

SECTION: I (FAQ for Investors)

1. What is SCORES?

SCORES is an online platform designed to facilitate complainants to lodge their complaints pertaining to securities market against listed companies, SEBI registered intermediaries and Market Infrastructure Institutions. SCORES is only a facilitative platform for investors to get redressal of their grievances from the concerned entity.

2. What are the issues on which complaint may filed on SCORES?

Complaints arising out of issues that are required to be addressed in terms of the Securities and Exchange Board of India Act, 1992, Securities Contracts (Regulation) Act 1956, Depositories Act, 1996 and rules and regulations made thereunder and relevant provisions of Companies Act, 2013 which are administered by SEBI.

3. Which are the matters that cannot be considered as complaints on SCORES?

- a. Complaint not pertaining to investment in securities market;
- b. Anonymous complaints;
- c. Incomplete or un-specific complaints;
- d. Allegations without supporting documents;
- e. Suggestions or seeking guidance/explanation;
- f. Not satisfied with trading price of the shares of the companies, may be taken up on MI Portal;
- g. Non-listing of shares of private offer, if there is any violation of securities laws may be taken up on MI Portal
- h. Disputes arising out of private agreement with companies/intermediaries;
- i. Matter involving fake/forged documents;
- j. Complaints against the companies which are unlisted/delisted;
- k. Complaints on matters falling under the purview of other regulatory bodies viz. the Reserve Bank of India (RBI), the Insurance Regulatory and Development Authority of India (IRDAI), the Pension Funds Regulatory and Development Authority (PFRDA), Competition Commission of India (CCI), or under the purview of other ministries;
- l. Complaints about any unregistered/ un-regulated activity;
- m. Complaints relating to cases pending in a court or subject matter of quasi-judicial proceedings, disputes pending with Online Dispute Resolution mechanism under the aegis of Market Infrastructure Institutions [as per SEBI master circular SEBI/HO/OIAE/OIAE_IAD-1/P/CIR/2023/145 dated July 31, 2023];
- n. Complaints which are in the nature of market intelligence i.e., information given to SEBI regarding violation of any of the provisions of the securities laws. Such complaints can be lodged on <https://mi.sebi.gov.in>.

4. Complaints against which type of companies cannot be dealt on SCORES?

Complaints against the following companies cannot be dealt through SCORES even though the complaint may be against a listed entity/ SEBI registered intermediary:

- a. Complaints against companies on the Dissemination Board of Stock Exchange;
- b. Complaints against a liquidated company or a company under liquidation or a company under resolution under the relevant provisions of the Insolvency and

Bankruptcy Code, 2016 (IBC);

- c. Complaints against the companies where the name of company is struck off from Registrar of Companies (RoC) or a Vanishing Company as per list published by Ministry of Corporate Affairs (MCA);
- d. As per the Section 125 of Companies Act, 2013 unclaimed dividends, shares in respect of which dividend has not been paid or claimed, matured debentures, sale proceeds of fractional shares arising out of the issuance of bonus shares, merger and amalgamation, redemption amount of preference shares, which are remaining unpaid or unclaimed for seven or more years are transferred to Investor Education and Protection Fund (IEPF) under Ministry of Corporate Affairs. Complainants can claim the above from IEPF Authority directly as the same is outside the purview of SEBI. Therefore, complaints pertaining to the claim of shares, unclaimed dividends, matured debentures, sale proceeds of fractional shares arising out of issuance of bonus shares, merger and amalgamation, unpaid or unclaimed redemption amount of preference shares, etc., that are transferred to IEPF cannot be dealt on SCORES;
- e. Complaints relating to freezing and unfreezing of PAN pursuant to enforcement actions. Such complaints can be lodged on <https://secure.sebi.gov.in/>;
- f. The relevant Regulators/Authorities for some of the grievances which are not dealt by SEBI are given below:

Grievances pertaining to	Regulators/A uthorities	Website
1. Bank deposits with banks 2. Fixed Deposits with Non-Banking Financial Companies (NBFCs) and 3. Other matters pertaining to NBFCs Primary Dealers	Reserve Bank of India (RBI)/ Banking Ombudsman	http://www.rbi.org.in https://bankingombudsman.rbi.org.in/
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, etc. 4. Nidhi Companies 5. Companies struck off from RoC 6. Vanishing Company. 7. All matters as delegated under overriding powers under Companies Act 2013 8. Sick companies or a company where a moratorium order is passed in winding up 9. Companies under liquidation	Ministry of Corporate Affairs(MCA)	http://www.mca.gov.in
Insurance Companies /Brokers/ Agents/products and Service	Insurance Regulatory and Development Authority of India	http://www.irdaindia.org

	(IRDAI)	
Pension funds	Pension Fund Regulatory and Development Authority (PFRDA)	http://www.pfrda.org.in
Monopoly and anti-competitive Practices	Competition Commission of India (CCI)	http://www.cci.gov.in
Housing Finance Companies	National Housing Bank (NHB)	www.nhb.org.in
Companies where insolvency proceedings has started	Insolvency And Bankruptcy Board Of India	http://www.ibbi.gov.in
Complaints against suspended companies	Respective Stock Exchange	www.bseindia.com www.nseindia.com www.msei.in

5. Is there any time line for lodging complaint on SCORES?

In order to enhance ease, speed and accuracy in the redressal of grievance, the complainant may lodge the complaint against the concerned entity on SCORES within a period of one year from the date of occurrence of the cause of action. If any complaint is filed on SCORES beyond the limitation period specified above, SEBI may reject such complaint.

