



Central Depository Services (India) Limited

CDSL/A&I/MC10/AKS/2021-22/04

May 14, 2021

A C AGARWAL SHARE BROKERS PRIVATE LIMITED

DPID – 71300

406, PAYAL COMPLEX,

SAYAJIGUNJ,

BARODA - 390005



Kind Attention: Compliance officer

Dear Sir / Madam,

Sub: Non-Submission / Delay submission of Networth & AFS – March 2020

As per DP Operating Instruction 11.1, if deviation is observed for three consecutive period, the matter is required to be referred to the Member Committee (MC) for necessary action.

Accordingly, it has been observed that DP A C Agarwal Share Brokers Private Limited (DPID 71300) has not submitted Networth & Audited Financial Statement (AFS) for the year ended March – 2018, March-2019 & March – 2020 as per prescribed format within stipulated time. The matter was therefore placed before Member Committee (MC) in its meeting held on April 28, 2021.

Penalty of Rs. 14,000/- (Rs. 10000/- for Networth & Rs. 4000/- for AFS) has been imposed on DP in accordance with decision of Member Committee. The aforesaid penalty will be included in the monthly bill of May 2021.

As decided by MC, you are hereby cautioned and advised to be careful in future and ensure submission of reports within the stipulated time failing which strict action may be taken for such delayed submission.

Thanking you,

Yours faithfully,

For Central Depository Services (India) Limited

Sd/-

Latha Nair

Asst. Vice President – Audit, Inspection & Compliance

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