Central Depository Services (India) Limited



CDSL/A&I/PEN-INSP/PJT/2024-25 October 07, 2024

LKP SECURITIES LIMITED
DPID 30000
GALA IMPECCA, 2nd FLOOR,
NEAR HOTEL COURTYARD MARRIOT,
CHAKALA, ANDHERI EAST, MUMBAI,
MAHARASHTRA, INDIA - 400059

Kind Attention: Compliance Officer

Dear Sir/Madam,

Sub: Imposition of penalty

Please refer to the inspection report of your DP ID 30000 forwarded to you vide our letters:

CDSL/A&I/INSP/AN/2024/162 dated April 24,2024
CDSL/A&I/INSP/AN/2024/224 dated May 27,2024
CDSL/A&I/INSP/HGD/2024/314 dated July 10,2024

whereby we had instructed you to submit the complete compliance duly countersigned by the internal/concurrent auditors for pending observations of inspection. Subsequently, we have sent a reminder to you.

2. As we did not receive the complete compliance report within **154** days from the first intimation of non-compliance letter, the monetary penalty of Rs. **35,000**/- has been imposed on you in accordance with the decision of the Member Committee.

3. The aforesaid penalty has been included in the monthly bill of **September-2024**. Please note that in case of continued non-compliance or nonpayment of the above-mentioned penalty amount within the prescribed time limit, further penalty will be levied to you.

4. You are requested to submit compliance and 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