



REGNUM  
RTA

**Date :** 01<sup>st</sup> September 2023

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

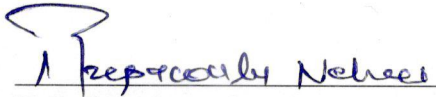
**Sub :** Disclosure of complaints by Register and Share Transfer Agents (RTAs)  
**Scores ID :** RTI00115

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 August 2023.

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**

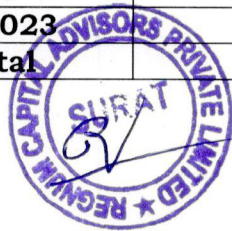
**Data of Complaints Against Register and share transfer agents (RTAs):-**

**Data For the month ending 31.08.2023:**

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	<b>Grand Total</b>	NIL	NIL	NIL	NA	NIL		NA

**Month - Wise Data for the Current Financial Year\* - 2023-24.**

SN	Month	Carried from month	Forward Previous	Received	Resolved	Pending
1	2	3		4	5	6
1	April, 2023	NIL		NIL	NIL	NIL
2	May, 2023	NIL		NIL	NIL	NIL
3	June, 2023	NIL		NIL	NIL	NIL
4	July, 2023	NIL		NIL	NIL	NIL
5	August, 2023	NIL		NIL	NIL	NIL
	<b>Grand Total</b>	NIL		NIL	NIL	NIL



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