6. Indicative instance to understand the date of cause of complaint mentioned in FAQ number 5?

If the date of declaration of dividend by a company is 01.01.2024, as per the Companies Act, 2013 the company has to pay the dividend within 30 days from the declaration of the dividend date to all its eligible shareholders. If the company fails to pay the declared dividend within 30 days i.e. by 31.01.2024 as the dividend was declared on 01.01.2024, the date of cause of complaint would be 31.01.2024 and a complaint can be lodged on SCORES within 1 year from 31.01.2024 i.e. on or before 30.01.2025.

7. What mandatory information is required for lodging complaint on SCORES?

- i. For lodging a complaint on SCORES, the following Know Your Customer (KYC) information has to be mandatorily provided by complainants:
 - a. Name
 - b. Address
 - c. E-mail Address
 - d. PAN
 - e. Mobile Number
 - f. Date of Birth
- ii. If any of the above information is not provided by the complainant, the complainant shall not be able to lodge a complaint on SCORES.

8. How can complainant become a registered user?

To become a registered user of SCORES, complainant can click on “Sign in/Sign up” appearing on the homepage of the SCORES portal. Click on Register at ‘Don’t have an account?’ on the pop-up page. The complainant can register on SCORES in two alternate ways.

- a. Fetching Registration Details from the KYC Registration Agency (KRA) database.
(or)
- b. Filling the registration form.

9. How can a complainant register on SCORES by using ‘Fetching Registration details from the KYC Registration Agency (KRA) database’?

Complainant needs to enter the PAN number and Date of Birth. Upon clicking ‘Validate PAN’, the mobile number registered with KRA database will be displayed in the masked format. If the complainant consents to fetch the details from KRA, complainant needs to verify the registered mobile number through One Time Password (OTP) verification. Upon successful OTP verification, the mandatory KYC details required for registering on SCORES will be fetched from the KRA database. Subsequently, the complainant can set user id and password.

10. What to do if the complainant does not have PAN?

- a. In securities market, PAN is a mandatory requirement for transacting and is the sole identifier that is used by SEBI registered intermediaries. However, SEBI has exempted certain groups of investors from the mandatory requirement of PAN for opening/operating Beneficial Owner (BO) accounts with depository participants including for trading in cash market and for investments in mutual funds upto a limit of ₹50,000/- per annum.
- b. In such cases, KRAs issue PAN exempted KYC Registration Number (PEKRN) to the PAN exempted investors in order to align with the uniform KYC process in securities market and provide a unique identifier to such investors which includes the following:
 - a. where such transactions are undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver, etc.;
 - b. UN entities/multilateral agencies exempt from paying tax/filing returns in India
 - c. Investor residing in the state of Sikkim;
 - d. SIP of Mutual Funds up to ₹ 50,000 per annum.
- c. Complainant can enter his/her PEKRN number instead of PAN while registering using the process detailed in point 9 above.

11. How can a complainant register by filling the registration form?

Complainant needs to enter the ‘PAN number’ and ‘Name as per PAN’. Upon clicking ‘Validate PAN’, the PAN is verified through Online PAN Verification facility of Protean eGov Technologies Ltd. Upon successful verification, complainant can enter the required KYC details. It is mandatory to get e-mail address and Mobile Number verified through OTP verification process. Subsequently, the complainant can set user id and password.

12. What to do if complainant does not consent to fetch KYC details from KRA

database?

Complainant can fill the registration form as per the process detailed in point 11 above. The facility to fetch KYC details from KRA database is provided to ease the registration process on SCORES.

13. What to do if the mobile number is not updated with KRA database or/and complainant cannot verify the mobile number fetched through the KRA database?

Complainant can go ahead with filling the registration form as per the process detailed in point 11 above.

14. How can Non Resident Indians (NRIs)/Overseas Citizen of India (OCI) register on SCORES?

NRIs/OCI can register by using any of the two registering process i.e. by fetching the KYC details from KRA database or filling the registration form. However, in order to ease the registration process, it is not mandatory for NRIs/OCI to enter Indian Mobile Number and getting it verified while filling the registration form. The e-mail ID of the complainant however, shall be verified using OTP.

