

## Frequently Asked Questions (FAQ)

### SCORES

#### SECTION: I (FAQ FOR INVESTORS)

**Attention: It would be advisable to contact the person or company that is the cause of your complaint directly prior to lodging a complaint in SCORES.**

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##### 1. Which are the complaints dealt by SEBI?

Complaints arising out of issues that are covered under SEBI Act, Securities Contract Regulation Act, Depositories Act and rules and regulation made there under and provisions that are covered under section 24 of Companies Act, 2013. The detailed list of nature of complaints handled by SEBI is provided in the Annexure.

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##### 2. Which are the matters that are not considered as complaints in SCORES?

- ✚ Complaint not by investor
  - ✚ Complaint not pertaining to investment in securities market
  - ✚ Anonymous Complaints (except whistleblower complaints)
  - ✚ Incomplete or un-specific complaints
  - ✚ Allegations without supporting documents
  - ✚ Suggestions or seeking guidance/explanation
  - ✚ Seeking explanation for non-trading of shares or illiquidity of shares
  - ✚ Not satisfied with trading price of the shares of the companies
  - ✚ Non-listing of shares of private offer
  - ✚ Disputes arising out of private agreement with companies/intermediaries
  - ✚ Matter involving fake/forged documents
  - ✚ Complaints on matters not in SEBI purview
  - ✚ Complaint about market manipulation/ insider trading
  - ✚ Complaint about any unregistered/ un-regulated activity
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### 3. Which are the complaints not dealt by SEBI?

- ✚ Complaints that are in the purview of some other regulators/agencies such as complaints against unlisted/delisted/wound up/liquidated/sick companies etc.
- ✚ Complaints that are sub-judice (relating to cases which are under consideration by court of law, quasi-judicial proceedings etc.)
- ✚ Complaints falling under the purview of other regulatory bodies viz. RBI, IRDAI, PFRDA, CCI, etc., or under the purview of other ministries viz., MCA, etc.

The relevant Regulators/Authorities for some of the grievances which are not dealt by SEBI are given below:

Regulators/Au thorities	Grievances pertaining to	Contact
Reserve Bank of India (RBI)/ Banking Ombudsman	1. Banks deposits and banking 2. Fixed Deposits with Non-Banking Financial Companies (NBFCs) and other matters pertaining to NBFCs 3. Primary Dealers	<a href="http://www.rbi.org.in">http://www.rbi.org.in</a> <a href="https://bankingombudsman.rbi.org.in/">https://bankingombudsman.rbi.org.in/</a>
Ministry of Corporate Affairs(MCA)	1. Deposits u/s 73& 74 of Companies Act, 2013 2. Unlisted companies 3. Mismanagement of companies, financial performance of the company, Annual General Meeting, Minority shareholders Interest, etc. 4. Nidhi Companies 5. All matters as delegated under overriding powers under Companies Act 2013	<a href="http://www.mca.gov.in/MinistryV2/complaints.html">http://www.mca.gov.in/MinistryV2/complaints.html</a>
Insurance Regulatory and Development Authority of India (IRDAI)	Insurance Companies /Brokers/ Agents/products and Service	<a href="http://www.irdaindia.org">http://www.irdaindia.org</a>
Pension Fund Regulatory and Development Authority (PFRDA)	Pension funds	<a href="http://www.pfrda.org.in">http://www.pfrda.org.in</a>
Competition Commission of	Monopoly and anti-competitive practices	<a href="http://www.cci.gov.in">http://www.cci.gov.in</a>

India (CCI)		
Registrars of Chit Funds of the concerned state	Chit Funds	
National Housing Bank (NHB)	Housing Finance Companies	<a href="http://www.nhb.org.in">www.nhb.org.in</a>

#### 4. How do I register my complaint online in SCORES?

To register a complaint online on SCORES portal:

- ☞ Click on "Complaint Registration" under "Investor Corner".
- ☞ Fill the complaint registration form containing personal details
- ☞ Provide the complaint details
- ☞ Ensure that you fill the mandatory fields on the form. These fields include Name, Address for correspondence, State, Email Address of Investor and PAN Card no. in case of complaints against the broker.
- ☞ Select the correct complaint category, entity name, nature of complaint.
- ☞ Provide complaint details in brief (up to 1000 characters).
- ☞ A PDF document (up to 2MB of size for each nature of complaint) can also be attached along with the complaint as supporting document.

