



SCORES

***“SEBI Complaint
Redress System”***

Disclaimer



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- ❖ The information contained in this presentation is only for Educational and Awareness Purposes related to securities market .
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- Introduction to SCORES
- Salient Features of SCORES
- Working of SCORES
- Process Flow of Complaint in SCORES
- Matters not treated as complaints on SCORES
- Timeline to Lodge Complaint on SCORES
- Mandatory information for registering on SCORES
- How to Lodge a Complaint on SCORES

Introduction to SCORES



SCORES is an online platform wherein investors can lodge complaints pertaining to securities market.

This platform is designed for investors to file complaints against:

- Listed companies.
- SEBI-registered intermediaries

Website url: <https://scores.sebi.gov.in/>

SCORES Mobile App available on IOS and Android.

Salient Features of SCORES



Uniform timelines for redressal of investor complaints

- 21 Calendar days from date of receipt of complaint

Auto-routing

- Auto routing of the complaints to the concerned regulated entity so as to eliminate time lapses, if any, in the flow of complaints.

Monitoring of Complaint

- Complaints are monitored by the 'Designated Bodies, for timely redressal of the investors' complaints.

Two levels of review

- First review by the 'Designated Body' if the investor is dissatisfied with the resolution provided by the concerned regulated entity.
- Second review by SEBI if the investor is still dissatisfied after the first review.

Integration with KYC Registration Agency database

- Integration with database of KYC registration agency database, for easy registration of investor on the SCORES

Working of SCORES



Register on Scores

- Fetch details from KYC Registration Agency or fill the Registration Form.

Lodge Complaint

- Select appropriate category of complaint, Nature of Complaint and Name of the SEBI regulated Entity (i.e. Listed Company/ Registered Intermediaries/ Market Infrastructure Institutions)

Track Status

- Track the status of complaint. Please note that automatic reminders are sent to entities for timely resolution of complaint.

Seek Review

- Two level review system- Seek Review of your complaint within 15 days from date of receipt of ATR from the Entity for First Level Review and 15 days of receipt from Designated Body for Second Level Review

Provide Feedback

- Provide Feedback on the redressal process and quality of disposal of complaint within 15 days of closure of complaint in order to improve the SCORES system

Process flow of SCORES Complaint

Stage 1: Complaint

- Auto-forwarded to concerned entity with cc marked to Designated body.
- Entity to upload ATR within 21 days. Designated body to monitor timelines
- Intimation to complainant(SMS, WhatsApp, E-mail). Complaint kept pending for 15 days for review request

Stage 2: First Review

- First review by Designated Body if complainant requests review (or) auto-escalation due to non-receipt of ATR in 21 days
- Designated body to ensure redressal and upload ATR within 10 days of receipt of review.
- Intimation to complainant(SMS, WhatsApp, E-mail). Complaint kept pending for 15 days for SEBI review request

Stage 3: SEBI Review

- Second review by SEBI if complainant requests for SEBI review (or) auto-escalation due to non-receipt of ATR in 10 days and dispose complaint with reasoned remarks.

