



# Central Depository Services (India) Limited

CDSL/A&I/PEN-PAN-MOD/MRM/2023-24

November 02, 2023



## RKSV SECURITIES INDIA PRIVATE LIMITED

**DPID-81800**

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

Kind Attention: Compliance Officer

Dear Sir/Madam,

### Sub: Imposition of penalty

As per the scale of penalty laid down in the penalty structure in Annexure 11.1 of CDSL's DP Operating Instructions, a penalty of Rs.100/- per BO ID has been imposed on you for incorrect entry of PAN details in the CDSL System.

| Audit Type       | Comp Id | Non - Compliance Description                                           | No. of BOs | Quantum of Penalty (Rs.) |
|------------------|---------|------------------------------------------------------------------------|------------|--------------------------|
| PAN Modification | 1112    | Incorrect entry of PAN details in CDAS during the month of August-2023 | 1          | 100                      |

Please ensure to select proper reason code while processing the PAN modifications requests.

Kindly refer to Communique nos. CDSL/OPS/DP/2221 dated 28-Dec-2010, CDSL/OPS/DP/1454 dated 05-Feb-2009 and CDSL/OPS/DP/ACCTS/6040 dated July 26, 2016 for the PAN modification process and proper reason capturing. DP may note that the penalty is imposed for following two reason codes.

| Sr. No. | REASON DESCRIPTION                                        | REASON CODE |
|---------|-----------------------------------------------------------|-------------|
| 1       | Typographical error by DP staff                           | 3           |
| 2       | Rectification of erroneous PAN details previously entered | 4           |

Further DPs should note that details of PAN Modification approved requests are available in CDAS under path: Master Files → System Parameters → BO PAN modification → Inquiry → Modification Date From – Modification To Date → Accepted.

Queries, if any, may be sent to [sherons@cdslindia.com](mailto:sherons@cdslindia.com) or on telephone no (022) 2305 8522 / 8655.

Thanking you.

Yours faithfully,

For **Central Depository Services (India) Limited**

Sd/-

**Authorized Signatory**

**Audit Inspection & Compliance**