On successful submission of complaint, system generated unique registration number will be displayed on the screen which may be noted for future correspondence. An email acknowledging the complaint with complaint registration number will also be sent to the email id entered in the complaint registration form.

In case, you are not able to register a complaint online, you can send your complaint through post to any of the SEBI offices whose addresses are given at SEBI Website on "[http://www.sebi.gov.in/cms/sebi\\_data/templates/SebiAddresses.html](http://www.sebi.gov.in/cms/sebi_data/templates/SebiAddresses.html)"

#### 5. Why are certain characters not accepted while lodging a complaint?

Certain characters are not accepted for security reasons. However, the characters which are permissible are mentioned against each field while lodging the complaint. In case certain non-usable characters are entered, then a clear explicit error message is displayed.

#### 6. I could not find the name of the company/intermediary against whom I want to register the complaint?

Names of entities not registered with SEBI and names of unlisted companies are not available in SCORES.

It is also possible that a company/entity might have changed its name, merged into another entity or delisted or its registration with SEBI might have expired and hence its name is not available on SCORES.

However, you can send your complaint by post to any of the Offices of SEBI and if the complaint pertains to a listed company/registered intermediary, the same will be taken up by SEBI.

### 7. If I want to lodge a complaint against a company before listing, in which category should I lodge?

You should lodge it in "Prelisting/Offer document" category under Listed Companies menu.

The screenshot shows the 'Complaint Details' page on the SCORES portal. The 'Select Category' dropdown menu is open, displaying a list of categories. The categories are organized into columns: 'Listed Companies/ Registrars & Transfer Agents', 'Brokers/ Stock Exchanges', 'Depository Participants/ Depository', 'Mutual Funds', 'Other Entities', and 'Information to SEBI'. The 'Listed Companies/ Registrars & Transfer Agents' column is expanded, showing a list of sub-categories. The 'Prelisting/Offer Document (Shares)' category is highlighted in blue. A red banner at the bottom of the page reads 'This is best viewed in Internet Explorer 7.0 and above'. The footer contains the text 'Privacy Policy | Terms of Use' and 'SEBI e-Complaints Centre © 2011'.

Categories					
Listed Companies/ Registrars & Transfer Agents ▼	Brokers/ Stock Exchanges ▼	Depository Participants/ Depository ▼	Mutual Funds	Other Entities ▼	Information to SEBI ▼
Listed Companies ▶	Refund/Allotment/ Dividend/Transfer/ Bonus/Rights/ Redemption/Interest				
Registrars & Transfer Agents	Prelisting/Offer Document (Shares)				
	Prelisting/Offer Document (Debentures & Bonds)				
	Delisting of securities				
	Buy back of securities				
	Takeover and Restructuring				
	Corporate Governance/Listing Conditions				

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## 8. How to attach a document along with my Complaint?

If any supporting document is required to be attached along with the complaint, you can upload that document (only PDF) at the time of lodging the complaint.

There is a field "Upload Supporting Document" followed by a button "Browse". On clicking the browse button, a pop-up window will open, prompting you to select the PDF document to be uploaded. After selecting the PDF file, click "Attach" button to enclose the selected document with the complaint. Please note that for security reasons, only PDF file can be attached. You can upload a file in PDF format up to a maximum size of 1 MB for each nature of complaint.

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## 9. Why can I not upload the documents in Word or Excel? I do not have a PDF converter.

Word and Excel documents are editable and therefore their integrity cannot be maintained. In case you do not have a PDF convertor you may download one readily from the net.

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## 10. If I want to attach a document of more than 2MB, what should I do?

You can attach a document file size up to 2MB for each nature of complaint and each complaint can have up to a maximum of 5 natures. If the document size exceeds 2MB, then the document quality (dpi) may be reduced to shrink the document size to 2MB and upload only the necessary documents. In case you have more than 1MB to be loaded for each nature, then that can be sent by post to any of our SEBI offices.

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## 11. What do I do if I am not able to register a complaint online?

