



# Central Depository Services (India) Limited

CDSL/A&I/IG-PEN/SGM/2020-21/34

May 18, 2021



**5Paisa Capital Limited**

**DP ID: 82500**

1<sup>st</sup> 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**

SEBI vide circular no. SEBI/HO/MIRSD/MIRSD6/CIR/P/2017/20 dated March 10, 2017 has directed that all grievances are required to be addressed/redressed by depository participants within a period of 15 days from the receipt of complaint. Penalty as per operating instructions will be levied for non-redressal of grievances with the stipulated period.

2. During the month of December 2020 and March 2021, you have not resolved a complaint even after 30 days from the date of receipt. Hence, the penalty as follows has been imposed on April 30, 2021.

Audit Type	Comp Id	Non - Compliance Description	Quantum of Penalty
Penalty Points (December-2020)	77	All the grievances of BOs arising at the main DP or at the branch are recorded properly and redressed within the stipulated time of 30 days. (except disputes /court cases)	₹ 100
Penalty Points (March-2021)	77		₹ 100
Total			₹ 200

3. Please note that the aforesaid penalty has been included in the monthly bill of April 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**  
**5Paisa Capital Limited**  
**DP ID: 82500**

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