Central Depository Services (India) Limited

EMPOWERING INVESTORS
A SEBI Initiative

CDSL/A&I/IG-PEN/MRM/2024-25 July 04, 2024

BAJAJ FINANCIAL SECURITIES LIMITED
DP ID: 88600
UNIT 2,TOWER B,2ND FLR
MANTRI IT PARK,NAGAR RD,
OPP INORBIT MALL,
VIMAN NAGAR
PUNE-411014

Kind Attention: Compliance Officer

Dear Sir/Madam,

Sub: Imposition of penalty

Kindly note that as per SEBI D&P Regulations 2018 clause no 72(1) all grievances are required to be addressed or redressed by Depository Participants within a period of 21 calendar days from the receipt of complaint. Penalty as per operating instructions will be levied for non-redressal of grievances within the stipulated period.

2. During the month of June 2024, you have not resolved a complaint even after 30 days from the date of receipt. Hence, the penalty as follows has been imposed as under:

Audit Type	Comp Id	Non - Compliance Description	Penalty towards	Quantum of Penalty	Complainant Name	Received Date
Penalty Points (June-2024)	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)	BO Grievances not redressed within 30 days	500	Ghanshyam Agarwal HUF	10-05-2024
			Total	**500**		

3. Kindly note that the aforementioned penalty has been included in the monthly bill for June 2024.

You are requested to make payment of the aforementioned penalty amount immediately upon receipt of the bill. Please also note that if the penalty amount is not paid by 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