The website of SCORES is best viewed in browsers Internet Explorer 7.0 and above or Mozilla Firefox 3.0 and above. If you are still unable to lodge the complaint, you can check your internet settings.

Please seek assistance from our Tollfree Investor Helpline 1800 266 7575 or 1800 22 7575 or you may send the complaint physically by post to any of the Office of SEBI.

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## 12. How do I check the status of my Complaint?

To check your complaint status, click on "[View Complaint Status](#)" under "[InvestorCorner](#)" on the homepage

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

Step 2: Please enter your password.

- a) In case of web complaint, your email address is your password.
- b) In case of physical complaints sent to SEBI, please enter the password which was communicated by SEBI in the acknowledgement letter sent to you.

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

Further, you may also contact SEBI toll free Helpline service number 1800 266 7575 or 1800 22 7575 and tell them the registration no. of your complaint whereby they can provide you with the status of your complaint.

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## 13. I wish to talk to the SEBI officer dealing with my complaint. How do I know who the dealing officer is?

Go to the 'Complaint Status' section of SCORES. Once you enter the registration number and password, you can see the name and contact details of the Dealing officer for your complaint on SCORES.

Alternatively, you may contact SEBI toll free helpline service number 1800 266 7575 or 1800 22 7575 and tell them the registration no. of your complaint whereby they can provide you with the name of the dealing officer of your complaint

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## 14. What should I do if I forget the password to see my complaint status?

If you have lodged a web complaint, then your password is your email id. However, in case you have lodged a physical complaint, then the password is given in the acknowledgement letter sent to you. If you have not received

your acknowledgement or the acknowledgment is misplaced, you may contact the help desk at 022-26449188 /9199.

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#### 15. Can I have a single password for all my complaints?

You can have a single password for all web complaints i.e. your email id. Also, if you become a registered user, you can get a single password.

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#### 16. How do I become a registered user?

To become a registered user of SCORES, you can click on "Register here" appearing on the homepage of the portal. You will have to fill in Registration form. The username and password of SCORES will be sent to your registered email id.

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#### 17. What is the advantage of becoming a registered user?

Personal details need not be entered for every new complaint once you become a registered user. You can also track all your complaints (including previous complaints that were lodged with same email id) with a single login.

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#### 18. How to send reminder for my Complaint?

If you want to send a reminder for your earlier lodged complaint, then click on the link "[Send Reminder](#)" under "[Investor Corner](#)" on the homepage. Provide details like Registration number, Reminder details and the security code.

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#### 19. How to reply to a clarification sought from me?

If a clarification has been sought by SEBI or the entity against which complaint is lodged, you can send the reply online. The reply can be sent by clicking on the link

"Send Reply" while viewing the status of your complaint through "View Complaint Status Form" (Please refer to the reply to question "How do I check the status of my Complaint?" to view status of the complaint). In case, you are not able to send reply to clarification online, you can send it through post to any of the SEBI offices whose addresses are given under the menu "Contact Us" by providing your unique registration number.

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## 20. Can I complain about market or price manipulation or violation of Insidertrading regulations?

The information provided under the categories of Price/market manipulation and Insider trading will be treated as market intelligence. Therefore, no complaint number and acknowledgement shall be sent to you. Also, the same would not be tracked through SCORES. This information shall be treated as confidential. This information will be analysed and if found necessary, further action will be taken. The status of information cannot be ascertained as SEBI conducts the investigations confidentially in a holistic manner. In order to aid SEBI to carry out its surveillance activity, you are encouraged to provide correct and complete information. SEBI will neither confirm nor deny the existence of any investigation. Any regulatory actions taken by SEBI are published at SEBI website at [www\[dot\]sebi\[dot\]gov\[dot\]in](http://www.sebi.gov.in).

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## 21. Can I complain about alleged violation of Takeover/Delisting Regulations by the promoters/acquirers?

Yes. You can lodge your complaint about alleged violation of Takeover Regulations and Delisting Regulations by the acquirers/promoters of the target company. However, status of your complaint cannot be disclosed since SEBI conducts examinations confidentially. As a matter of policy, SEBI neither confirms nor denies the existence of any examination/investigation. Any regulatory action taken by SEBI is published at SEBI website at [www.sebi.gov.in](http://www.sebi.gov.in) after the proceedings are completed.

