

## **SEBI COMPLAINTS REDRESS SYSTEM**

### **Filing of Complaints on Scores – Easy & Quick**

SCORES is an online platform designed to help investors to lodge their complaints, pertaining to securities market, online with SEBI against listed companies and SEBI registered intermediaries. All complaints received by SEBI against listed companies and SEBI registered intermediaries are dealt through SCORES.

#### **a. How to Register on SCORES portal?**

- To become a registered user of SCORES, an investor can click on “**Register here**” appearing on the homepage of the SCORES portal i.e. [www.scores.gov.in](http://www.scores.gov.in)
- The investor will have to fill in the registration form. Fields like Name, Address, E-mail Address, PAN and Mobile Number are mandatory fields and are required to be filled up.
- The username and password of SCORES will be sent to the registered email id provided in the Registration Form.

#### **b. What mandatory information is required for lodging investor’s complaint on SCORES?**

For lodging a complaint on SCORES, the following personal information has to be mandatorily provided by investors/complainants:

- a. Name
- b. Address
- c. E-mail Address
- d. PAN and
- e. Mobile Number

If any of the above information is not provided by the investor, the investor shall not be able to lodge a complaint on SCORES.

#### **c. What are the benefits of SCORES?**

- i. Effective communication
- ii. Speedy redressal of the grievances

**d. How can investors lodge their complaint online in SCORES?**

- i. From 1st August 2018, it has been made mandatory to register on SCORES for lodging a complaint.
- ii. To become a registered user of SCORES, investors may click on “**Register here**” under “**Investor Corner**” appearing on the homepage of SCORES portal.
- iii. Investors will have to fill in Registration form. Fields like Name, Address, E-mail Address, PAN and Mobile Number are mandatory fields and are required to be filled up. The username and password of SCORES will be sent to the investor’s registered email id.
- iv. If an investor is already a registered user, they can login by entering their username and password.
- v. After logging into SCORES, investors must click on “**Complaint Registration**” under “**Investor Corner**”.
- vi. Investor should provide complaint details.
- vii. Investors must select the correct complaint category, entity name, and nature of complaint.
- viii. Investors must provide complaint details in brief (up to 1000 characters).
- ix. A PDF document (up to 2MB of size for each nature of complaint) can also be attached along with the complaint as supporting document.
- x. On successful submission of complaint, system generated **unique registration number** will be displayed on the screen which may be noted for future correspondence.
- xi. An email acknowledging the complaint with complaint registration number will also be sent to the email id entered in the complaint registration form. A text message will also be sent to the investor informing them about registration of the complaint.

**e. How are investor complaints handled?**

It was seen that investors frequently lodged complaint on SCORES without actually taking the matter up with the concerned company/ intermediary. In view of the same, from August 01, 2018, complaints will be handled as follows:-

A. At the time of lodging of complaint, the investor is asked “***Have you lodged a complaint with the concerned intermediary / listed company for redressal of your complaint?***”

**B. If the investor selects the option “No”:**

- i. The complaint will be routed directly to the concerned entity. Since this is the first time the issue will be raised with the concerned entity, such “Direct complaints” will be addressed by the concerned entity and the response will come to the investor without any interference of SEBI officials.
- ii. The concerned entity is required to send a response to the investor directly within 30 (thirty) days.
- iii. If the concerned entity fails to send a response within 30 (thirty) days to the investor, then the complaint will be routed to SEBI automatically. Thereafter, the complaint will have a new SCORES registration number.
- iv. In case the investor is dissatisfied with the redressal of the complaint, the investor has to indicate the same against the complaint and then the complaint will come to SEBI. If the investor does not indicate the same within 15 (fifteen) days of receipt of reply from the company, it will be assumed that the investor is satisfied with the redressal and the complaint will be closed.

**C. If the investor selects the option “Yes”**

- i. The complainant has to provide the date of taking up the complaint and also the address where the communication was last made.
- ii. The complaint will be routed to SEBI.
- iii. When the complaint comes to SEBI, the complaint is examined and it’s decided whether the subject matter falls under the purview of SEBI and whether it needs to be referred to concerned entity. After examination, SEBI forwards the complaint to the concerned entity with an advice to send a written reply to the investor and file an action taken report in SCORES.

**f. How can investors check the status of their Complaint?**

- i. To check the complaint status, an investor can click on “**View Complaint Status**” under “**Investor Corner**” on the homepage.
- ii. Alternatively, the investor can also login into their account and click on “**View Complaint Status**” under “**Investor Corner**”.

**Step 1:** Provide the complaint registration number which was allotted at the time of registration of complaint.

**Step 2:** Enter the password.

- a) If the investor is a SCORES registered user, then the password will be the investor's e-mail ID registered with SEBI.
- b) If the investor is not a SCORES registered user, please enter the password which was communicated by SEBI in the acknowledgement letter sent to the investor.

**Step 3:** Enter the captcha/security code

- i. On verifying the correctness of registration number, password and security code, the current status of the complaint is displayed.

**g. Is there a telephone number where investors can call to get help on matters related to SCORES?**

To facilitate replies to various queries of the general public and on guiding them with regard to grievances in matters relating to securities market, SEBI launched toll free helpline service number 1800 266 7575 or 1800 22 7575 on December 30, 2011.

The toll free helpline service will answer to queries on:

- Lodging of complaints on SCORES;
- Knowing the status of complaint(s); and
- Other matters related to complaints

The toll free helpline service is available to investors from all over India.

The toll free helpline service is available on all days from 9:00 a.m to 6:00 p.m (excluding declared holidays in state of Maharashtra).