



भारतीय प्रतिभूति
और विनिमय बोर्ड
Securities and Exchange
Board of India

Scan copy by E-mail

SEBI/HO/OIAE/2023/ 03391

January 27, 2023

To

All Listed Companies (through the Stock Exchanges)

All Registered Registrar to an Issue and Share Transfer Agents (RTAs)

Kind Attn.: Compliance Officer(s)

Sir / Madam,

Generating awareness on availability of Dispute Resolution Mechanism at Stock Exchanges against Listed Companies / Registrar to an Issue and Share Transfer Agents (RTAs)

1. It has been decided to enhance the awareness of investors about the availability of arbitration facility at Stock Exchange for their dispute, if any, against listed companies / RTAs.
2. Accordingly, all listed companies are hereby advised to issue the following intimation, either by e-mails or by SMSes to all investors, who hold shares in physical form.

"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>"

3. In this regard, listed companies shall coordinate with their RTAs and shall arrange to issue the aforesaid message, latest by February 20, 2023
4. RTAs shall submit an action taken report to SEBI in the following format by email to ia_ho@sebi.gov.in, latest by February 27, 2023.

Sr No	Client Name	No. of Folios of physical shares	Number of Folios where e-mail address or mobile number is available	No. of Message sent (either by E-mail or by SMS)
1	Listed Company 1			
2	Listed Company 2			
n	Listed Company n			
Total				

Note: Where both e-mail address and mobile number are available in the folio, then the message may be sent in to any one of these modes. Messages, if sent through both email and SMS to the same holder, it shall be counted as one (1) only.

सेबी भवन, प्लॉट सं. सी 4-ए, "जी" ब्लॉक, बान्द्रा-कुर्ला कॉम्प्लेक्स, बान्द्रा (पूर्व), मुंबई - 400 051.
दूरभाष : 2644 9950 / 4045 9950 (आई.वी.आर.एस.), 2644 9000 / 4045 9000 फैक्स : 2644 9019 से 2644 9022 वेब : www.sebi.gov.in

SEBI Bhavan, Plot No. C4-A, "G" Block, Bandra-Kurla Complex, Bandra (E), Mumbai - 400 051.
Tel.: 2644 9950 / 4045 9950 (IVRS), 2644 9000 / 4045 9000 Fax : 2644 9019 to 2644 9022 Web : www.sebi.gov.in

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अनुवर्ती :
Continuation :

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5. Additionally, Listed Companies and RTAs are welcome to spread the cited investor protection message through digital modes available at their disposal, including, website, mobile application, social media handle(s) etc.

For any queries / clarification in this regard you may contact us at ia_ho@sebi.gov.in or 022 2644 9964 or 022 4045 9964.

Yours sincerely,

-sd-

(S. Manjesh Roy)
General Manager
Investor Awareness Division -2

Copy to:

✓ Chief Regulatory Officer, BSE Ltd. for circulating this letter to its Listed Companies for their compliance.

Chief Regulatory Officer, National Stock Exchange of India Ltd. for circulating this letter to its Listed Companies for their compliance.


(S. Manjesh Roy)