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## 22. Can I give suggestions through SCORES website?

You can send your suggestions, if any, to email id [asksebi@sebi.gov.in](mailto:asksebi@sebi.gov.in)

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## 23. How is my complaint handled?

SEBI examines your complaint and decides 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 you and file an action taken



report in SCORES.

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#### 24. How long does it take the entity to respond to my complaint?

Generally, the complaint will be responded within a few days after the receipt of your complaint. If your complaint is complex, it may take a little longer.

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#### 25. What is the timeline to get my complaint resolved?

Entities are required to submit the action taken report within a reasonable period but not later than 30 days.

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#### 26. Why is my complaint pending for a long time?

The complaint may be pending due to various reasons viz., non-receipt of satisfactory reply from the entity, non-receipt of information/ documents sought by the entity / SEBI from the investor, court matter, entity not traceable or vanished companies, etc.

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#### 27. When is my complaint treated as disposed of?

On receipt of satisfactory action taken report along with supporting documents, if any, from the entity or the concerned Stock Exchange/ Depository, or if the complainant fails to give complete details/documents required for redressal of his complaint within the prescribed time, the complaint is treated as disposed of.

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#### 28. Whether I will receive intimation about disposal of my complaint?

Yes. An email is sent to the complainant's email id available in SCORES.

Complainant can also view the disposal details online by following the procedure given above in answer to "How do I check the status of my Complaint?"

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#### 29. What shall I do if I am not satisfied with the disposal of the complaint?

In case the complainant is not satisfied with the disposal of

the complaint, a fresh complaint can be lodged or an email can be sent to the concerned Dealing Officer or escalate the complaint by sending an email to Senior Officers whose email ids are given at the menu "Contact Us". Further, you can initiate appropriate legal proceedings against the entity.

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### 30. What are the limitations in dealing with my complaint?

In certain cases, the entity or company denies wrongdoing, and it remains unclear as to who is wrong or whether any wrongdoing occurred at all. If this happens, SEBI cannot act as a judge or an arbitrator and force the entity or company to resolve your complaint. Further, SEBI cannot act as your personal representative or attorney. But the law allows you to take legal action on your own.

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### 31. Can I take legal action on my own?

Securities and other laws provide important legal rights and remedies if you have suffered wrongdoing. Acting on your own, you can seek to resolve your complaint through the courts, consumer courts, or arbitration.

To take advantage of these laws, you must take legal action promptly or you may lose the right to recover funds. Please note that as per the "law of limitations," there are some time periods within which court proceedings should be initiated.

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### 32. When can SEBI take action for non-resolution of my complaint?

While the entity is directly responsible for redressal of your complaint, SEBI initiates action against recalcitrant entities on the grounds of their failure to redress large number of investor complaints as a whole. For redress of your complaint, you may have to pursue appropriate legal/arbitration remedies.

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### 33. When can I refer my case to arbitration?

If you have an account with the broker or a depository participant (DP), you probably agreed to use only arbitration to settle all disputes with your broker or DP. But even if you did not, you may choose to use arbitration to settle disputes. You generally cannot pursue an issue through arbitration if it

is barred by limitation prescribed. When deciding whether to arbitrate—or, if it is a choice, to sue in court—bear in mind that if your broker or DP goes out of business or declares bankruptcy, you might not be able to recover your money—even if the arbitrator or court rules in your favor. However, with certain restriction to the nature of transactions, Stock Exchanges may settle the claim of an investor up to a limit prescribed in the „investor protection fund“ guidelines of the respective Stock Exchange.

Simplified arbitration can be a less costly alternative. You should carefully review the rules governing simplified arbitration before you file a claim. Again, you should always weigh the costs of arbitrating against the likelihood of being able to collect any award in your favor, especially if the brokerage firm has left the industry or gone bankrupt. Firms that stay in business typically pay the arbitration awards levied against them, but defunct firms may not.

To obtain information about how to file an arbitration claim,

BSE: <http://www.bseindia.com/invdesk/Arbitrage.asp>

NSE:

[http://www.nseindia.com/content/assist/asst\\_investser.htm](http://www.nseindia.com/content/assist/asst_investser.htm)

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#### 34. How do I learn more on other issues related to securities market?

