*(On letterhead of* *Chartered Accountant)*

**Annexure VI**

Draft Format of Certificate from Chartered Accountant on settlement of funds & securities to the clients

**Settlement of Clients Funds:-**

All the trading accounts with respect to Client funds are settled and there are no payables/liabilities to the clients.

*Note: Incase there are any funds which the Member is unable to settle then CA may add a note as below*

*We have verified that Member has taken all necessary steps/efforts for the transfer, however, due to the reasons stated below, these funds are not settled*

|  |  |  |  |
| --- | --- | --- | --- |
| ***Client Code*** | ***Client Name*** | ***Balance Amount*** | ***Reasons*** |
|  |  |  |  |
|  |  |  |  |

**Settlement of Clients Securities:-**

All the trading accounts with respect to client securities are settled and there are no securities that needs to be transferred/payable to clients.

*Note: Incase there are any securities which the Member is unable to settle then CA may add a note as below*

*We have verified that Member has taken all necessary steps to transfer below mentioned securities, however, due to the reasons stated below these securities are not settled. Further, the details of securities that are not settled due to any reason are also given below:*

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| ***Member’s Demat Ac*** | ***UCC*** | ***Own/Client Securities*** | ***Client Name*** | ***Scrip Name*** | ***Client PAN*** | ***Quantity*** | ***ISIN*** | ***Reason\**** |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |

*If the reasons mentioned above stand resolved in future, the Member has undertaken to take the necessary steps for transferring/settling the securities to the respective clients and has undertaken to abide by the SEBI/Exchange Rules/Regulations/Guidelines/Circulars as applicable.*

**Place: For (Name of Certifying Firm)**

**Date: Name of Partner/Proprietor**

**Chartered Accountant / Company Secretary**

**Membership Number**

**UDIN**

(Signature under Rubber stamp of Firm)