Stage 4: ODR Platform

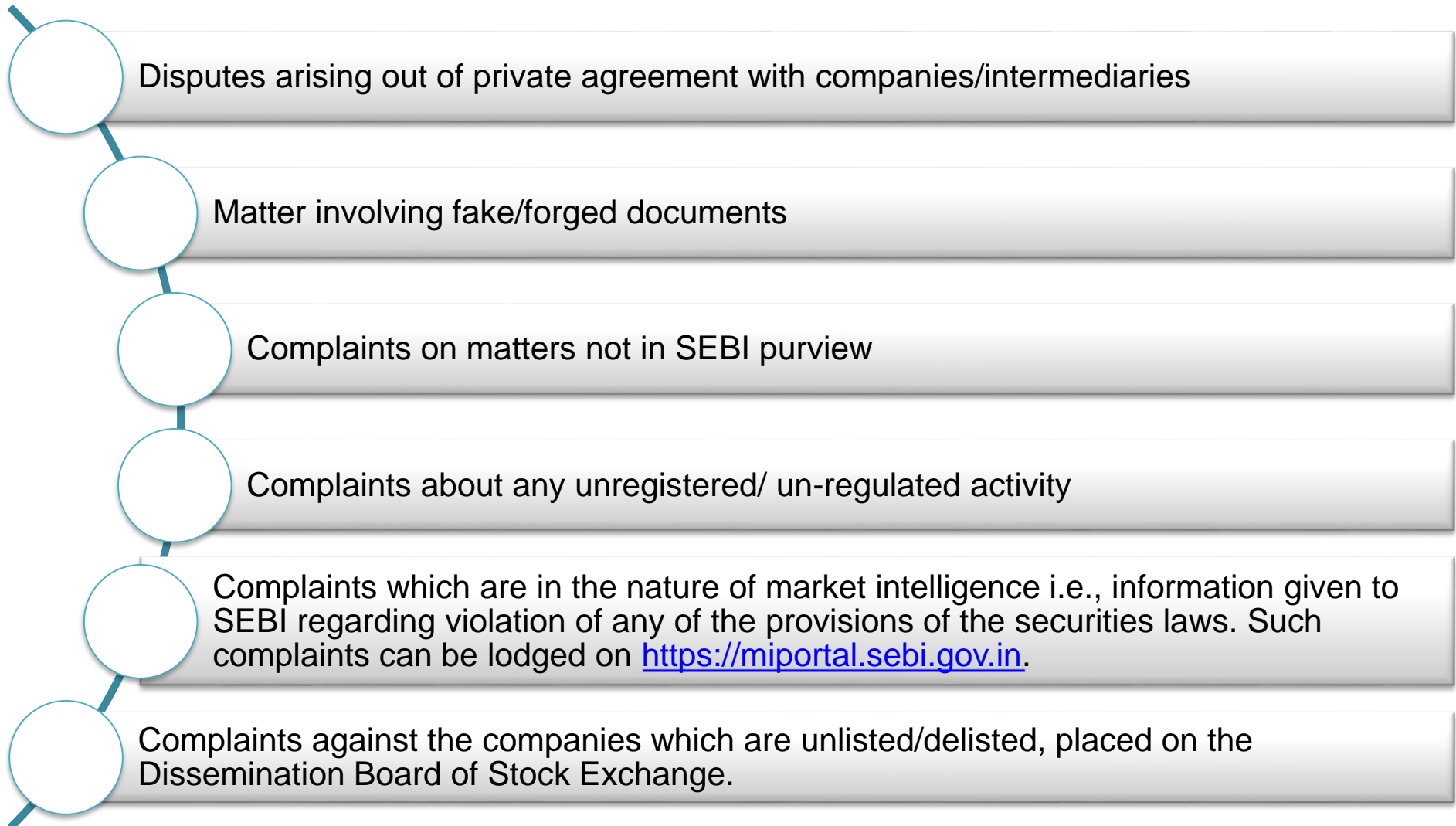
- In cases where investors raise issues which requires SEBI to adjudicate on the matter or if investors are not satisfied with disposal on SCORES
- option to approach legal forums including civil courts, consumer courts etc.

Matters not treated as complaints on SCORES




-
- A decorative vertical line on the left side of the list, composed of seven white circles connected by a blue line that starts at the top and ends at the bottom, with a small blue dot at the very end.
- Complaint not pertaining to investment in securities market
 - Anonymous Complaints
 - Incomplete or un-specific complaints
 - Allegations without supporting documents
 - Suggestions or seeking guidance/explanation
 - Not satisfied with trading price of the shares of the companies
 - Non-listing of shares of private offer

Matters not treated as complaints on SCORES



Matters not treated as complaints on SCORES

A vertical line of four white circles with blue outlines, connected by a blue line. The circles are positioned to the left of the text boxes, with the top circle slightly offset to the left.

Complaints against a sick company where a moratorium order is passed in winding up / insolvency proceedings / companies under liquidation.

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).

Complaints against companies, falling under the purview of other regulatory bodies viz. RBI, IRDAI, PFRDA, CCI, etc., or under the purview of other ministries viz., MCA, etc.

