



Central Depository Services (India) Limited

CDSL/A&I/PEN-DIS/UMC2021-22/6

May 26, 2021



DP ID – 42300

RR EQUITY BROKERS PRIVATE LIMITED

412-422, INDRAPRAKASH BUILDING

21, BARAKHAMBA ROAD

NEW DELHI-110001

Kind Attention: Compliance Officer

Dear Sir/Madam,

Sub: Imposition of penalty

In terms of SEBI circular no. CIR/MRD/DP/01/2014 dated January 07, 2014, DPs are required to scan and upload the images of Delivery Instruction Slip (DIS) executed during the day in the CDSL system by the next day.

2. However, we wish to bring to your notice that as on May-2021, 12 DIS were not scanned and uploaded by the DP and therefore monetary penalty as provided in the operating instructions has been imposed upon you as under: -

Nature of non-compliance	Quantum of Penalty
Delivery Instruction Slip (DIS) not scanned and uploaded in system provided by Depositories. (DIS 12@ Rs.100 = Rs.1200, Max Cap = Rs. 10,000)	Rs. 1200
Total	Rs. 1200

3. Please note that the aforesaid penalty has been included in the monthly bill of May 2021. 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