



REGNUM
RTA

Date : 21st December 2021

To,
Deputy General Manager
Securities and exchange board of India
Marker Intermediaries Regulation and Supervision Department

Sub : Disclosure of complaints by Register and Share Transfer Agents (RTAs)
Scores ID : RTI00115

Dear Sir/ Ma'am,

With Reference to the captioned subject and pursuant to the section 11(1) of the securities and Exchange board of India Act, 1992 And circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/670 Date November 26, 2021 and Rules and Regulations made thereunder and guidelines/ circulars issued by SEBI form time to time, We hereby enclosed the **Annexure B** for the date of complaints against Register and share Transfer Agents (RTAs) as per prescribed format.

Thanking You,

Yours Faithfully

Nehal Rupawala
Director
DIN : 01801719



Place : Surat

Encl : As below
1. Annexure B

REGNUM CAPITAL ADVISORS PVT. LTD.

502, Takshashila Apartment, Majuragate, Surat-395002

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CIN: U67190GJ2015PTC084365



Annexure - B

Data of Complaints Against Register and share transfer agents (RTAs) :-

Data For the month ending 30.11.2021 :

SN	Received From	Carried Forward from Previous Month	Received During the month	Total Pending #	Resolved*	Pending at the end of the month **		Average Resolution time^ (in Days)
						Pending For less than 3 Months	Pending for more Than 3 months	
1	2	3	4	5	6	7		8
1	Directly from investors	NIL	NIL	NIL	NA	NIL		NA
2	SEBI (SCORES)	NIL	NIL	NIL	NA	NIL		NA
3	Stock Exchanges (if Relevant)	NIL	NIL	NIL	NA	NIL		NA
4	Other Sources (If Any)	NIL	NIL	NIL	NA	NIL		NA
5	Grand Total	NIL	NIL	NIL	NA	NIL		NA

Month - Wise Data for the Current Financial Year* - 2021-22.

SN	Month	Carried from month	Forward Previous	Received	Resolved	Pending
1	2	3	4	5	6	7
1	May, 2021	NIL	NIL	NIL	NIL	NIL
2	June, 2021	NIL	NIL	NIL	NIL	NIL
3	July, 2021	NIL	NIL	NIL	NIL	NIL
4	August, 2021	NIL	NIL	NIL	NIL	NIL
5	September, 2021	NIL	NIL	NIL	NIL	NIL
6	October, 2021	NIL	NIL	NIL	NIL	NIL
7	November, 2021	NIL	NIL	NIL	NIL	NIL
	Grand Total	NIL	NIL	NIL	NIL	NIL

Note* : We are Registered as the Register and Share Transfer Agent with Registration number- INR000004316 Date 6th May, 2021.



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