



Let's talk Forex

Si Capital & Financial Services Limited

Where Forex standards are set, not just met

20-02-2023

To
The General Manager - DCS
Listing Operations – Corporate Service Department
BSE Limited

Scrip Code: 530907

Dear Sir / Madam,

Sub: Intimation to Members - Furnishing of PAN, KYC details and Nomination & availability of Dispute Resolution Mechanism at Stock Exchanges against Company/Registrar to an Issue and Share Transfer Agents (RTA)

Ref: Regulation 30 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015

In terms of Regulation 30 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, please find enclosed confirmation received from the RTA today on the intimation sent via e-mail on February 16, 2023 to the Members of the S.I.Capital & Financial Services Limited (“Company”) pertaining to:

1. SEBI Circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 3, 2021 readwith SEBI Circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/687 dated December 14, 2021 (the “SEBI Circulars”) for KYC and Nomination details.
2. SEBI Circular No. SEBI/HO/OIAE/2023/03391dated January 27, 2023 read together with SEBI /HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/76 dated May 30, 2022 regarding availability of Dispute Resolution Mechanism at Stock Exchanges against Company/Registrar to an Issue and Share Transfer Agents (RTA).

You are requested to take the above information on record

The above information will be made available on the Company’s website at www.sicapital.co.in

Kindly take the same on record.

Thank you.

For S.I. CAPITAL & FINANCIAL SERVICES LIMITED

Akhil T M
Company Secretary
Mem No. A37465

Encl : As above

Regd. Office No.27, First Floor, New Scheme Road,
Pollachi, Coimbatore, Tamil Nadu 642001
CIN : L67190TZ1994PLC040490
Tel : 04259 – 233304/05, E-Mail : info@sicapital.co.in
Website : www.sicapital.co.in

Subject: Compliance to Advisory Letter No. SEBI/HO/OIAE/2023/03394 dated January 27, 2023 issued by SEBI
From: Jayakumar K <jaykay@skdc-consultants.com>
Date: 20-02-2023, 12:43
To: Jayakumar K <jaykay@skdc-consultants.com>
CC: S Dhanalakshmi <dhanalakshmi.s@linkintime.co.in>, "rs.deepa@linkintime.co.in" <rs.deepa@linkintime.co.in>

February 20, 2023

The Company Secretary / Compliance Officer,

Dear Sir / Madam,

Pursuant to Advisory Letter No. SEBI/HO/OIAE/2023/03394 dated January 27, 2023 issued by SEBI on "Generating awareness on availability of Dispute Resolution Mechanism at Stock Exchanges against Listed Companies/Registrar to an Issue and share Transfer Agents(RTAs)," we would like to inform you that the necessary compliance has been completed by us on behalf of the Listed Companies by sending Email and/or SMS to those shareholders of your company who are holding shares in physical mode and having registered a valid email id/ Mobile No. Kindly note that while sending the communication we have excluded all STOP Mark Cases except where STOP marked on the basis of request from the security holder.

Please find enclosed sample of communication sent to the shareholders for your reference. Our client relation team would be happy to assist you in case you need any clarification/ information/data in this regard.

Further as RTA we will be complying with regulatory compliance and file the Action Taken Report with SEBI on or before February 27, 2023.

Warm Regards,

Jayakumar K

S.K.D.C. Consultants Limited

(a Subsidiary of Link Intime India Pvt Ltd)

"Surya" 35, Mayflower Avenue, Behind Senthil Nagar, Sowripalayam Road,
Coimbatore – 641028, TN, India | Phone: +91 422 4958995, 2539835/ 836 | Mobile # 9944152535
Fax: +91 422 2539837 | Email: info@skdc-consultants.com | www.skdc-consultants.com
CIN: U74140MH1998PLC366529 | GSTIN: 33AAHCS2346B1ZT | SEBI Regn No. : INR000000775

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— ForwardedMessage.eml —

Subject: Availability of Dispute Resolution Mechanism at Stock Exchanges against Listed Companies/ Registrar to an Issue and Share Transfer Agents (RTAs)
From: "noreply@skdc-consultants.com" <noreply@skdc-consultants.com>
Date: 10-02-2023, 17:01
To: S Dhanalakshmi <dhanalakshmi.s@linkintime.co.in>

CAUTION : This email is received from an external domain. Open the hyperlink(s) & attachment(s)

with caution.

Date: February 10, 2023

Name: {Name}

Company Name: {FILLER1}

Dear Shareholder,

We would like to inform you that SEBI has introduced Arbitration Mechanism in Stock Exchange, for dispute redressal against Listed Company / Registrar to the Issue and Share Transfer Agents (RTA)

SEBI had vide its Circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/76 dated May 30, 2022 issued a Standard Operating Procedure (SOP) for dispute resolution under the stock exchange arbitration mechanism for disputes between a listed company and/or registrars to an issue and share transfer agents and its shareholder(s)/investor(s).

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 May 30, 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>

We would also like to once again bring to your attention that SEBI vide its circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021 has mandated that all the folios have to be KYC compliant and accordingly, asked the investors to register their PAN, KYC details and Nomination with the RTAs. SEBI has also directed that RTAs shall not process any service requests or complaints received from the holder(s) / claimant(s) till PAN, KYC and Nomination documents/details are registered. Hence we request you to please register/update your PAN, KYC and Nomination details with our RTA, if not already done. For more information visit <https://www.skdc-consultants.com> -> Investor Services -> Downloads -> KYC -> Formats for KYC.

Thanking you,

Yours faithfully,

S.K.D.C. Consultants Limited (RTA) on behalf of Issuer Company

Note: This is a system-generated e-mail. Please do not reply to this e-mail.



— Attachments:

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