Central Depository Services (India) Limited

EMPOWERING INVESTORS
A SEBI Initiative

CDSL/A&I/PEN-INSP/UMC/2023-24 April 28, 2023

LKP SECURITIES LIMITED
DP ID: 30000
13 FLR, RAHEJA CENTRE BUILDING
FREE PRESS MARG,
NARIMAN POINT,
MUMBAI- 400021

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 letter reference no. CDSL/A&I/INSP/SDM/2023/190 dated 26-Apr-2023, along with list of non-compliances observed during the inspection.

As per the scale of penalty laid down in the penalty structure, a penalty of Rs. 2,000/- has been imposed on you for the non-compliance pointed out in the 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
Inspection-September-2022	8.03	There is a system to maintain all the documents and records satisfactorily for a minimum period of 8 years. Refer Securities and Exchange Board of India (Depositories And Participants) Regulations, 2018 dated 3rd October, 2018.	2,000
Total			**2,000**

Please note that the aforesaid penalty has been included in the monthly bill of April 2023. 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