15. How can complainant sign in to lodge his/her complaint?

- i. Complainant can sign in to their account using either of the following ways:
 - a. by entering User ID set by complainant while registering on SCORES;
 - b. by entering registered Mobile Number; or
 - c. by entering registered E-mail ID.
- ii. Complainant have to enter the OTP sent to the Mobile Number/ e-mail ID as well as password to access the 'Investor Dashboard'.

16. How can complainant lodge a complaint?

Complainant can click on 'Lodge a complaint'. The complainant needs to choose the appropriate category/ sub-category of complaint and lodge the complaint against the concerned entity.

17. Can complainant choose multiple sub-categories for lodging complaint.

There will be situations where there can be multiple nature of complaint against the concerned entity. In such cases, the complainant can choose up to 5 sub-categories against the same entity so that proper redressal on all the issues in complaint may be received from the concerned entity. This can be done simply by clicking on multiple sub-categories while lodging the complaint.

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

Certain characters are not accepted for security reasons. However, the characters which are permissible like (.,-&) are mentioned against each field while lodging the complaint. The system would not allow the complainant to enter the characters which are not acceptable.

19. Can complainant attach a document along with their complaint?

Yes, if any supporting document is required to be attached along with the complaint, complainant can upload that document at the time of lodging the complaint. The acceptable file formats are jpg, jpeg, pdf, audio files, video files etc. Complainant can upload up to 10 files cumulatively up to a maximum size of 20 MB. In case complainant selects multiple sub-categories, the cumulative size of documents acceptable would also be 20 MB.

20. How are complaints handled on SCORES?

i. Submission of the Complaint and handling of the Complaint by the Entity:

- a. The Complaints lodged on SCORES against any Entity will be automatically forwarded to the concerned Entity through SCORES for resolution and submission of Action Taken Report ("ATR"). Entities shall resolve the Complaint and upload the ATR on SCORES within 21 calendar days of receipt of the Complaint. The ATR of the entity will be automatically routed to the complainant.
- b. The Complaint will also be simultaneously forwarded through SCORES to the relevant Designated Body. The Designated Body will have to ensure that the concerned Entity submits the ATR within the stipulated time of 21 calendar days.

ii. First review of the Complaint:

- a. If the complainant is not satisfied with the ATR submitted by the entity, the complainant can request for a review of the resolution provided by the entity within 15 calendar days from the date of the ATR. The complaint will be kept pending for 15 calendar days' post submission of ATR awaiting review from the complainant, if any.
- b. In case the complainant has requested for a review of the resolution provided by the entity or the entity has not submitted the ATR within the stipulated time of 21 calendar days, the Designated Body will take up the first review with the concerned Entity, wherever required and submit the ATR to the complainant within 10 Calendar days.

iii. Second Review of the Complaint:

- a. If the complainant is not satisfied with the resolution provided during first level review by the Designated Body, the complainant can request for a review of the resolution provided by the Designated Body within 15 calendar days from the date of the ATR. The complaint will be kept pending for 15 calendar days awaiting review from the complainant, if any.
- b. In case the complainant has requested for a review of the resolution provided by the Designated Body or the concerned Designated Body has not submitted the ATR within 10 calendar days, SEBI will take up the second review with the Designated Body or/and the concerned entity.

21. What happens if the entity fails to submit ATR to the complainant in 21 calendar days or the Designated Body fails to submit ATR to the complainant for first level review within 10 calendar days?

The complaint will be treated as failure to redress the grievance within the stipulated time and will be automatically escalated to the next level review as detailed in FAQ 20.

22. How can complainant check the status of their complaint?

Complainant can login to SCORES as per the process detailed in FAQ no. 15. The status of the complaint can be viewed in the Investor dashboard section. Further, the complainant can check the complete Action History of the complaint by clicking on the registration number. Kindly note that complainant will also receive e-mail and SMS notifications on the registered e-mail ID and registered Mobile Number, whenever Entity/ Designated Bodies/SEBI seeks clarification, submits ATR, etc.

23. Can complainants send reminder for their complaint?

An automatic reminder system has been inbuilt in the system. The concerned entity will receive reminder on 10th and 15th day of receipt of complaint to expedite redressal of the complaint if ATR is not submitted. Similarly, the Designated Body will receive reminder on the 5th day of receipt of first level review to expedite redressal of the complaint.

24. How can complainant reply to a clarification sought from them?

It is possible that the concerned Entity or/and Designated Body or/and SEBI Dealing Officer may require clarification from the complainant in order to proceed with the redressal of the complaint. Complainant can click on the complaint registration number and view the entire action history. Click on the 'Provide Clarification' button below to provide the clarification. Complainant shall provide the clarification within the stipulated time so as to ensure that all the timelines are adhered to strictly. Complainant will also receive e-mail and SMS notifications on the registered e-mail ID and registered Mobile Number, whenever Entity/ Designated Bodies/SEBI seeks clarification.

