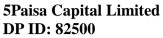


CDSL/A&I/IG-PEN/SGM/2020-21/34

May 18, 2021



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

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	77	All the grievances of BOs arising at the main	₹ 100
(December-2020)		DP or at the branch are recorded properly and	
Penalty Points	77	redressed within the stipulated time of 30 days.	₹ 100
(March-2021)		(except disputes /court cases)	
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

1ST Flr, Iifl Hse, Sun Infotech Park, Rd No 16v,

B-23, Midc, Thane, Ind Area, Wagle Estate, Mumbai - 400604

