



Common and Simplified Norms for processing investor's service request by RTAs and norms for furnishing PAN, KYC details and Nomination

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Cc: DEEPAK TRIVEDI <dtrivedi@sebi.gov.in>, ARADHANA VERMA <aradhanad@sebi.gov.in>

Dear Sirs/Madams,

With respect to SEBI's Circular dated November 03, 2021 on the captioned matter, RAIN as well as RTAs are advised to carry out the following:

1. A wide publicity with respect to provisions of November 03, 2021 circular shall be given in the newspapers by RAIN in such a way that entire India is covered. The awareness advertisement shall be published separately in one English and one regional language newspaper of the state. The advertisement shall be given on or before **February 15, 2023**.
2. A separate helpdesk shall be set up by RAIN which shall handle the grievances of the security holders with respect to concerns pertaining to SEBI's Circular dated November 03, 2021. Additionally, senior citizens shall be entertained on a priority basis.
3. All the RTAs shall advise all their client companies to once again directly intimate their securities holders about folios which are incomplete with respect to PAN, KYC details and nomination.
4. All the RTAs are advised to share the list of companies which have not yet intimated their securities holders about folios which are incomplete with respect to PAN, KYC details and nomination as advised in November 03, 2021 Circular (details to be provided in the attached format).

Regards

CA. Rishi Khatod, AGM

Policy and Development- 1, MIRSD

Securities and Exchange Board of India

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Bandra Kurla Complex, Bandra (E), Mumbai- 400 051



Data of Compliance to Nov 03 2021 Circular by Listed Companies.xlsx

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