25. When are SCORES complaint disposed of?

- i. A SCORES complaint will be disposed only under the below mentioned scenarios:
 - a. Complainant is satisfied with the resolution provided by the concerned Entity or the Designated Body (at first level review) and does not choose to review the complaint within the 15 calendar days from the date of receipt of ATR from the concerned Entity or the Designated Body in case of first level review.
 - b. SEBI Dealing Officer disposes the complaint post second level review on receipt of satisfactory ATR from concerned entity or/and Designated body or in cases where complainant raises issues, which require adjudication on any third party rights, on questions of law or fact or which is in the nature of a *lis* between parties.
 - c. Complainant opts to withdraw their complaint by opting for Online Dispute Resolution mechanism on smartodr.in.
- ii. Complainant will also receive e-mail, SMS notifications on the registered e-mail ID and registered Mobile Number upon disposal of the complaint on SCORES.

26. What can complainants do if they are not satisfied with the disposal of their complaint?

If complainants are not satisfied with the disposal of their complaints on SCORES, then they can approach Online Dispute Resolution mechanism, consumer courts or other appropriate civil remedies as they deem fit.

27. Can complaints be lodged through Mobile App?

Complainants can also lodge complaints through SCORES mobile app which is available on Android and iOS. The process of registration and lodging the complaint are same as done through SCORES website www.scores.sebi.gov.in.

28. Can complainants share feedback through SCORES website?

On disposal of complaints, case disposal notification is sent to the complainant which also contains a link to provide feedback. Complainant can provide feedback by clicking on the same within 15 days of the receipt of closure notification. Feedback received can help us in improving the grievance redressal mechanism.

29. Can SEBI SCORES handle disputes between complainant and entities?

SEBI SCORES platform is a facilitator of redressal of complainant's grievance from SEBI regulated entities and does not adjudicate disputes between the complainant and the entity. In such cases, complainant may approach Online Dispute Resolution mechanism, consumer courts or other appropriate civil remedies.

30. Can complainant take legal action on their own?

Securities and other laws provide important legal rights and remedies if complainants have suffered wrong. Acting on their own, they can seek remedy through the courts, consumer courts, or Online Dispute Resolution mechanism under the aegis of Market Infrastructure Institutions [as per SEBI master circular SEBI/HO/OIAE/OIAE_IAD-1/P/CIR/2023/145 dated July 31, 2023].

31. Can complainant make numerous complaints in SCORES on a single matter?

If complainants are not satisfied with the disposal of their complaint on SCORES, then they can approach Online Dispute Resolution mechanism, consumer courts or other appropriate civil remedies as deemed fit. However, if complainant keeps lodging the same/similar complaint again and again without any fresh facts, then SEBI may eventually classify the complainant as a chronic complainant.

32. Who is a chronic complainant?

A chronic complainant is a person/ entity who keeps repeatedly lodging the same/similar complaint despite the complaint being suitably handled, redressed/escalated thereby unnecessarily loading the system and wasting resources. For example, such complainants do not

- a. Do not provide new facts and keep complaining on the same/ similar issues;
- b. Substantiate their allegations with documentary proofs;
- c. Avail Online Dispute Resolution mechanism;
- d. Accept SEBI's lack of jurisdiction in contractual disputes, sub-judice matter etc.

33. What happens if a complainant is classified as a chronic complainant?

If a complainant is classified as a chronic complainant, then the e-mail ID of the chronic complainant will be blocked by SEBI. No e-mail shall be received from the blocked e-mail ID of the chronic complainant. Any e-mail, from the same chronic complainant but from a different e-mail ID, also shall not be processed and be blocked by SEBI. SCORES' credential of such chronic complainant including PAN and e-mail shall also be blocked by SEBI. The chronic complainant will not be able to login into SCORES, file any fresh complaint or check the status of previously filed complaint.

34. How can chronic complainant unblock his e-mail ID/ SCORES credentials?

The complainant who is categorized as chronic complainant can request for changing the chronic complainant status along with an undertaking to SEBI that the chronic complaint will not be taken up further. Accordingly, chronic complainant status would be reviewed and e-mail ID/ SCORES credentials may be unblocked.

35. When can complainants refer their case to Online Dispute Resolution i.e. Conciliation or/and Arbitration?

- a. Complainants can approach the Online Dispute Resolution mechanism (governed by SEBI Master Circular SEBI/HO/OIAE/OIAE_IAD-1/P/CIR/2023/145 for Online Dispute Resolution dated July 31, 2023) or other appropriate civil remedies at any point of time. In case the complainant opts for Online Dispute Resolution mechanism or other appropriate civil remedies while the complaint is pending on SCORES, the complaint shall be treated as disposed on SCORES.
- b. Complainant can also visit their nearest Investor Service Centers (ISCs) of Stock Exchanges, in case he/she needs any assistance for availing the Online Dispute Resolution mechanism. The details of ISCs of NSE and BSE are available on their respective websites at https://www.bseindia.com/static/about/contact_us.aspx?expandable=5 and <https://www.nseindia.com/contact/complainant-services-centre>. The same is also available on SEBI investor website at https://investor.sebi.gov.in/iscs_contacts.html.

