



Central Depository Services (India) Limited

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

December 20, 2023



RKSV SECURITIES INDIA PRIVATE LIMITED

DPID 81800

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

Kind Attention: Compliance Officer

Dear Sir/Madam,

Sub: Imposition of penalty

Please refer to the inspection report of your DP ID 81800 forwarded to you vide our letters:

CDSL/A&I/INSP/SJK/2023/424 dated September 14, 2023

whereby we had instructed you to submit the complete compliance duly countersigned by the internal/concurrent auditors for pending observations of inspection. Subsequently, we have sent a reminder to you.

2. As we did not receive the complete compliance report within 96 days from the first intimation of non-compliance letter, monetary penalty of Rs. **15,000/-** has been imposed on you in accordance with the decision of the Member Committee.

3. The aforesaid penalty has been included in the monthly bill for **December-2023**. Please note that in case of continued non-compliance or nonpayment of the above-mentioned penalty amount within the prescribed time limit, further penalty will be levied to you.

4. You are requested to submit compliance and 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