

Generating awareness on availability of Dispute Resolution Mechanism at Stock Exchanges against listed companies / Registrar to an Issue and Share Transfer Agents (RTAs) pursuant to Securities and Exchange Board of India (SEBI) Circular No. SEBI/HO/OIAE/2023/03391 dated January 27, 2023 (SEBI Circular)

SEBI vide its Circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/76 dated May 30, 2022, had issued a Standard Operating Procedure (SOP) for dispute resolution under the stock exchange arbitration mechanism for disputes between a listed company and/or registrars to an issue and share transfer agents (RTAs) and its shareholder(s)/investor(s).

Arbitration is the fast track process of disputes settlement. When an investor finds any query/complaints not resolved satisfactorily by all the possible means of resolutions i.e., registration complaints with Listed Companies and/their RTAs, through SCORES, etc then one can choose arbitration as further process of dispute resolution.

Disputes pertaining to or emanating from investor service requests such as transfer/transmission of shares, demat/remat, issue of duplicate shares, transposition of holders, investor entitlements like corporate benefits, dividend, bonus shares, rights entitlements, credit of securities in public issue, interest/coupon payments on securities and delay in processing/wrongful rejection of aforesaid investor service requests may be considered for arbitration.

"If you have any dispute against a listed company and or its Registrar and Share Transfer Agent (RTA) on delay or default in processing your request, as per SEBI circular dated 30.05.2022, you can file for arbitration with Stock Exchange".

For more details, please see the web links of the stock exchanges.

BSE - <http://tiny.cc/m1l2vz>

NSE - <http://tiny.cc/s1l2vz>

Further SEBI vide its circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021 and its clarification circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/687 dated December 14, 2021 has mandated that all the folios has to be KYC compliant and accordingly asked the investors to register their PAN, KYC details and Nomination with the RTAs and has also strictly informed the RTAs to not process any service requests or complaints received from the holder(s) / claimant(s), till PAN, KYC and Nomination documents/details are received. Hence we request you to please register/update your KYC details with our RTAs viz. **Purva Sharegistry (India) Private Limited, Unit – Yash Trading and Finance Limited**, Unit No. 9, Shiv Shakti Industrial Estate, J .R. Boricha Marg, Lower Parel (East), Mumbai-400 011. Tel. No.: +91-22-4961 4132/3570 0224 E-mail: support@purvashare.com; Website: www.purvashare.com