



Central Depository Services (India) Limited



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

November 30, 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

As per the scale of penalty laid down in the penalty structure, a penalty of Rs. 1500/- has been imposed on you. The details of compliance requirement which was not adhered to and penalty imposed upon you, are mentioned below:

Audit Type	Comp Id	Non - Compliance Description	Quantum of Penalty (Rs.)
Internal Audit	Nonsub	NonSubmission of Internal Audit Report.- March-2021	500
Internal Audit	375	IAR Compliance not submitted- September-21	1000
Total			1500

Please note that the aforesaid penalty has been included in the monthly bill of November-2021. You are requested to submit report and 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

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