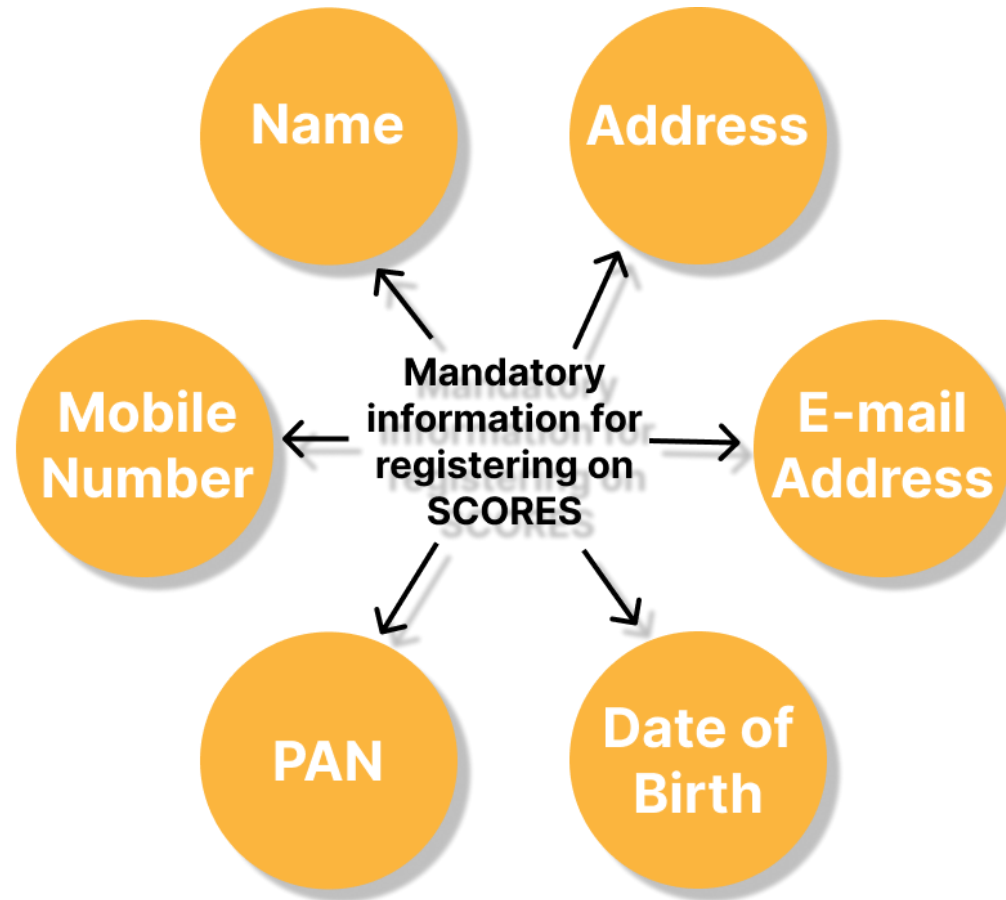
Complaints relating to cases pending in a court or subject matter of quasi-judicial proceedings, disputes pending with Online Dispute Resolution mechanism under the aegis of Market Infrastructure Institutions etc.

Timeline to lodge complaint on SCORES

- The complainant have to 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 filed on SCORES beyond the limitation period specified above, SEBI may reject such complaint.

Mandatory information for registering on SCORES

For lodging a complaint on SCORES, the following Know Your Customer (KYC) information has to be mandatorily provided by complainants/complainants.



How to lodge a complaint on SCORES



Step 1: Register on SCORES



 Sign in / Sign up

Login



Please fill your detail to access your account.

☒ Investor ☐ Entity ☐ Designated Body

Login With::

☒ User Id ☐ Mobile Number ☐ Email Id

User Id

[Forgot User ID?](#)

Send OTP

[Don't have an account ?Register](#)

How to lodge a complaint on SCORES

Step 2: Investors can fetch registration details from KYC Registration Agency


 Sign in / Sign up

Fetch Registration Details

PAN/PEKRN*

Date of Birth*

Enter your PAN number here

dd/mm/yyyy 

Validate PAN

How to lodge a complaint on SCORES

Step 3: login to SCORES by clicking on sign in/sign up and enter following- User ID credentials shared through e-mail/SMS or Mobile Number or E-mail ID

 Sign in / Sign up

Login



Please fill your detail to access your account.

☒ Investor ☐ Entity ☐ Designated Body

Login With::

☒ User Id ☐ Mobile Number ☐ Email Id

User Id

[Forgot User ID?](#)


Send OTP

[Don't have an account ?Register](#)


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Securities and Exchange Board of India

How to lodge a complaint on SCORES

Step 4: Enter OTP and Enter Password and Captcha



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Securities and Exchange Board of India

Login

Please fill your detail to access your account.