36. Can a complainant lodge a complaint on SCORES post the same matter has been concluded in the Online Dispute Resolution mechanism?

No. In case the complainant lodges such complaint on SCORES, the concerned Entity or Designated Body can submit ATR to the complainant stating that the subject matter of complaint is concluded in the Online Dispute Resolution mechanism. SEBI will also dispose of the complaint, in case second level review is sought by the complainant. The conclusion of matter in ODR also involves any stage of ODR including pre-conciliation, conciliation and arbitration.

37. Is there a telephone number where complainants can call to get help on matters related to SCORES?

The toll free helpline service numbers are 1800 266 7575 or 1800 22 7575. The toll free helpline service is available to investors from all over India and is in 8 languages viz. English, Hindi, Marathi, Gujarati, Tamil, Bengali, Telugu, Kannada. The toll free helpline service is available on all days from 9:00 a.m to 6:00 p.m (excluding declared holidays). The toll free helpline service will answer to queries on

- Lodging of complaints on SCORES

- Knowing the status of complaint
- Other matters related to complaints

38. How can complainants learn more on other issues related to securities market?

Complainants 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
<https://www.sebi.gov.in/sebiweb/other/OtherAction.do?doFaq=yes>
<https://investor.sebi.gov.in/>

39. Can complainants lodge complaint on SCORES about market or price manipulation or violation of insider trading regulations in shares, accounting manipulation/frauds etc., by listed companies, price/volume manipulation, rumours/buy sell tips and other surveillance issues pertaining to commodity derivatives etc.?

No. SCORES shall only be a facilitative platform for complainants to get redressal of their grievances from the concerned entity. Information given to SEBI regarding violation of any of the provisions of the securities laws are in nature of Market Intelligence. The information provided on such matters will be treated as confidential market intelligence and not as a complaint on SCORES. This information will be analysed and if found necessary, further action will be taken. The status of information cannot be disclosed as SEBI conducts the examinations confidentially in a holistic manner. SEBI will neither confirm nor deny the existence of any examinations as the same may be a price sensitive information. Any regulatory actions taken by SEBI are published on SEBI website at www.sebi.gov.in. Complainants can give their Market Intelligence input only on Market Intelligence portal (mi.sebi.gov.in).

SECTION: II (FAQ for Listed Companies, Registered Intermediaries, Market Infrastructure Institutions and companies intending to list securities)

1. Is it necessary for all listed companies, SEBI registered intermediaries and market infrastructure institutions ('Entities') to take SCORES authentication?

Yes

2. 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.

3. How to get SCORES Authentication?

1. All companies intending to get their securities listed on the recognized stock exchanges shall obtain SCORES authentication through the online mechanism available at the SCORES website www.scores.gov.in.
2. The companies shall be required to apply for the authentication through the online form available on the abovementioned SCORES website in accordance with the

instruction document provided on the website.

3. Companies shall attach a declaration, with the online form, on the letter head of the company signed by the Compliance Officer, as under:

4. Companies intending to list on Main Board: A declaration that the Draft Red Herring Prospectus has been submitted to SEBI.

5. Companies intending to list on SME/Debt Platform of stock exchange: A declaration that an application to list its securities has been submitted with the stock exchange/in-principal approval to list its securities has been obtained from the stock exchange.

6. The SCORES credentials shall be sent to the e-mail ID of the Compliance Officer or the Dealing Officer as provided in the online form.

7. The procedure for generation of SCORES user ID and password is fully automated for all SEBI registered intermediaries and MIs registered or recognised by SEBI after August 02, 2019. SCORES user ID and password details shall be sent through auto-generated e-mails, upon completion of process of online grant of registration by SEBI.

8. The SCORES user ID and password details shall be sent to the e-mail ID of the Contact Person or the Compliance Officer as provided in the online Registration Form (submitted through the SEBI Intermediaries Portal – <https://siportal.sebi.gov.in>).

4. What details will the entities receive upon getting SCORES Authentication?

Entities will receive user ID and password to login into SCORES on the e-mail ID registered with SEBI.

5. Can the listed companies / SEBI registered intermediaries / market infrastructure institutions who have taken SCORES authentication, update their details in SCORES?

Yes, the SCORES system enables the listed companies / SEBI registered intermediaries / market infrastructure institutions 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 entities immediately when warranted. However, Company name, State and Primary e-mail address cannot be updated by the entities themselves. To update these fields, the entities may send an e-mail to scores@sebi.gov.in with a request to change the same.

6. Where can the entities access the complaints lodged against them on SCORES?

Entities can login to www.scores.sebi.gov.in. The landing page of SCORES is same for the complainants, entities and the Designated Bodies.

