

USER MANUAL FOR SETTLEMENT HELPDESK FACILITY

1. Objective:

- 1.1. The objective of this Settlement Helpdesk Facility (“Helpdesk”) is to facilitate applicants or prospective applicants in understanding or complying with the procedural requirements for filing settlement applications and aspects related thereto.
- 1.2. The Scope, Process, Nature and Limitations for the functioning of the Helpdesk are given below.

2. Scope:

- 2.1. The Helpdesk service can be availed by any person or their duly Authorised Representative, proposing to seek settlement of specified proceedings as defined under Regulation 2(1)(f) of the SEBI (Settlement Proceedings) Regulations, 2018 (“Settlement Regulations”).
- 2.2. Assistance shall be provided for the following:
 - a) Filing of the settlement applications;
 - b) To compute Indicative Amount as per the Settlement Regulations; and
 - c) Status of pending Settlement Applications

3. Process:

- 3.1. Any person seeking assistance shall submit their request along with the details mentioned in the Form as given in the Annexure, at the dedicated email ID: settle-help@sebi.gov.in.
- 3.2. The request should be specific to the aspects mentioned in paragraph 2.2. SEBI reserves its right not to respond to the request, if, in its opinion the request sought is vague.
- 3.3. The request for assistance shall be endeavoured to be responded within 5 working days at the contact details provided by the requestor.

4. Nature and limitations of assistance:

- 4.1. The assistance provided through the Helpdesk is purely informal, non-binding, and facilitative in nature and does not constitute, and shall not be construed as, legal advice, regulatory advice, assurance, confirmation, interpretation, or opinion of SEBI or any of its officers and shall not restrict, limit, or prejudice SEBI’s powers under the any Act, rules, regulations, circulars, directions, or any applicable law.
- 4.2. No guidance, clarification, computation, communication, or response issued by the Helpdesk shall create any right, benefit, expectation, estoppel, legitimate reliance, or defence in favour of any person. SEBI shall not be liable for any loss, consequence, or prejudice arising out of such reliance.

FORM TO SEEK HELPDESK ASSISTANCE

1. Applicant / Prospective Applicant Details:

- i. Name of applicant / entity:
- ii. PAN / Registration No. (if any):
- iii. Category of applicant (individual / intermediary / listed entity / others):
- iv. Contact details:
 - 1. Mobile number:
 - 2. Email ID:
- v. Contact details of Authorised Person of the Applicant (if any) along with Authorisation Letter/ Board Resolution, wherever applicable:
 - 1. Mobile number:
 - 2. Email ID:

2. Whether Show Cause Notice issued (SCN)? (Yes/No), if yes then provide the following:

- a. SCN number;
- b. Date of SCN; and
- c. Name of SCN issuing Authority
- d. Name of the matter

3. Specific Assistance Sought for: (Indicate as applicable)

1	Filing of the settlement applications	
2	Computation of Indicative amount as per the Settlement Regulations	
3	Status of pending Settlement Application(s)	