You may learn more on other issues related to securities market through FAQs provided in the link below.

[http://www.sebi.gov.in/cms/sebi\\_data/attachdocs/1315458767512.pdf](http://www.sebi.gov.in/cms/sebi_data/attachdocs/1315458767512.pdf)

<http://www.sebi.gov.in/sebiweb/home/list/4/37/0/1/FAQs>

<http://investor.sebi.gov.in>

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#### 35. How to lodge complaints pertaining to commodity derivative market?

To lodge complaints pertaining to commodity derivative market please write to:

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|---|---|
| i. <a href="mailto:cdbrokers@sebi.gov.in">cdbrokers@sebi.gov.in</a> : | For complaints against commodity derivative brokers.      |
| ii. <a href="mailto:cdisd@sebi.gov.in">cdisd@sebi.gov.in</a> :        | For Complaints of price manipulation / insider trading in |

Commodity Derivatives.

For complaints against  
iii. [cdcomplaints@sebi.gov.in](mailto:cdcomplaints@sebi.gov.in): Commodity Derivative  
Exchanges.

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36. I am not very comfortable with using technology. I had sent a physical complaint to SEBI. How can I get information about my complaint?

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 is available to investors from all over India

The toll free helpline service is available on all days from 9:30 a.m to 5:30 p.m (excluding declared holidays in state of Maharashtra).

You may contact the Helpline and tell them the registration no. of you complaint whereby they can provide you with the status of your complaint, the name of the dealing officer of your complaint, the name of the immediate supervisor of the dealing officer, the closure remarks in your complaint etc.

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## **SECTION: II (FAQ FOR COMPANIES&INTERMEDIARIES)**

1. Is it necessary for all registered intermediaries and listed companies to take SCORES authentication?

Yes, except stock brokers, sub-brokers and Depository Participants.

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2. Why have stock brokers, sub-brokers and Depository Participants been excluded from taking SCORES authentication ?

Investor complaints received against stock brokers, sub-brokers and Depository Participants are not directly routed to the respective entities in the SCORES system. The complaints are forwarded to the aforesaid intermediaries by SCORES through the platforms of Stock Exchanges and Depositories. This obviates the need of taking SCORES authentication by stock brokers, sub-brokers and Depository Participants.

However, in case of other intermediaries and listed companies, investor complaints are directly forwarded by SCORES to the entities, which necessitates obtaining of SCORES authentication by them.

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3. Is it necessary for an entity to take SCORES authentication separately for each category of intermediary registration granted to them by SEBI?

Yes, an entity has to take SCORES authentication separately for each category of intermediary registration granted to them by SEBI.

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4. In addition to being a SEBI registered stock broker/ sub-broker/ Depository Participant, an entity may also be registered with SEBI as some other intermediary. In such cases, is it necessary for the entity to take SCORES authentication?

An entity as a stock broker/ sub-broker/ Depository Participant has been excluded from taking SCORES authentication. However, the same entity is required to take SCORES authentication separately for each category of intermediary registration granted to them by SEBI.

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5. Does the process of SCORES authentication impose any cost on the listed company or registered intermediary?

The process of SCORES authentication is absolutely free of cost.

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6. Whether the listed companies and SEBI registered intermediaries which have already taken SCORES authentication are also required to send to SEBI their details as per Form-A and Form-B annexed to Circular no. CIR/OIAE/1/2014 dated December 18, 2014 ?

SEBI vide Circular no. CIR/OIAE/1/2014 dated December 18, 2014 has mandated that all newly listed companies and SEBI registered intermediaries (are required to send their details as per Form-A and Form-B in order to obtain SCORES authentication.

However, the modified Form-A and Form-B capture some additional information like PAN, date of incorporation/registration, office address, etc. Therefore, it is advisable that the listed companies and SEBI registered intermediaries which have already taken SCORES authentication may also send to SEBI their updated and additional details as per Form-A and Form-B respectively.

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7. Can the listed companies / registered intermediaries who have taken SCORES authentication, update their details in SCORES?

Yes, the SCORES system enables the listed companies / registered intermediaries who have taken SCORES authentication to update on their own certain information such as address, name/details of the compliance officer,

telephone numbers. Such information should be updated by the company/intermediary immediately when warranted.