**SAAS EMAIL REPORTING FORMAT**

## ATTACHMENT

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SAAS Undertaking FY 2021-22.pdf

## RECIPIENTS

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To: [compliance.ria@bseasl.com](mailto:compliance.ria@bseasl.com), [sebiria@sebi.gov.in](mailto:sebiria@sebi.gov.in), [manjiri.nimkar@bseasl.com](mailto:manjiri.nimkar@bseasl.com),

CC: Internal compliance / principal officer / lead members / compliance consultant

## SUBJECT

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SEBI RIA SaaS Compliance – FY 2021-22

## EMAIL TEMPLATE

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Dear Sir / Madam,

In accordance to the SEBI Regulations and Circulars including SEBI Circular No. SEBI/HO/MIRSD2/DOR/CIR/P/2020/221 dt. 3-11-2020 with the subject as “Advisory for Financial Sector Organizations regarding Software as a Service (SaaS) based solutions”, I / We hereby submit the details below:

Name of the Registered Investment Adviser (RIA): \_\_

SEBI Registration No. \_\_

BASL Member ID: \_\_

I \_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Name of the Compliance Officer) hereby undertake that [compliance of the SEBI Circular for Advisory for Financial Sector Organizations regarding Software as a Service (SaaS) based solutions has been made] by me / us.

We attach along with this email, the undertaking on said compliance.

This is for your perusal and records.

Please do let us know in case of any clarifications / further information, if any is required.

Best Regards,

RIA Name

RIA’s Email signature / footer

**Classification: Private**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

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