



REGNUM
RTA

Date : 07th October 2022

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) For the period of September 2022.

Thanking You,

Yours Faithfully

Nehal Rupawala

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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info@regnum.co.in rta.regnum.co.in
CIN: U67190GJ2015PTC084365



Annexure - B

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

Data For the month ending 31.10.2022:

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* - 2022-23.

SN	Month	Carried from month	Forward Previous	Received	Resolved	Pending
1	2	3	3	4	5	6
1	April, 2022		NIL	NIL	NIL	NIL
2	May, 2022		NIL	NIL	NIL	NIL
3	June, 2022		NIL	NIL	NIL	NIL
4	July, 2022		NIL	NIL	NIL	NIL
5	August, 2022		NIL	NIL	NIL	NIL
6	September, 2022		NIL	NIL	NIL	NIL
7	October, 2022		NIL	NIL	NIL	NIL
	Grand Total		NIL	NIL	NIL	NIL



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