) Limited

CDSL/A&I/IG-PEN/MRM/2023-24 March 02, 2024

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

Kindly note that the SEBI D&P Regulations 2018 clause no 72(1) has directed that all grievances are required to be addressed/redressed by Depository Participants within a period of 21 calendar 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 February 2024, you have not resolved a complaint 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 towards	Quantum of Penalty	Complainant Name	Received Date
Penalty Points (February-2024)	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)	BO Grievances not redressed within 30 days	500	Mahendra Kanungo	17-01-2024
			Total	**500**		

3. Please note that the aforesaid penalty has been included in the monthly bill of February-2024.

You are requested to make payment of the 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 the Member Committee.

Thanking you.,

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

Sd/-
Authorized Signatory
Audit, Inspection & Compliance