



SECURITIES AND EXCHANGE BOARD OF INDIA

SEBI Bhavan, Plot No. C-4A, 'G' Block, Bandra Kurla Complex, Bandra (E),

Mumbai 400 051

EMPANELMENT OF AGENCIES FOR PROCESSING OF INVESTOR GRIEVANCES RECEIVED BY SEBI

SEBI has developed a web-based and centralized grievance redressal system named as SEBI Complaint Redress System (SCORES). The system provides for launching and tracking the complaint electronically. Applications are invited in prescribed format for empanelment of agencies for processing and maintenance of records of investor complaints received at SEBI.

The agencies should meet / have the following criteria to be eligible for consideration for empanelment

- (i) The agency should be registered as a company.
- (ii) The agency should have their established office in Mumbai with adequate infrastructure, support staff, supervisors to attend to work as mentioned in the scope of the work (detailed under the said head). The agency must submit necessary documents in support of the above to evaluate their eligibility for prequalification (such as registration certificate, proof of address, staff strength and other infrastructure details).
- (iii) The average annual financial turnover of the agency should not be less than Rs. 50 lakh during the last 3 years ending 31.03.2010.
- (iv) The agency should have an expertise in the field of handling registrar & transfer activities or depository services (who are registered with SEBI as intermediaries) or agencies handling investor matters and should be in the business atleast during the last five years and should have provided similar services to PSUs, PSUs banks, financial institutions, autonomous bodies, listed companies, etc.
- (v) The agency should have satisfactorily completed at least two similar works out of which at least one similar works costing not less than Rs.40 lacs per annum preferably for Central Government / State Government / Public Sector Undertaking/ Autonomous Bodies, Financial institutions, listed companies, etc during the last 5 years

Similar works means handling registrar & transfer activities or depository services or investor matters of PSUs / PSUs banks/ financial institutions / autonomous bodies/ listed companies, etc.

- (vi) The agency should not have incurred any loss in more than two years during the last five years ending 31st March 2010.

In additional to the above requirements the agency should have all statutory registrations / certificates like:

- (i) Registration with the labour office and Incorporation Certificate.
- (ii) Registration with the office of Provident Fund
- (iii) Service tax registration
- (iv) Registration with the office of ESIC
- (v) Should have a valid PAN No
- (vi) Profession tax registration
- (vii) Any other statutory registration / requirements required by statutory authority/ies for carrying out the said activity.

Main Scope of work

- (i) Receiving of complaints from investors through physical or electronic mode.
- (ii) Scanning, categorization and codification of complaints, data entry and updating data in the computerized system.
- (iii) Mailing / Dispatching of complaints/letters to intermediaries / companies and acknowledgment letter to the investor.
- (iv) Proper storage facility of the complaints received and the ATRs for a period of 2 years
- (v) Tracking complaint status online and follow ups of complaints.
- (vi) Preparation of periodic reports and ad-hoc reports, updation of Action Taken Reports (ATR) received from companies.
- (vii) For the above mentioned work, initially it is estimated that there will be a requirement of atleast 10 skilled persons.

Application forms can be downloaded from the website www.sebi.gov.in or can be obtained from the office of Shri B Rajendran, General Manager, Office of Investor Assistance and Education, from SEBI Bhavan, Plot No. C-4A, 'G' Block, 1st Floor, Bandra Kurla Complex, Bandra (E), Mumbai 400 051. Joint ventures are not accepted.

The period of five years for the purpose of having completed similar work shall be from 01.01.2006 to 31.12.2010, whereas, 3 years for average annual financial turnover / experience, it will be from 01.04.2007 to 31.03.2010.

No other tender notice will be published in the press for the job referred above and issue of tender forms will be restricted among the applicants found suitable for the job.

SEBI reserves the right to reject any or all the applications without assigning any reason whatsoever. SEBI also reserves the right to restrict number of applicants for tendering at its sole discretion. SEBI's decision in this regard shall be binding on all concerned.

SEBI has the right to visit office of the organizations where the agency is providing / provided their services including report of their client as well as all other details it may like to have to satisfy itself before taking final decision in respect of their empanelment. SEBI may also inspect the establishment of the agency to satisfy itself regarding the capability of the agency.

By submitting the application form the agency is agreeable for arranging the requisite permissions for inspection of the works carried out by them and for the inspection of their office premises by the committee of SEBI officials by giving prior intimation (24 hrs).

If any information furnished by the applicant is found to be incorrect at a later stage, the contractor shall be liable to be debarred from being empanelled as agency for SEBI.

Applications not received in the prescribed manner will be summarily rejected.

The last date for obtaining application form is 21 days from the date of publication of the advertisement in the newspapers. The last date for submission of duly filled in application form is 21 days from the date of publication of the advertisement in the newspapers.

For Application form [Click here](#)