- Click on Sign in/ Sign up. Entities should sign in by entering the user ID.
- The user ID will be verified through OTP verification of the registered e-mail ID of the entity.
- Enter the password.
- Entities can access their 'Entity Dashboard' in which all the complaints lodged against the entity can be accessed.

7. What are the different buckets provided in the 'Entity Dashboard'?

Label	Meaning
Pending Auto Assigned Complaints	The complaints lodged on SCORES are automatically assigned to the concerned Entities. All such complaints are available in this bucket. Entities are required to submit

	ATR to the complainant within 21 Calendar days.
Pending First level Review complaints	First Level review complaints forwarded by the Designated Bodies to resubmit the ATR. First level review complaints here include: <ul style="list-style-type: none"> a. In case complainant is not satisfied with the ATR submitted by the entity and has sought review of the resolution provided by entity (or) b. Entity fails to submit the ATR within 21 calendar days.
Pending SEBI Review complaints	Second Level review complaints forwarded by SEBI to resubmit the ATR. Second level review complaints here include: <ul style="list-style-type: none"> a. In case complainant is not satisfied with the ATR submitted by the Designated Body for first level review and has sought review of the resolution provided by the designated body (or) b. Designated Body fails to submit the (ATR) within 10 calendar days for first level review.
CPGRAMS complaints	Complaints received through Centralized Public Grievance Redress and Monitoring System (CPGRAMS) of Department of Administrative Reforms and Public Grievances. The ATR submitted in these complaints will be routed to SEBI.
CPGRAMS Appeals	Appeals against the closure of the complaints received through CPGRAMS by SEBI and forwarded by SEBI/ Designated Body for providing revised ATR.
Reports	Entities can generate their customized reports.
My Profile	Registration details of the Entity.

8. What is the timeline within which entities are required to submit ATR to the complainant?

Entities are mandated to submit the ATR to the complainant within 21 calendar days of receipt of complaint on SCORES. The timelines can be monitored from the dashboard. The dashboard also displays 'Days Remaining' for first level review.

9. What to do if the complaint lodged does not pertain to the 'Entity'?

The Entity can request the concerned Designated Body, if available to transfer the complaint to the appropriate entity. Alternatively, the Entity can provide ATR to the complainant advising the complainant to lodge the complainant against appropriate entity.

10. Can Entity seek clarification from the complainant?

It is possible that the Entity may require clarification from the complainant in order to proceed with redressal of the complaint. In such cases, entity can seek clarification from the complainant through SCORES by clicking on 'Seek Clarification' in the action history of the complaint. Kindly note that complainant will also receive e-mail, SMS notifications on the registered e-mail ID and registered mobile number, whenever Entity seeks clarification. Hence, entities are not required to send e-mail to the complainant separately.

11. What will happen if Entity fails to submit the Action Taken Report to the complainant within 21 Calendar Days?

The complaint will be treated as failure on part of the entity to redress the grievance within the stipulated time and will be automatically escalated to the first level review by the Designated Body or SEBI (in cases where there is no Designated Body).

12. Will the complaint be shown as pending despite submitting the Action Taken Report to the complainant?

The complaint will be kept pending for period of 15 calendar days. However, the status of the complaint will be shown as 'Awaiting Review'. The reports will show that the complaint is pending with the complainant 'Awaiting Review' and not pending with the Entity.

13. Can Designated Body forward the complaint to Entity or/and seek clarification?

Yes. In case the complainant has sought first level review, the Designated Body, wherever required, can forward the complaint to the Entity for providing revised ATR. Further, in case the revised ATR provided by Entity to the Designated Body is not satisfactory, the Designated Body can also seek clarification from the Entity.

14. Can SEBI forward the complaint to Entity or/and Seek Clarification?

In case the complainant has sought second level review, the SEBI Dealing Officer, wherever required, can forward the complaint to the Entity for providing revised ATR. Further, in case the revised ATR provided by Entity to the SEBI Dealing Officer is not satisfactory, the SEBI Dealing Officer can also seek clarification from the Entity.

15. Can Entity seek clarification from the complainant at any of the review stage?

Yes, entity can seek clarification from the complainant through SCORES by clicking on 'Seek Clarification' in the action history of the complaint.

16. When are SCORES complaint disposed of?

A SCORES complaint will be disposed only under the below mentioned scenarios:

- a. Complainant is satisfied with the resolution provided by the concerned Entity or the Designated Body (at first level review) and does not choose to review the complaint within the 15 calendar days' period from the date of receipt of ATR from the concerned Entity or the Designated Body in case of first level review.
- b. SEBI Dealing Officer disposes the complaint post second level review on receipt of satisfactory ATR from concerned entity or/and Designated body (or)
- c. where complainant raises issues which require adjudication on any third party rights, on questions of law or fact or which is in the nature of a *lis* between parties.
- d. Complainants opts for Online Dispute Resolution mechanism on smartodr.co.in or other appropriate civil remedies.

