



Central Depository Services (India) Limited

CDSL/A&I/PEN-IAR/UMC/2021-22

December 31, 2021

RKSV SECURITIES INDIA PRIVATE LIMITED
81800
SUNSHINE TOWER, 30 FLOOR,
SENAPATI BAPAT MARG,
DADAR (WEST),
MUMBAI400013



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 September-2021.

2. However, we wish to bring to your notice that we have not received IAR September-2021 from you and therefore monetary penalty as provided in the operating instructions has been imposed upon you on December 30, 2021 as under: -

Nature of non-compliance	Quantum of Penalty (Rs.)
Rs.1,000/-per occasion. (September-2021) (Rs.500/- For any delay per fortnight till the submission of compliance)	1000
Total	1000

3. Please note that the aforesaid penalty has been included in the monthly bill of December 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
RKSV SECURITIES INDIA PRIVATE LIMITED
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