

by e-mail to ([rtasebi@sebi.gov.in](mailto:rtasebi@sebi.gov.in))

To,

Division of Policy & Inspection RTA,  
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-PoD-1/P/CIR/2023/37 dated March 16, 2023 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: