



Central Depository Services (India) Limited

CDSL/A&I/IG-PEN/MRM/2023-24

November 03, 2023



ZERODHA BROKING LIMITED

DP ID: 81600

153/154, 4TH CRS, DOLLARS CLNY
OPP. CLARENCE PUBLIC SCHOOL
J P NAGAR 4TH PHASE
BANGALORE-560078
KARNATAKA

Kind Attention: Compliance Officer

Dear Sir/Madam,

Sub: Imposition of penalty

SEBI vide circular no. SEBI/HO/MIRSD/MIRSD6/CIR/P/2017/20 dated March 10, 2017 has directed that all grievances are required to be addressed/redressed by depository participants within a period of 15 days from the receipt of complaint. Penalty as per operating instructions will be levied for non-redressal of grievances within the stipulated period.

2. During the month of October 2023, you have not resolved a complaint even after 30 days from the date of receipt. Hence, the penalty as follows has been imposed as under:

Audit Type	Comp Id	Non - Compliance Description	Penalty towards	Quantum of Penalty	Complainant Name	Received Date
Penalty Points (October-2023)	77	All the grievances of BOs arising at the main DP or at the branch are recorded properly and redressed within the stipulated time of 30 days. (except disputes / court cases)	BO Grievances not redressed within 30 days	500	Vikas Kumar	14-09-2023
			Total	500		

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