

Redressal of investor grievances through the SEBI Complaint Redressal (SCORES) Platform and linking it to **Online Dispute Resolution platform**

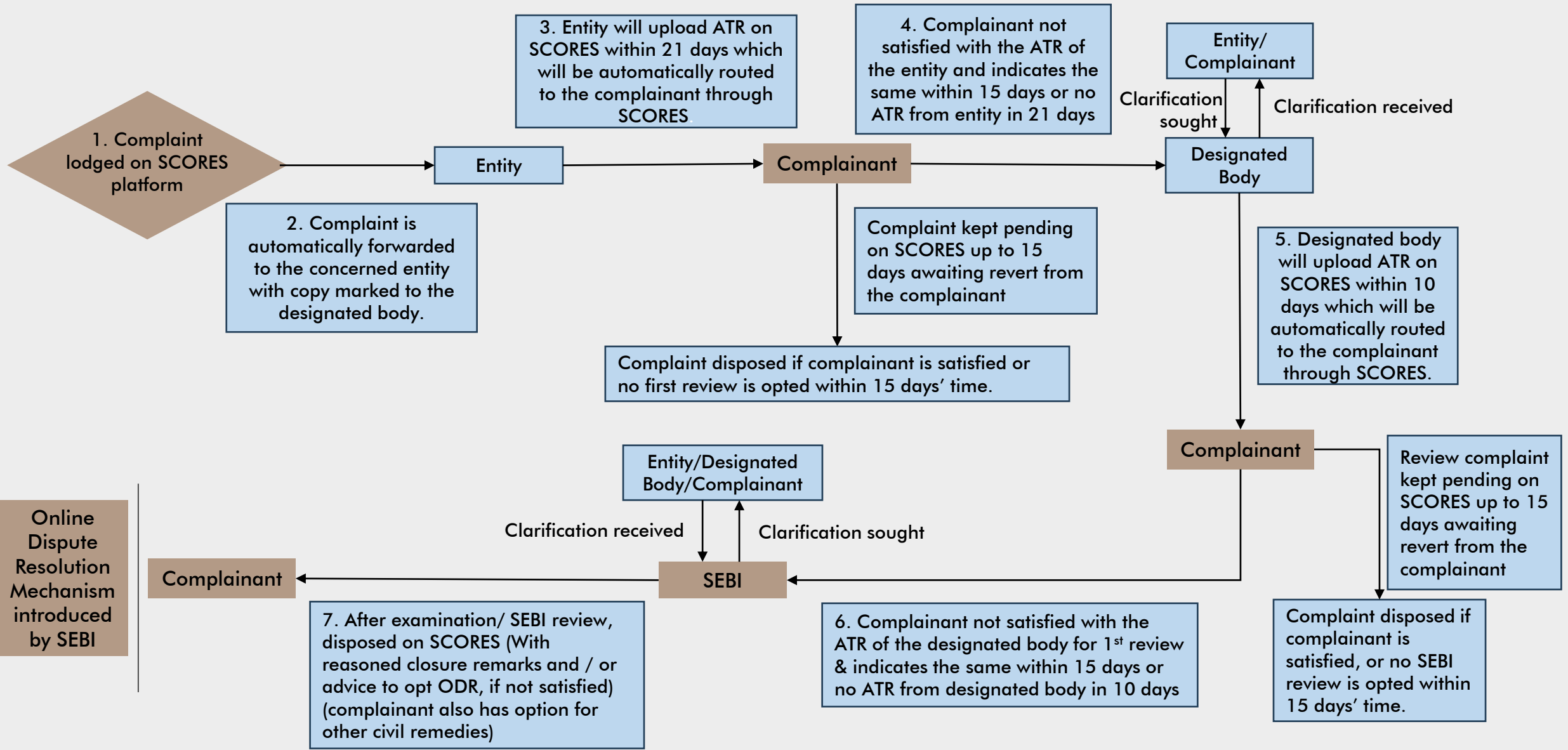
September 20, 2023

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Framework for handling of investor grievances received through SCORES by Entities & monitoring of the redressal process by designated bodies



Online Dispute Resolution Mechanism introduced by SEBI

Designated Body

SR No	Intermediary	Name of the Designated Body
1.	Listed companies	Stock Exchanges
2.	Merchant Bankers	Association of Investment Bankers of India (AIBI)
3.	Bankers to an Issue	Association of Investment Bankers of India (AIBI)
4.	Real Estate Investment Trusts	Indian REITs Association
5.	Municipal Debt Securities	Stock Exchanges
6.	Debenture Trustees	Trustees Association of India
7.	Portfolio Managers	Association of Portfolio Managers in India (APMI)
8.	Mutual Funds	Association of Mutual Funds in India (AMFI)
9.	Depository Participants	Depositories
10.	Investment Advisers	BSE Administration & Supervision Ltd. (BASL)
11.	Registrars to an Issue and Share Transfer Agents	Stock Exchanges
12.	Stockbrokers	Stock Exchanges
13.	Vault Managers	Depositories

SOURCE : SEBI CIRCULAR No - SEBI/HO/OIAE/IGRD/CIR/P/2023/156

Category of Complaints

- 1 Non updation of address /Signature or Corrections etc.
- 2 Non-receipt of Bonus and Dividend.
- 3 Non receipt duplicate debt securities certificate
- 4 Non-receipt of duplicate share certificate
- 5 Non receipt of fractional entitlement
- 6 Non receipt of interest for delay in dividend
- 7 Non receipt of interest for delay in payment of interest on debt security
- 8 Non receipt of interest for delay in redemption proceeds of debt security

SOURCE : SEBI CIRCULAR No - SEBI/HO/OIAE/IGRD/CIR/P/2023/156

9

Non receipt of interest for delay in refunds

10

Non receipt of interest on securities

11

Non receipt of redemption amount of debt securities

12

Non receipt of refund in Public/ Rights issue

13

Non receipt of Rights Issue form

14

Non receipt of securities after conversion/ endorsement/ consolidation/ splitting

15

Non receipt of securities after transfer

16

Non receipt of securities in public/ rights issue

SOURCE : SEBI CIRCULAR No - SEBI/HO/OIAE/IGRD/CIR/P/2023/156

17 Non receipt of shares after conversion/ endorsement/ consolidation/ splitting

18 Non receipt of shares after transfer and Transmission

19 Non receipt of shares in public/ rights issue (including allotment letter)

20 Non-receipt of interest for delay in dispatch/credit of securities

21 Receipt of refund/ dividend in physical mode instead of electronic mode

22 Receipt of shares in physical mode instead of electronic mode

23 Demat/Remat

24 Complaints of any other nature as may be informed from time to time

SOURCE : SEBI CIRCULAR No - SEBI/HO/OIAE/IGRD/CIR/P/2023/156

Types of complaints shall not be dealt through SCORES

1

Complaints against companies which are **unlisted/delisted and companies on Dissemination Board of Stock Exchanges** (except complaints on valuation of securities).

2

Complaints relating to cases pending in a court or subject matter of quasi-judicial proceedings, matters pending with Online Dispute Resolution of SEBI etc.

3

Complaints within the jurisdiction of regulatory bodies like **RBI, IRDAI, PFRDAI, CCI, or other ministries**

4

Complaints against a company under resolution under the relevant provisions of **the Insolvency and Bankruptcy Code, 2016 (IBC)**.

5

Complaints against the companies where the name of company is struck off from **Register of Companies (RoC) or a vanishing company as published by MCA**.

6

Liquidated Companies or companies under liquidation.

7

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**.

SOURCE : SEBI CIRCULAR No - SEBI/HO/OIAE/IGRD/CIR/P/2023/156