17. What to do if the subject matter of complaint is pending on Online Dispute Resolution mechanism or concluded through Online Dispute Resolution mechanism?

As per SEBI circular with ref. no. dated SEBI/HO/OIAE/IGRD/CIR/P/2023/156

September 20, 2023, in case the complainant opts for Online Dispute Resolution mechanism or other appropriate civil remedies while the complaint is pending on SCORES, the complaint shall be treated as disposed of on SCORES. Accordingly, Entities can submit ATR to the complainant indicating that the matter is pending on smartodr.co.in. Similar approach may be maintained for matters concluded through Online Dispute Resolution mechanism.

SECTION: III (FAQ for Designated Bodies)

1. Is it necessary for all Designated Bodies to take SCORES authentication?

Yes

2. How to get SCORES Authentication?

The procedure for obtaining SCORES Authentication is detailed in SEBI circular with reference no. SEBI/HO/OIAE/IGRD/CIR/P/2023/156 dated September 20, 2023. Accordingly, designated bodies are required to submit the registration form provided in Schedule IV of the said circular.

3. What details will the Designated Bodies receive upon getting SCORES Authentication?

Designated Bodies will receive user ID and password to login into SCORES on the e-mail ID registered with SEBI.

4. Can the Designated Body update their details in SCORES?

Yes, the SCORES system enables the Designated Body to update on their own certain information such as address, name/details of the nodal officer. Such information should be updated by the Designated Body immediately when warranted. However, name and SCORES details (i.e. e-mail ID) cannot be updated by the Designated Bodies themselves. To update these fields, the entities may send an e-mail to scores@sebi.gov.in along with a revised Schedule-IV with a request to change the same. Therefore, Designated Bodies may provide generic e-mail ID for taking SCORES authentication.

5. Where can the Designated Bodies access the complaints lodged against them on SCORES?

Entities can login to www.scores.sebi.gov.in. The landing page of SCORES is same for the complainants, entities and the Designated Bodies.

- a. Click on Sign in/ Sign up. Designated Bodies should sign in by entering the user ID.
- b. The user ID will be verified through OTP verification of the registered e-mail ID of the Designated Body.
- c. Enter the password.
- d. Designated Bodies can access their 'Designated Body Dashboard' in which all the complaints can be accessed.

6. What are the different buckets provided in the 'Designated Body Dashboard'?

Label	Meaning
Total Pending Complaints	All the complaints can be viewed in this dashboard.
Pending Complaints for Monitoring	Complaints that are auto assigned to the concerned entities. The role of Designated Body is to monitor timely submission of ATR by the concerned Entity.
Pending First Level Review complaints	First level review complaints include: <ul style="list-style-type: none"> a. In case complainant is not satisfied with the ATR submitted by the entity and has sought review of the resolution provided by entity (or); b. Entity fails to submit the ATR within 21 calendar days.
Pending SEBI Review Complaints	Second Level review complaints forwarded by SEBI to resubmit the ATR through SCORES. Second level review complaints here include: <ul style="list-style-type: none"> a. In case complainant is not satisfied with the ATR submitted by the Designated Body for first level review and has sought review of the resolution provided by the designated body (or) b. Designated Body fails to submit the ATR within 10 calendar days for first level review.
CPGRAMS complaints	Complaints received through Centralized Public Grievance Redress and Monitoring System (CPGRAMS) of Department of Administrative Reforms and Public Grievances. The complaints are automatically routed to the concerned entity. Designated Bodies to ensure that the entities submit ATR within 21 calendar days. The ATR submitted by entity in these complaints will be routed to SEBI. In case the entity fails to submit the ATR within 21 Calendar Days, the complaint will be auto-escalated to the Designated Bodies. The ATR submitted by Designated Body in these complaints will be routed to SEBI.
CPGRAMS appeals	Appeals against the closure of the complaints received through CPGRAMS by SEBI and forwarded by SEBI for providing revised ATR.
Reports	Designated Body can generate their customized reports.
My profile	Registration details of the Designated Body.

7. What is the role of Designated Body in monitoring the complaints?

Entities are mandated to submit the ATR to the complainant within 21 Calendar days for complaints auto-assigned to the entity. The timelines can be monitored from the dashboard. The dashboard also displays 'Days Remaining' for first level review. Designated Bodies need to ensure that the ATRs are submitted by the entities within 21 calendar days.

8. Can Designated Bodies send reminder to the Entities through SCORES?

An automatic reminder system is inbuilt in the system. The concerned entity will receive automatic reminder on 10th and 15th day of receipt of complaint to expedite redressal of the complaint.

9. What to do if the complaint lodged does not pertain to the 'Entity'?

The Designated Body can transfer the complaint to other entity on request of the concerned entity and/or if found, while monitoring the complaint, that the complaint pertains to other entity.

10. Can Designated Body transfer the complaint to other Designated Body within the same category during the initial 21 Calendar Days?

