



Central Depository Services (India) Limited

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

December 04, 2023

NU INVESTORS TECHNOLOGIES PVT LTD

DP ID: 96400

601, HERITAGE PLAZA, 6TH FLR

J P ROAD, OPP INDIAN OIL CO.

ANDHERI WEST

MUMBAI - 400058

MAHARASHTRA



Kind Attention: Compliance Officer

Dear Sir/Madam,

Sub: Imposition of penalty

Please note that you were required to submit the Risk Assessment Template for the half year ended September 2023 on or before October 31, 2023.

2. As we did not receive the report within prescribed timeline, as per the scale of penalty laid down in the penalty structure in Annexure 11.1 of CDSL's DP Operating Instructions, penalty has been imposed upon you on November 30, 2023 as under: -

Audit Type	Comp Id	Non - Compliance Description	Report Received on	Quantum of Penalty (Rs.)
Risk Assessment Template - September 2023	N.I.	Non-submission of report	01-11-2023	2000
Total				2000

3. Please note that the aforesaid penalty has been included in the monthly bill of November-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