

SEBI – Redressal of Investor Grievances Through The SEBI Complaint Redressal (SCORES) Platform

Schedule III

(To SEBI/HO/OIAE/IGRD/CIR/P/2023/156 dated September 20, 2023) Complaint lodged on SCORES platform Complaint is automatically forwarded to the concerned entity with copy marked to the designated body. Entity Entity will upload ATR on SCORES within 21 days which will be automatically routed to the complainant through SCORES. Complaint kept pending on SCORES Complaint disposed if upto 15 days awaiting revert from the complainant complainant is satisfied or no first Complainant review is opted within 15 days' time. Complainant not satisfied with the ATR of the entity and indicates the same within 15 days or no ATR from entity in 21 days Clarification sought Entity/Complainant Designated Body Clarification received Designated body will upload ATR on SCORES within 10 days which will be automatically routed to the complainant through SCORES. Review complaint kept pending on SCORES upto Complaint disposed if complainant is 15 days awaiting revert from the complainant Complainant satisfied or no SEBI review is opted within 15 days' time. Complainant not satisfied with the ATR of the designated body for 1st review and indicates the same within 15 days or no ATR from designated body in 10 days Clarification sought Entity/ designated SEBI body/Complainant Clarification received

After examination/ SEBI review, disposed on SCORES (With reasoned closure remarks and/ or advice to opt ODR, if not satisfied) (complainant also has option for other civil remedies)

Complainant

Online Dispute Resolution Mechanism introduced by SEBI



Schedule IV

(To SEBI/HO/OIAE/IGRD/CIR/P/2023/156 dated September 20, 2023)

A.	Name of the Designated Body:	
В.	Registered Office Address:	-
		_
		_
 С.	Identification Number (PAN or specify):	_
D.	Date of incorporation:	- -
E.	SCORES Details:	
	i. E-mail ID (For the purpose of SCORES Authentication):	
	ii. Phone Number:	- -
	iii. Mobile Number (Optional):	_
F.	Nodal Officer Details:	
	i. Name:	_
	ii. Designation:	
	iii. Mobile Number:	_
	iv. E-mail ID:	_
	v. Phone Number (Optional):	_



Schedule VI

(To SEBI/HO/OIAE/IGRD/CIR/P/2023/156 dated September 20, 2023)

Timelines for handling of complaints and actions in case of non-compliances

Sr. No.	Activity	No of Calendar Days
1.	Complaint handling:	
a.	Complaint received in SCORES by the listed company	Т
2	Action in case of non-compliances:	
a.	Notice to Listed company intimating the fine	T+61
	@₹1000/- per day, per complaint to be levied for not	
	resolving the complaints within 60 days	
b.	Notice to Promoters for non-resolution of complaints	T+76
	and nonpayment of fine to the stock exchange.	
c.	Freezing of promoter's shareholdings (i.e. entire	T+86
	shareholding of the promoter(s) in listed company as	
	well as all other securities held in the demat account	
	of the promoter(s)) in demat account.	
d.	Stock exchanges may take any other actions,	
	as deemed appropriate.	
e.	Once Stock exchange has exhausted all options and	
	yet the number of pending complaints exceed 20 or	
	the value involved is more than ₹ 10 lakhs, the Exchange	
	to forward the details of such Listed companies to SEBI	DIN
	for further action, if any	C KILL