**RIA Name**

SEBI Registered Investment Adviser

Regd. Office: Address

Date:

To:

The General Manager, Investment Management Department

**Securities and Exchange Board of India (SEBI)**sebiria@sebi.gov.in

CC:

The Associate Manager,

**BSE Administration & Supervision Ltd. (BASL)**

compliance.ria@bseasl.com

**UNDERTAKING CUM REPORT ON COMPLIANCE  
WITH THE MEASURES RELATED TO SAAS BASED SOLUTIONS FOR CRITICAL SYSTEMS AND CRITICAL DATA**

In compliance to SEBI Circular No. SEBI/HO/MIRSD2/DOR/CIR/P/2020/221 dated 3rd November 2020 with the subject as “Advisory for Financial Sector Organizations regarding Software as a Service (SaaS) based solutions”

**For the Half-years ended 30th September 2021 and 31st March 2022**

|  |  |  |
| --- | --- | --- |
|  | **Name of the Investment Advisor / Entity Name:** |  |
|  | **SEBI Registration No.** |  |
|  | **BASL Membership 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.

In this connection, we are committed to and proceed towards the roadmap for:

1. Ensuring complete protection and seamless control over the critical systems of our organization by continuous monitoring through direct control & supervision protocol mechanisms; and
2. Ensuring to store the critical data within the legal boundary of India

Thanking you,

Yours Faithfully,

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**Seal & Signature**

Name & Designation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_