Annexure A

Undertaking on Member's Letter head

(Date)

To,
(Name of the Stock Exchange/s where member is registered)

Dear Sir/Madam,

This has reference to the advertisement/promotional campaign submitted by us on date_____for seeking the prior approval of the Exchange(s). I/We *<Name of Member>*, registered trading member with (Name of the stock exchange (s) hereby undertake and confirm the following:

1. The advertisement submitted by me/us for your approval is in compliance with the prescribed Code of Advertisement for Stockbrokers, Byelaws, Rules, Regulations of the Exchange and the circulars/notices issued by SEBI/Exchanges in this regard from time to time.

2. Celebrities/influencers, not meeting the Exchange specified norms, do not form a part of the advertisement/material.

3. The advertisement, if in regional language, strictly confirms in verbatim to the translated content submitted in English.

4. I/we hereby confirms that in case any individual is forming part of the advertisement, all required due diligence pertaining to the artist/s used/hired in the advertisement is ensured. The details of the same is attached as Annexure. (Y/NA)

5. I/We further confirm that the above declarations are true and factual. We understand that our Chief Executive Officer/ Designated Director/ Person in Charge of the business by whatever name called and the Compliance Officer are jointly and severally responsible and accountable for compliance with Code of Advertisement for Stock Brokers and that the advertisement in this application is fully compliant with all the guidelines and eligible for approval of the Exchange (s).

6. Kindly debit my designated account linked with the Exchange (s) towards processing fees along with applicable taxes for advertisement application.

Yours faithfully,

For (Member Name)

Name of Authorized Signatory	
Designation	
Contact Number Office No: Mobile No.:	
Email ID	
Signature of Authorized Signatory	

Note: *No changes/deviations will be accepted in this document.*

Annexure B

Undertaking on Member's Letter head

(Date)

To,

(Name of the Stock Exchange/s where member is registered)

Dear Sir/Madam,

This has reference to the advertisement/promotional campaign submitted by us on date_____for seeking the prior approval of the Exchange. I/We <*Name of Member*>, registered trading member with (Name of the Stock Exchange (s)) hereby undertake and confirm the following:

1. I/We hereby confirm that we have completed all required due diligence pertaining to the artist/s used/hired in the advertisement to ensure compliance with relevant Exchange(s) circular(s).

2. Artist/s used/hired is/are not in contravention to the guidelines given in with relevant Exchange (s) circular (s).

3. I/We confirm the following points:

    - Artist/s used/hired has/have not been featured in the top 50 rankings in any celebrity index published by a national publication of repute which is publicly available. *{The celebrity index should be latest available or at the most one-year old}*
    - Artist/s used/hired has/have not played lead role or one of the lead roles in any mainstream/prominent/popular movies/TV serials/TV shows/web-series on any of the OTT platforms.
    - Artist/s used/hired is/are not Influencer with more than 10 Lacs followers/subscribers (per social media handle) on any social media platform that includes but not limited to YouTube, Instagram, Facebook, Twitter, etc.
    - Artist/s used/hired is/are not a Sports person has been part of National team of the country to which he / she belongs or has represented his / her country in international tournaments/events such as Olympic Games, Asian Games, Commonwealth Games, popular sports events telecasted on television such as Kabaddi, Cricket IPL, etc. and competitive games at international level for that given sport, etc.
    - Artist/s used/hired is/are not a host or one of the hosts or anchors or one of the anchors for any TV programs such as quizzes, cooking shows, news channels, comedy shows, dance shows, song shows, award functions and such other entertainment programs at least for one season or for a minimum of 10 episodes, as the case may be.
    - Artist/s used/hired is/are not a winner or runners-up in any prominent/popular competitive program aired on TV/OTT platform or any prominent personality who has gone through a series

of qualifying rounds (for elimination of competitors) which may be known as qualifying round, quarter finals, semifinals and finals or by any other name.

- Artist/s used/hired is/are not a virtual character/s (fictional computer 'people' or avatars who have the realistic characteristics, features and personalities of humans) that bears influence on their audience/followers.
- Artist/s used/hired can in no manner influence the buying/selling decision of the investors in the capital market.

4. I/We undertake to take a fresh approval from the Exchange (s) in case the present advertisement is re-issued or re-published by me/us, after 6 months from the date of the approval.

5. The following details of the artist/s are hereby submitted:

    - Name of person acting in advertisement:
    - Details of role/s played in following (actors)/ details of matches played (sportsperson):
    - Details of movies/serials/events/OTT/matches (sportsperson) that the artist was part of:
    - Acted in what capacity (NA for sportsperson):
    - No of followers/subscribers (per social media handle):
    - Facebook
    - Instagram
    - Youtube
    - Twitter
    - Any other Social Media

Yours faithfully,

For (Member Name)

Name

Designation (Compliance Officer or Proprietor/designated partner/ managing partner /designated director)

(Stamp/Seal of Member to be affixed)

Note: No changes/deviations will be accepted in this document.

Annexure C

Undertaking on Member's Letter head

(Date)

To
(Name of the Stock Exchange/s where member is registered)

Dear Sir/Madam,

This has reference to the advertisement/promotional campaign submitted by us on date_____ for seeking the prior approval of the Exchange (s). I/We <*Name of Member*>, registered trading member with (Name of the Stock Exchange (s)) hereby undertake and confirm the compliances of the following guidelines issued by SEBI/Exchange from time to time for clients dealing in Derivatives:

1. All the required documentary evidence of financial details to support/identify the financial strength of the client as declared in KYC shall be collected from the clients who opt to deal in the derivatives segment.

2. Adequate due diligence and monitoring shall be done to ensure that the trading activity of the clients in the derivatives segment, is in proportion to the income /networth/financial capacity of the client, as updated from time to time. Enhanced due diligence shall be undertaken in case of senior citizens to ensure that derivative contracts are appropriate to their risk profile.

3. The Product features/contract specifications shall be duly informed and made aware to the clients, who opt to deal in the derivatives segment.

4. All risks involved in trading in Derivative contracts shall clearly been communicated/disclosed to the clients who opt to deal in the derivatives segment.

5. Adequate awareness is created amongst the clients/investors on a regular basis in the manner as specified in the relevant Exchange circular.

6. The Code of conduct, as specified under Regulation 9 B of SEBI (Stock-Broker) Regulations, 1992, shall be duly adhered to while dealing with the clients.

Yours faithfully,
For (Member Name)

Name
Designation (Compliance Officer or Proprietor/designated partner/designated director)
(Stamp/Seal of Member to be affixed)

Note: No changes/deviations will be accepted in this document