

CIRCULAR

SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/670

November 26, 2021

To,

All registered Registrars to an Issue and Share Transfer Agents (RTAs)

Dear Sir / Madam,

Publishing Investor Charter and Disclosure of Complaints by Registrar and Share Transfer Agents (RTAs) on their Websites

1. In order to facilitate investor awareness about various activities where an investor has to deal with RTAs for availing Investor Service Requests, SEBI has developed an Investor Charter for RTAs, inter-alia, detailing the services provided to Investors, Rights of Investors, various activities of RTAs with timelines, Dos and Don'ts for Investors and Grievance Redressal Mechanism.
2. In this regard, all the registered RTAs shall take necessary steps to bring the Investor Charter, as provided at '**Annexure – A**' to the notice of existing and new shareholders by way of:
 - a. disseminating the Investor Charter on their websites / through e-mail;
 - b. displaying the Investor charter at prominent places in offices etc.
3. The Registrar Association of India (RAIN) shall also disseminate the Investor Charter on its website.
4. Additionally, in order to bring about transparency in the Investor Grievance Redressal Mechanism, it has been decided that all the registered RTAs shall disclose on their respective websites, the data on complaints received against them or against issues dealt by them and redressal thereof, latest by 7th of succeeding month, as per the format enclosed at '**Annexure - B**' to this circular
5. These disclosure requirements are in addition to those already mandated by SEBI.
6. The provisions of this circular shall come into effect from **January 01, 2022**.
7. This circular is issued in exercise of powers conferred by Section 11(1) of the Securities and Exchange Board of India Act, 1992 to protect the interests of investors in securities and to promote the development of, and to regulate the securities market.

8. A copy of this circular is available on SEBI website at www.sebi.gov.in under the categories "Legal Framework -> Circulars".

Yours faithfully,

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