



Central Depository Services (India) Limited

CDSL/A&I/PEN-IAR/SGM/2021-22/33

September 08, 2021



RKSV SECURITIES INDIA PRIVATE LIMITED

DPID – 81800

SUNSHINE TOWER, 30 FLOOR,
SENAPATI BAPAT MARG,
DADAR (WEST),
MUMBAI – 400013

Kind Attention: Compliance Officer

Dear Sir/Madam,

Sub: Imposition of penalty

In terms of the provisions of the Bye-Law 16.3.2 you were required to submit Internal Audit and Concurrent audit of risk prone areas for the half year ended March 31, 2021.

2. However, we wish to bring to your notice that we have not received IAR March 2021 from you and therefore monetary penalty as provided in the operating instructions has been imposed upon you on August 31, 2021 as under: -

Nature of non-compliance	Quantum of Penalty
₹1,000/-per occasion. (IAR March 2021) (₹500/- For any delay per fortnight till the submission of compliance)	₹ 2000
Total	₹ 2000

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

Cc: Managing Director

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