

Annexure A

(To be provided by Registrar and Transfer Agent's (RTA) / Issuers having direct electronic connectivity)

Date: _____

To

National Securities Depository Limited
Trade World, A Wing, 4th floor
Kamala Mills Compound
Senapati Bapat Marg, Lower Parel
Mumbai - 400 013.

Dear Sir/Madam,

Sub: Compliance Certificate for the period _____ to _____

1. I _____ (Name of the Compliance Officer) hereby certify that the depository operations of _____ (Name and BP ID of RTA /Issuer having direct electronic connectivity with NSDL) are in compliance with all applicable laws and especially with respect to the following:

- a) The Depositories Act, 1996;
- b) The SEBI (Depositories and Participants) Regulations, 2018 including reconciliation of dematerialised securities with all the securities issued by the issuer, on a daily basis
- c) SEBI (Registrars to an Issue And Share Transfer Agents) Regulations, 1993;
- d) The Bye Laws and Business Rules of NSDL.
- e) Directives / Circulars / Clarifications / Guidelines issued by SEBI, the Government of India, Regulatory Bodies and NSDL, from time to time.
- f) ~~Prevention of Money Laundering Act, 2002 and the Rules and Guidelines notified thereunder by SEBI or Statutory / Regulatory Authorities.~~

2. Activities in which the RTA/Issuer having direct electronic connectivity with NSDL has not been in Compliance, if any, are as under:

Sr. No.	Activities in which the RTA/Issuer having direct electronic connectivity with NSDL has not been in compliance	Steps taken to ensure compliance in future
1		
2		

Name and Designation of Compliance Officer :
Signature of Compliance Officer :