



Central Depository Services (India) Limited

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COMMUNIQUE TO REGISTRAR & TRANSFER AGENTS

CDSL/AUDIT/RTA/POLCY/2017/75

December 27, 2017

FORMAT OF QUARTERLY INVESTOR GRIEVANCE REPORT

Attention of Registrar and Transfer Agents (RTAs) (including in-house RTAs) is drawn to Regulation 53B of SEBI (Depositories and Participants) Regulation 1996, which states that, the Issuer or its agent is required to redress the grievances of beneficial owner within thirty (30) days of the date of receipt of complaints and inform CDSL about the number and nature of grievance redressed by it and the number of the grievance pending for redressal.

2. In view of the above, RTAs are advised to submit the quarterly investor grievance report in the format prescribed as Annexure to the Communique by the 10th of following month. Even if the RTA (including in-house RTAs) does not have any grievance to report, a nil report has to be submitted.

3. The Investor Grievance Report in revised format for the quarter end December 2017 should be submitted by the RTAs (including in-house RTAs) by 10th January 2018 and on on-going basis every quarter thereafter.

Queries regarding this communiqué may be addressed to CDSL – Audit, Inspection & Compliance Department on telephone nos. (022) 2305 8518, 8515 and 8679.

Farokh Patel
Vice President – Audit, Inspection & Compliance

To be given on the letter head of the RTAs (including in-house RTAs)

Sub: IG Report for the quarter ended -----

Nature of complaint	Pending as on last day of previous quarter	Received in the current quarter	Resolved in the current quarter	Pending on the last day of current quarter	Total no. of cases pending for more than 30 days
	(1)	(2)	(3)	(4) = (1+2-3)	(5)
Delay/ Pendency in confirmation of demat requests (DRNs)					
Non-receipt of certificates after rejection of DRNs in Web CDAS					
Non cash corporate actions viz. bonus, rights, public issues, shares split, merger, demerger, etc.					
Cash Corporate Actions viz. dividend/ interest/ redemption, repurchase payment.					
Issue and allotment of share in initial public offer (IPO)/ offer for sale etc.					
Others(Please specify)					

For -----

Compliance Officer

(Note: No. of cases should be mentioned under each category of compliant)