☒ Investor ☐ Entity ☐ Designated Body


Login With::

☐ User Id ☒ Mobile Number ☐ Email Id

OTP

Verify OTP

Did not receive code? [send again](#)



भारतीय प्रतिभूति और विनियम बोर्ड
Securities and Exchange Board of India

Login

Please fill your detail to access your account.

☒ Investor ☐ Entity ☐ Designated Body

Login With::

☐ User Id ☒ Mobile Number ☐ Email Id

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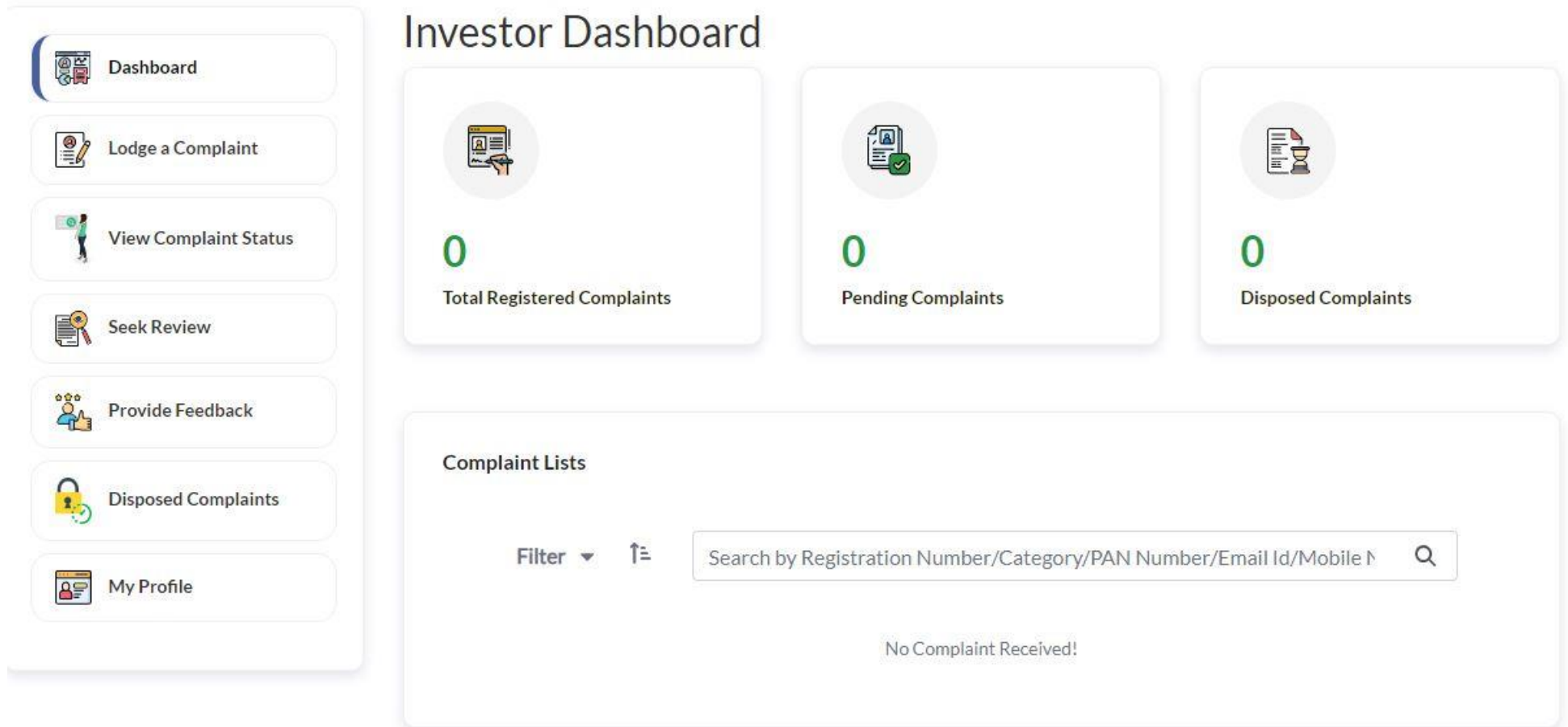
Forgot Password?

