



# Central Depository Services (India) Limited

CDSL/A&I/PEN-INSP/MRM/2023-24

November 03, 2023



## GOODWILL WEALTH MANAGEMENT PRIVATE LIMITED

**DP ID: 84200**

NO 9,2ND FLR, MASHA ALLAH BLDG

BHEEMA SENA GARDEN STREET.

MYLAPORE

CHENNAI-600004

TAMIL NADU

### Kind Attention: Compliance Officer

Dear Sir/Madam,

#### Sub: Imposition of penalty

Please refer to the inspection report of your DP ID 84200 forwarded to you vide our letter reference no. CDSL/A&I/INSP/SDM/2023/491 dated October 26, 2023, along with list of non-compliances observed during the inspection.

As per the scale of penalty laid down in the penalty structure, a penalty of Rs. 1,000/- has been imposed on you for the non-compliance pointed out in the inspection report. 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.
Inspection-April-2023	5.07	The transmissions are processed as prescribed under guidelines of CDSL / SEBI / PMLA like obtaining duly filled TRF and notarized copy of death certificate.	1,000
Total			1,000

Please note that the aforesaid penalty has been included in the monthly bill of October-2023.

You are requested to make payment of the 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 the Member Committee.

Thanking you,

Yours faithfully,

For **Central Depository Services (India) Limited**

Sd/-

Authorized Signatory

Audit Inspection & Compliance