



CIRCULAR

CIR/MIRSD/7/2012

July 05, 2012

To

All Registrars to an Issue and Share Transfer Agents registered with SEBI

Sir / Madam,

Sub: Review of Regulatory Compliance and Periodic Reporting

1. Registrars to an issue and Share Transfer Agents are required to furnish quarterly report in electronic form in the prescribed format in terms of SEBI Circulars No. RRTI Circular No. 1(94-95) dated October 11, 1994 and MIRSD/DPS-2/RTA/Cir-17/2008 dated May 06, 2008.
2. In order to strengthen the compliance mechanism and the role of the Boards of Registrars to an Issue and Share Transfer Agents, it has been decided to review the norms and format for periodic reporting. The revised format as given in the [Annexure](#) includes the status of regulatory compliance and investor grievances redressal.
3. The Boards of Registrars to an Issue and Share Transfer Agents shall, henceforth, review the report and record their observations on (i) the deficiencies and non-compliances, and (ii) corrective measures initiated to avoid such instances in future.
4. Accordingly, with effect from half year ending September 30, 2012, the Compliance Officer of the Registrar to an Issue and Share Transfer Agent shall send the report in the revised format to SEBI at rta@sebi.gov.in on half yearly basis within three months of the expiry of the half year. The other terms and conditions specified in the circulars mentioned in Para 1 shall remain unchanged.
5. Further, according to Circular no. CIR/MIRSD/5/2011 dated June 17, 2011, Registrars to an issue and Share Transfer Agents are required to report the changes in their status or constitution. The same information has now been incorporated in the revised format of the report.
6. This circular is issued in exercise of powers conferred under Section 11(1) of the Securities and Exchange Board of India Act, 1992, to protect the interests of investors in securities and to promote the development of, and to regulate the securities market.



भारतीय प्रतिभूति और विनिमय बोर्ड
Securities and Exchange Board of India

7. This circular is available on SEBI website (www.sebi.gov.in) under the categories “Legal Framework” and “Circulars”.

Yours faithfully,

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Encl: [Annexure](#)