

by E-mail to (rta@sebi.gov.in)

To,

Division of Policy & Inspection RTA/MB

Market Intermediaries Regulation & Supervision Department

SEBI Bhavan – II, Plot No. C 7, “G” Block

BKC, Bandra (E), Mumbai- 400051.

CERTIFICATE OF COMPLIANCE

I/We, _____ (Name of Practising Company Secretary), having _____ registered office at _____ certify that

M/s _____ (Name of RTA) bearing _____ (SEBI Registration no.) has carried out the necessary changes to comply with the provisions of SEBI Circular no. SEBI/HO/MIRSD/MIRSD_RTAMB /P/CIR/2021/655 dated November 03, 2021 on ‘Common and Simplified Norms for processing investor’s service request by RTAs and norms for furnishing PAN, KYC details and Nomination’.

Further, as required in the aforesaid Circular, new operating procedures have been implemented by the Registrar to an issue and share Transfer Agent (RTA).

Name of Company Secretary:

Practising Membership No./Registration details, if applicable:

Sign & Seal.

Place:

Date: