

## [Undertaking Format – On the letter-head of the AMC]

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Ref No.:

Date:

To,

**Central Depository Services (India) Limited**

A Wing, 25<sup>th</sup> Floor, Marathon Futurex,

Mafatlal Mills Compounds,

N M Joshi Marg, Lower Parel (E)

Mumbai – 400013

Dear Sir / Madam,

This is in context of the credit of Mutual Fund [MF] Units under Lock-in of Equity Linked Saving Schemes [ELSS] in CDSL system for the transactions entered through the Stock Exchange Order Entry Platform.

We hereby undertake as under –

1. We confirm that mutual fund units identified by the ISINs given in '**Annexure-A**' are issued under the Equity Linked Savings Scheme, 2005.
2. We request CDSL to identify these ISINs in its system given in '**Annexure-A**' under ELSS.
3. We confirm that the units credited under the ISINs identified as ELSS in the depository system and allotted through the Stock Exchange Order Entry Platform must be locked-in for a period as mentioned in an '**Annexure-A**' from the date of allotment of units. Further, the lock-in on these units must be incorporated upon credit of units in the beneficial owner account of an investor after transfer of the same from the Clearing Members Pool Account to the beneficial owner account of an investor.
4. We confirm that the settlement start date [i.e. order entry date] as informed by the stock exchange to the depository for the relevant market type and settlement number from which the credit of ELSS units will be effected to the beneficial owner account of an investor will be considered as the date of allotment for the purpose of computation of lock-in period as mentioned in '**Annexure-A**' by the depository. To illustrate, if the settlement start date is January 15, 2011 through the Stock Exchange Order Entry Platform and lock-in period mentioned in '**Annexure-A**' as 3 Years or 36 Months, the ELSS units will be marked as locked-in for 3 Years or 36 Months i.e. till January 14, 2014 and will be released from lock-in on January 15, 2014.
5. We confirm that in respect of units which are allotted other than through the Stock Exchange Order Entry Platform under the ISINs identified as ELSS, the lock-in will be incorporated by us at the time of crediting the units to the beneficial owner account of

the investor by executing corporate action or destatementization or any other mechanism.

6. We also understand that the units will get locked-in only after the respective ISIN is identified as ELSS in the depository system, and if not identified, the units will continue to be credited to the beneficial owner account without any lock-in through the Stock Exchange Order Entry Platform.
7. We undertake to inform CDSL in case there is a need to change the lock-in period due to any statutory, regulatory or any other requirements in law.

Yours faithfully,

**For [Name of the AMC]**

Signature :

Name :

Designation : Company Secretary/ Compliance Officer/ Managing Director

Date : \_\_\_\_\_  
[DD-MM-YYYY]

**Encl.: a/a**

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## Annexure – A

List of ISINs which are to be marked as ELSS in the Depository System

Sr. No.	ISIN [If allocated]	Name of the Scheme with Plan and Option	Lock-in Period		
			Days	Months	Years
1					
2					
3					
4					
5					

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