Sign in

Don't have an account? [Register](#)

How to lodge a complaint on SCORES

Step 5: Investor dashboard will be opened- Click on lodge a complaint



The screenshot displays the 'Investor Dashboard' interface. On the left is a vertical sidebar with navigation options: Dashboard, Lodge a Complaint, View Complaint Status, Seek Review, Provide Feedback, Disposed Complaints, and My Profile. The main content area is titled 'Investor Dashboard' and features three summary cards: 'Total Registered Complaints' (0), 'Pending Complaints' (0), and 'Disposed Complaints' (0). Below these is a 'Complaint Lists' section with a search bar and a filter icon. The search bar contains the text 'Search by Registration Number/Category/PAN Number/Email Id/Mobile N' and a magnifying glass icon. The status 'No Complaint Received!' is displayed at the bottom of the list area.

Investor Dashboard

Dashboard

Lodge a Complaint

View Complaint Status

Seek Review

Provide Feedback

Disposed Complaints

My Profile

0

Total Registered Complaints

0

Pending Complaints

0

Disposed Complaints

Complaint Lists

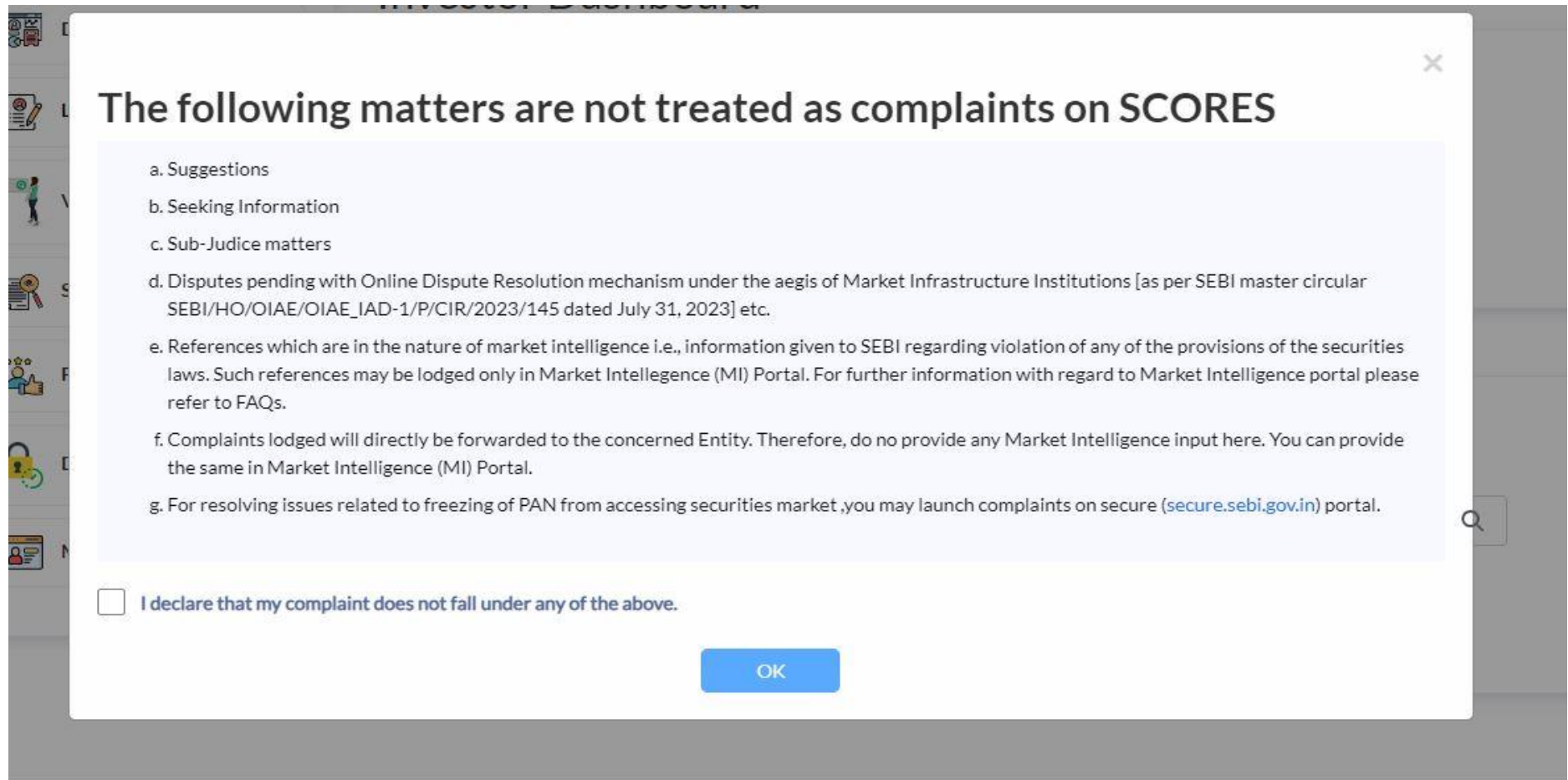
Filter

Search by Registration Number/Category/PAN Number/Email Id/Mobile N

No Complaint Received!

