



Central Depository Services (India) Limited



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

November 01, 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. 1300/- 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 | 1000 |
| PAN Modification | 1112 | Incorrect entry of PAN details in CDAS – September-2021 | 300 |
| Total | | | 1300 |

Please note that the aforesaid penalty has been included in the monthly bill of October-2021. You are requested to submit the IAR-March-2021 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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