Yes. This provision is applicable in case multiple Designated Bodies are available for a particular category and can be exercised by clicking on 'Transfer to other Designated Body' below the Action History of the complaint. For Example: NSE can transfer the complaint to BSE in the capacity of Designated Body. The Entity against which the complaint was lodged will remain the same.

11. Can Designated Body transfer the complaint to other Designated Body of other category during the initial 21 Calendar Days?

Yes. This provision can be exercised by clicking on 'Transfer to Other Category' below the Action History of the complaint. The Entity against which the complaint was lodged will be changed in this case.

12. Can Designated Body seek clarification from the complainant for first level review complaint?

It is possible that the Designated Body may require clarification from the complainant in order to proceed with redressal of the first level review complaint. In such cases, Designated Body can seek clarification from the complainant through SCORES by clicking on 'Seek Clarification' in the action history of the complaint. Kindly note that complainant will also receive e-mail, SMS notifications on the registered e-mail ID and registered mobile number, whenever Designated Body seeks clarification.

13. What is the timeline within which Designated Bodies require to submit ATR to the first level review complainant?

Designated Bodies are mandated to submit the ATR to the complainant within 10 Calendar days. The timelines can be monitored from the dashboard. The dashboard also displays 'Days Remaining' for SEBI level review.

14. What will happen if Designated Body fails to submit the ATR to the complainant within 10 Calendar Days for first level review?

The complaint will be treated as failure on part of the Designated Body to redress the grievance within the stipulated time and will be automatically escalated to the Second level review by SEBI.

15. Will the complaint be shown as pending despite submitting the ATR to the complainant?

The complaint will be kept pending for period of 15 calendar days. However, the status of the complaint will be shown as 'Awaiting Review'. The reports will show that the

complaint is pending with the complainant 'Awaiting Review' and not pending with the Designated Body.

16. Can Designated Body forward the complaint to Entity or/and seek clarification?

In case the complainant has sought first level review, the Designated Body, wherever required, can forward the complaint to the Entity for providing revised ATR. Further, in case the revised ATR provided by Entity to the Designated Body is not satisfactory, the Designated Body can also seek clarification from the Entity.

17. Can SEBI forward the complaint to Designated Body or/and Seek Clarification?

In case the complainant has sought second level review, the SEBI Dealing Officer, wherever required, can forward the complaint to the Designated Body for providing revised ATR. Further, in case the revised ATR provided by Designated Body to the SEBI Dealing Officer is not satisfactory, the SEBI Dealing Officer can also seek clarification from the Designated Body.

18. Can Designated Body seek clarification from the complainant at Second Level Review stage?

Yes, Designated Body can seek clarification from the complainant through SCORES by clicking on 'Seek Clarification' in the action history of the complaint.

19. When are SCORES complaint disposed of?

A SCORES complaint will be disposed only under the below mentioned scenarios:

- a. Complainant is satisfied with the resolution provided by the concerned Entity or the Designated Body (at first level review).
- b. Complainant does not choose to review the complaint within the 15 calendar days' period from the date of receipt of ATR from the concerned Entity or the Designated Body in case of review.
- c. SEBI Dealing Officer disposes of the complaint post second level review on receipt of satisfactory ATR from concerned entity or/and Designated body (or) in cases where complainant raises issues, which require adjudication on any third party rights, on questions of law or fact or which is in the nature of a *lis* between parties.
- d. Complainant opts for Online Dispute Resolution mechanism on smartodr.co.in or other appropriate civil remedies.

20. What to do if the subject matter of complaint is pending on Online Dispute Resolution mechanism or concluded through Online Dispute Resolution mechanism (ODR)?

As per SEBI circular with ref. no. dated SEBI/HO/OIAE/IGRD/CIR/P/2023/156 September 20, 2023, in case the complainant opts for Online Dispute Resolution mechanism or other appropriate civil remedies while the complaint is pending on SCORES, the complaint shall be treated as disposed of on SCORES. Accordingly, Designated Bodies can submit ATR to the complainant indicating that the matter is pending on smartodr.co.in. Similar approach may be maintained for matters concluded through ODR mechanism.

21. What is a Sub-User?

Designated Bodies can create Sub-Users for administrative convenience in redressing

the complaints. Sub-users can be created by selecting- 'create sub user' and entering the details. Generic E-mail ID may be provided while creating sub-user as e-mail communications like OTP, reminders etc. can be sent to the sub-users.

22. How can Designated Body set routing for the Sub-User?

The Designated Body can set routing to the Sub-User created as per FAQ no. 21 by clicking on 'Sub User Routing'. The routing can be set based on State, Name of the Entity and Alphabetical Sequence.

23. Can Designated Body disable a Sub-User from submitting the final ATR to the complainant directly?

Yes. The sub-user can be disabled from submitting final ATR to complainant directly by clicking on 'No' while creating the sub-user.