How to lodge a complaint on SCORES

Step 6: Provide Declaration



The following matters are not treated as complaints on SCORES

- a. Suggestions
- b. Seeking Information
- c. Sub-Judice matters
- d. 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] etc.
- e. References 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 references may be lodged only in Market Intelligence (MI) Portal. For further information with regard to Market Intelligence portal please refer to FAQs.
- f. Complaints lodged will directly be forwarded to the concerned Entity. Therefore, do not provide any Market Intelligence input here. You can provide the same in Market Intelligence (MI) Portal.
- g. For resolving issues related to freezing of PAN from accessing securities market, you may launch complaints on secure (secure.sebi.gov.in) portal.

☐ I declare that my complaint does not fall under any of the above.

OK

How to lodge a complaint on SCORES



Step 7: Select Appropriate Category

Stock Broker	Listed Company- Equity Issue (Dividend/Transfer/Transmission/Duplicate Shares/Bonus Shares etc.)	Mutual Fund
Registrar and Share Transfer Agent	Depository Participant	Investment Advisors
Research Analyst	Exchange	Depository
Debenture Trustee	Listed Company- IPO/Prelisting/Offer document (shares)	Listed Company-IPO/Prelisting /Offer Document (Debenture and Bonds)
Merchant Bankers	Bankers to the issue	Listed Company- Buy Back of Securities

How to lodge a complaint on SCORES

Step 8: Select complaint against (i.e. name of entity) and Nature of grievance

<

Stock Broker

Listed Company- Equity Issue
(Dividend/Transfer/Transmission/D
Shares/Bonus Shares etc.)

Mutual Fund

Registrar and Share Transfer
Agent

>

Complaint Against*

Select Entity

Stock Exchange*

Select

Client ID

DP ID

☐ Account opening / closing / suspension related

☐ Technical glitches/outage/connectivity/system related problem

☐ Dispute in Auction value / close out value

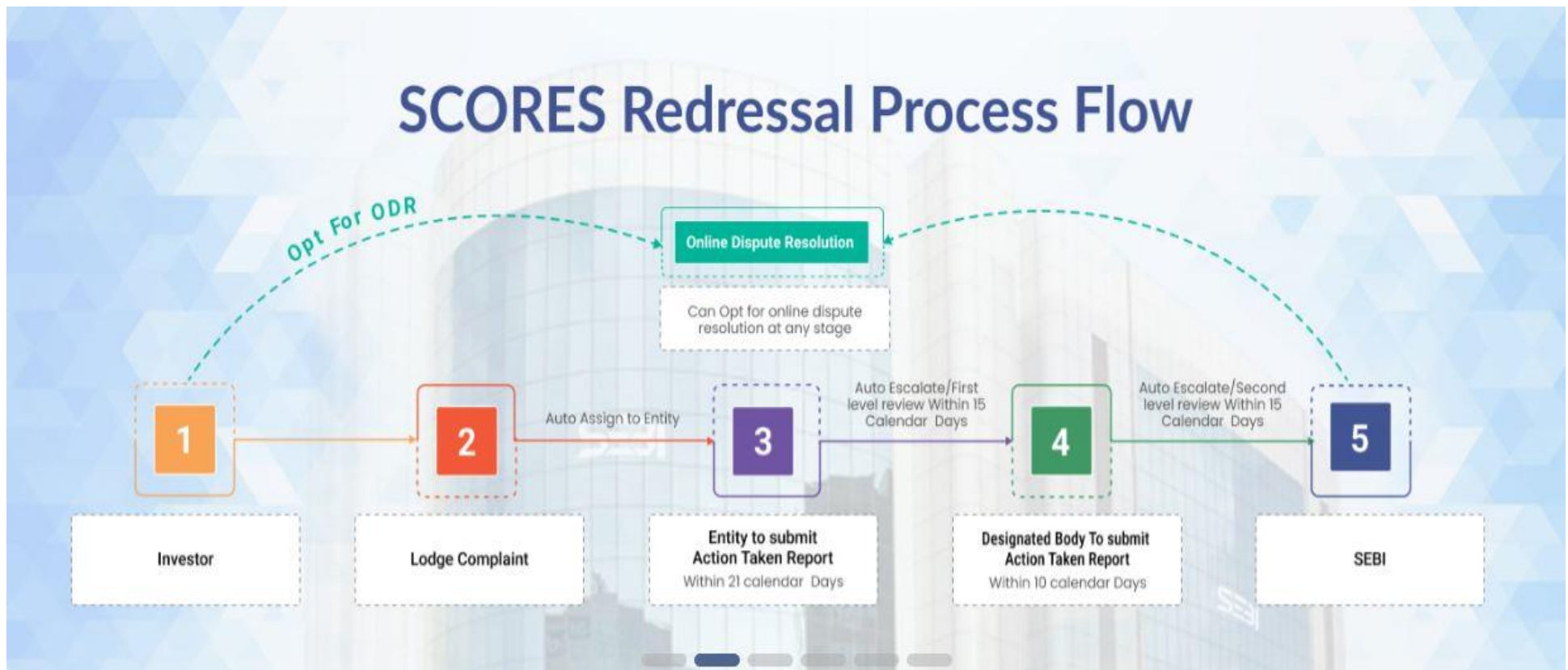
☐ Closing off / squaring up position without consent

