

**On the letterhead of DP**

**Undertaking**

We **DP Name**, be and hereby undertake and confirm that:

(i) the notice of intended withdrawal has been sent to all Beneficial Owners holding accounts;

(ii) all accounts of Beneficial Owners have been closed either by transfer of securities to any other participant(s) of the Beneficial Owner's choice in CDSL and/or by rematerialisation of the securities held therein;

(iii) there remain no pending instructions or unresolved grievances of Beneficial Owners or the CDSL;

(iv) no amount is due, owing or payable by the participant to SEBI or to CDSL inter alia by way of fees, charges, penalties or interest.

(v) there are no pending compliance/ audit related queries.

## **Undertaking**

We **DP Name**, be and hereby undertake and confirm that:

- (a) We have made the arrangements made for maintenance and preservation of records and other documents required to be maintained under the relevant regulations including Prevention of Money Laundering Act, 2002;
- (b) There is adequate provision redressal of investor grievances;
- (c) Provision has been made for transfer of records, funds or securities of the clients;
- (d) We have made the arrangements made for ensuring continuity of service to the clients;
- (e) There are no pending actions or defaults.
- (f) We have issued a public notice issued in a widely circulated national and a vernacular daily informing surrender of your registration as Depository Participant. (Copy of the said public notice is attached.)

## **Undertaking**

We, **DP Name** hereby confirm that we have transferred all the securities belonging to clients held by the DP in its broking arm towards margins, collateral, etc., if any / change of demat account of the client has been noted by stock broker in respect of these securities withheld.

We, DP Name hereby further confirm and provide an undertaking towards liability against the DP which may arise in future.