

On the letterhead of CA

We hereby confirm that:

- a. no complaint /disciplinary proceeding is pending against **DP Name**;
- b. no investigation / inquiry by SEBI is pending against **DP Name** with respect to our activities as a Depository Participant;
- c. as on date of application, **DP Name** have paid all fees;
- d. **DP Name** shall continue to be liable for all liabilities/obligations (including monetary penalties, if any) for violations, if any, of the provisions of the SEBI Act and the SEBI (Depository Participant) Rules and Regulations, 1996 that have taken place before our surrender of certificate of registration;
- e. **DP Name** have no pending assignments/mandates as a Depository Participant;
- f. all client accounts of **DP Name** have been transferred to another registered Depository Participant i.e _____ with Registration No. _____ ;
- g. **DP Name** have issued a public notice in a widely circulated national and a vernacular daily dated _____ informing surrender of our registration as Depository Participant.(Please enclose a clipping of the said public notice.)

In compliance with the requirements of Regulation 31 of SEBI Intermediaries Regulations, 2008, intimating that

1. **DP Name** has made arrangements _____ for preservation and maintenance of records and other documents required to be maintained under the relevant regulations including PMLA, 2002.
2. There is adequate provision for redressal of investor grievances.
3. Provision has been made for transfer of records, funds or securities of the clients.
4. **DP Name** has made arrangements for ensuring continuity of services to the clients.
5. There are no pending actions or defaults.

Stamp and signed by the Auditor.