☐ Delay in receipt of securities

☐ Excess brokerage

How to lodge a complaint on SCORES

Step 9: Your complaint will be submitted to the concerned entity and work flow as below will start from the day of lodging the complaint.



SEBI Investor Certification Exam



SEBI-Investor Certification Exam

Free
Online



Educated Investor is an Empowered Investor

Benefits:

-  Test knowledge of securities Markets and investment.
-  Get comprehensive knowledge on investment journey
-  Learn about investment process and associated risks
-  Investment approach aligned with individual risk appetite

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FREE VOLUNTARY ONLINE EXAM

Aims to enhance financial literacy
Promote informed decision making while investing

 Free Study Material

 No Exam Fee

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Har Investor Ki Taaqat



SCAN FOR
REGISTRATION










SCAN TO VISIT
SEBI Investor Website
<https://Investor.Sebi.Gov.In>

SEBI Saaṛṛthi App



UNLOCK THE **WEALTH** OF **KNOWLEDGE** WITH **Saaṛṛthi App**

-  User-friendly interface with comprehensive tools aimed at simplifying complex financial concepts.
-  Resources and Educational Videos designed to increase investor awareness.
-  Unbiased, Objective and Trusted Source of Investment Awareness
-  Reliable and essential insights into the securities market.
-  Vital for young investors, who are at the beginning of their financial journey
-  Access a range of Financial Tools and Calculators,
-  Do your Financial Health Check-up,

Empower yourself in the world of investing



New SEBI Investor Website



<https://investor.sebi.gov.in>



Dive into Money Matters to grasp Personal Finance concepts.



Educational Resources, related to investments, including securities market



Access a range of Financial Tools and Calculators.

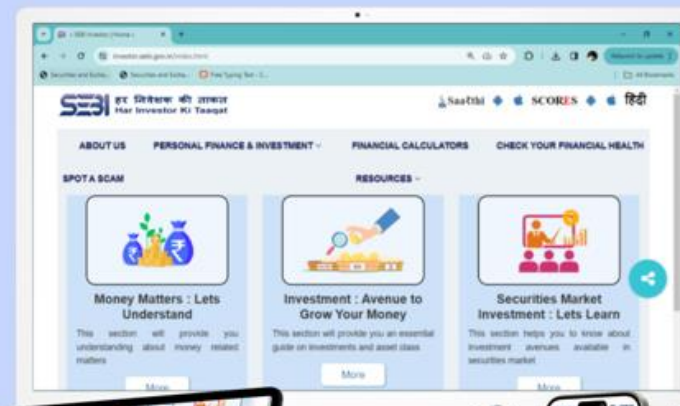


Evaluate your Financial Health with the easy check.

Join on a journey of informed decision-making and confident participation in the securities market.

UNLOCK THE **WEALTH** OF **KNOWLEDGE**
AT THE SEBI INVESTOR WEBSITE

Empower yourself in the world of investing



TO VISIT THE SEBI
INVESTOR WEBSITE,
SCAN THE QR CODE



Thank You