



REGNUM
RTA

Date : 9th January 2023

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

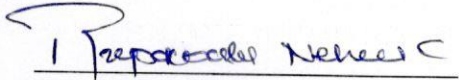
Sub : Disclosure of complaints by Register and Share Transfer Agents (RTAs)
Scores ID : RTI00115

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 December 2022.

Thanking You,

Yours Faithfully



Nehal Rupawala
Director
DIN: 01801719



Place: Surat

Encl: As below
1. Annexure B

REGNUM CAPITAL ADVISORS PVT. LTD.

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CIN: U67190GJ2015PTC084365



Annexure - B

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

Data For the month ending 31.12.2022:

| 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 | | 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 |
| 8 | November, 2022 | NIL | | NIL | NIL | NIL |
| 9 | December, 2022 | NIL | | NIL | NIL | NIL |
| | Grand Total | NIL | | NIL | NIL | NIL |



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