



Central Depository Services (India) Limited

CDSL/A&I/PEN-IAR/UMC/2021-22/14

June 01, 2021



5PAISA CAPITAL LIMITED

DPID- 82500

1ST FLR, IIFL HSE, SUN INFOTECH,
PARK, RD NO 16V, B-23, MIDC, THANE
IND AREA, WAGLE ESTATE
MUMBAI-400604

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 the compliance of non-compliance pointed out in Internal Audit and Concurrent audit of risk prone areas for the half year ended September 30, 2020.

2. However, we wish to bring to your notice that we have not received complete compliance and therefore monetary penalty as provided in the operating instructions has been imposed upon you on May 31, 2021 as under: -

Nature of non-compliance	Quantum of Penalty
₹1,000/-per occasion. (IAR September-2020) (₹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 May 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

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