

Annexure – C

(To SEBI circular OIAE/Cir-1/2009 dated November 25, 2009)

ACTION TAKEN REPORT - PROFORMA FOR SENDING RESPONSES TO SEBI FOR INVESTOR GRIEVANCES

- (i) The proforma in which companies shall send their responses to investor complaints is as specified below.
- (ii) The proforma shall be strictly adhered to, failing which the status of the complaint will not be updated by SEBI.

Sr. No.	Complaint Ref. No.	Type/ Category	Name of complainant	Date of action	Action taken in brief
					1. nature of action taken 2. instrument & dispatch details (Table I & II) [or] correspondence & dispatch details (Table III) [or] stay details

ATR shall contain the following details / information / documents:

- Where the company has made payment or dispatched securities, then the ATR should contain details of instrument as mentioned in Table I along with details of dispatch as mentioned in Table II.
- Where the complaint is pending for redressal as additional documents / information has been sought from the complainant then, the ATR should contain details mentioned in Tables III and II B.
- Wherever a matter is sub-judice, it has to be indicated and copy of the stay / injunction obtained should be enclosed

Table I: Instrument details

A.	Refund / Dividend / Interest / Redemption / unblocking	If through Physical mode	If through Electronic mode
	1. Amount payable 2. Amount paid 3. Reason for the difference, if any.	1. Payment instrument no. 2. MICR No. 3. Advice by banker reg credit / encashment in case the instruments has been dispatched more than 6 months ago.	1. Bank account No. 2. RBI sequence No. 3. Date of credit 4. Advice by banker reg credit / encashment in case the instruments has been dispatched more than 30 days ago. 5. Copy of instruction to self certified syndicate Bank for unblocking (ASBA)

B.	Securities	If Physical instrument sent	If credited Electronically
	1. No. of units entitled 2. No. of units allotted 3. Reason for difference, if any.	1. Certificate No. 2. Distinctive No. 3. Folio No.	1. DPID, Client ID 2. Date of credit

Table II: Dispatch details of Securities / Payment instrument

If Physical instrument sent	If credited Electronically
1. Due date for dispatch	1. Due date for instruction.
2. Date of dispatch	2. Date instruction given.
3. Mode of dispatch	
4. Dispatch No.	

Table III: Documents/Information sought from the complainant:

1. Copy of letter sent to the investor seeking documents/information. 2. Two subsequent reminders are required to be sent with a gap of one month between dispatches 3. Details of correspondences to complainant: <ul style="list-style-type: none"> a. Mode of dispatch b. Dispatch No. c. Date of dispatch
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For all types of complaints, the action taken should be intimated to the complainant.
