

BEFORE THE APPELLATE AUTHORITY
(Under the Right to Information Act, 2005)
SECURITIES AND EXCHANGE BOARD OF INDIA

Appeal No. 7096 of 2026

Mukesh Rajendra Parikh : Appellant

Vs

CPIO, SEBI, Mumbai : Respondent

ORDER

1. The appellant had filed an application dated August 20, 2026 (received by SEBI on August 21, 2026) under the Right to Information Act, 2005 (“**RTI Act**”). The respondent, by a letter dated September 15, 2026, responded to the application filed by the appellant. The appellant filed an appeal dated September 18, 2026 (Reg. No. SEBIH/A/P/26/0067, received by the Office of Appellate Authority on September 21, 2026). I have perused the application, the response of the respondent and the appeal and find that the matter can be decided based on the material available on record.
2. **Queries in the application** - The appellant, in his application, sought the following information:

“Request for certified copies of records relating to SCORES Complaint No. SEBIE/MH26/MUMB/031292/1”

1. Regulated Entity’s ATR and supporting records

Certified copies of the complete Action Taken Reports (ATRs) submitted by CDSL Ventures Limited, including all annexures, enclosures and supporting documents, particularly the ATR dated 20-07-2026 and subsequent ATR dated 28-07-2026, together with any communications exchanged between SEBI and CVL concerning the complaint

2. Complainant's submissions and correspondence

Certified copies of:

- *the complete First Level Review submitted by me on 22-07-2026, including all annexures/supporting documents; and*

- *all emails/communications sent by me concerning this complaint to scoreshelp@sebi.gov.in, suchishmitar@sebi.gov.in, kairans@sebi.gov.in, and adilk@sebi.gov.in - the concerned SEBI officers/officials and together with any replies/responses received and maintained in SEBI's official records/email systems.*

3.SCORES online dashboard / processing record

Certified copies of the relevant SCORES online dashboard/complaint-history entries and processing records, including the extracts containing the remarks/action remarks recorded by CDSL Ventures Limited (RE) and by SEBI officers/officials, from registration of the complaint through First Level Review, transfer to SEBI on 06-08-2026 and final disposal.

4.Final disposal record

Certified copy of the record/ order/ communication on the basis of which the complaint was finally disposed/ closed on 14-08-2026, including the reasons/remarks recorded for such disposal, together with the relevant processing/ audit record showing the action taken by SEBI leading to the final disposal.”

3. **Reply of the Respondent** – The respondent, in response to query no. 1 to 4, informed that appellant’s complaint dated July 06, 2026 was registered in SCORES bearing registration no. SEBIE/MH26/MUMB/031292/1. The respondent stated that complaint handling process on SCORES is electronic and the ATR contains all information related to processing of the complaint. The respondent also informed that no separate file noting is maintained outside the system. All actions, observations, clarification sought and responses received are recorded as part of the action history on SCORES, which is accessible after logging in with the credentials. The respondent also informed that appellant can contact SEBI helpline service number for any query or issues faced in accessing the same.
4. **Ground of appeal** – On perusal of the appeal, it appears that the appellant is not satisfied with the response of the respondent.
5. I have perused the application and the response provided thereto. I note that the respondent has informed that the complaint handling process on SCORES is electronic and the ATR contains all information related to the processing of complaint. However, I note that the appellant, in his appeal, has contended that the certified copy of ATR was not provided to him. Considering the aforementioned contention of the appellant, I find that the application warrants reconsideration.

6. Considering the above observations, I remit the application to the respondent for *de novo* consideration of application and sending appropriate response to the appellant in terms of RTI Act, within 15 working days from the date of receipt of this order.
7. The Appeal is accordingly disposed of.

Place: Mumbai

Date: October 12, 2026

RUCHI CHOJER
APPELLATE AUTHORITY UNDER THE RTI ACT
SECURITIES AND EXCHANGE BOARD OF INDIA