Central Depository Services (India) Limited

CDSL/A&I/PEN-DIS/MRM/2023-24 November 02, 2023

PUNE E STOCK BROKING LIMITED
DPID 58100
1198, SHUKRAWAR PETH
SUBHASHNAGAR LANE NO. 3
NEAR HIRABAUG
PUNE-411002

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 October 27, 2023, 8 DISs 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 (Rs.)
Delivery Instruction Slip (DIS) not scanned and uploaded in system provided by Depositories. (8 DIS of September-2023 @ Rs. 200 = Rs. 1,600, Max Cap = Rs. 20,000)	1,600
Total	**1,600**

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