Central Depository Services (India) Limited

EMPOWERING INVESTORS
A SEBI Initiative

CDSL/A&I/PEN-INSP/MRM/2023-24 July 18, 2023

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

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/SDM/2023/190 dated April 26, 2023
CDSL/A&I/INSP/AKS/2023/242 dated May 29, 2023

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 82 days from the first intimation of non-compliance letter, monetary penalty of Rs. **5,000**/- has been imposed on you in accordance with decision of Member Committee.

3. The aforesaid penalty has been included in the monthly bill of **July-2023**. 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