

FAQ's on SEBI Complaints Redress System (SCORES)

Section : I (FAQ for Complainants)

1. What is SCORES?

SCORES is an online platform designed to help complainants to lodge their complaints, pertaining to securities market, online with SEBI against listed companies and SEBI registered intermediaries. All complaints received by SEBI against listed companies and SEBI registered intermediaries are dealt through SCORES.

2. Which are the complaints that come under the purview of SEBI?

Complaints arising out of issues that are covered under SEBI Act, Securities Contract Regulation Act, Depositories Act and rules and regulation made there under and relevant provisions of Companies Act, 2013.

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

- a. Complaint not pertaining to investment in securities market
- b. Anonymous Complaints (except whistleblower 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
- g. Non-listing of shares of private offer
- h. Disputes arising out of private agreement with companies / intermediaries
- i. Matter involving fake / forged documents
- j. Complaints on matters not in SEBI purview
- k. Complaints about any unregistered / un-regulated activity
- l. 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] etc

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 the companies which are unlisted / delisted, placed on the Dissemination Board of Stock Exchange.
- b. Complaints against a sick company or a company where a moratorium order is passed in winding up / insolvency proceedings / companies under liquidation.
- 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. 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] etc.
- e. Complaints against companies, 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), etc., or under the purview of other ministries viz., MCA, etc.
- f. 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 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 Complainant 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.

The relevant Regulators / Authorities for some of the grievances which are not dealt by SEBI are given below :

Regulators / Authorities	Grievances pertaining to	Website
Reserve Bank of India (RBI) / Banking Ombudsman	1. Banks deposits and banking	http://www.rbi.org.in
	2. Fixed Deposits with Non-Banking Financial Companies (NBFCs) and other matters pertaining to NBFCs	https://bankingombudsman.rbi.org.in/
	3. Primary Dealers	
Ministry of Corporate Affairs(MCA)	1. Deposits u/s 73 & 74 of Companies Act, 2013	http://www.mca.gov.in
	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 <u>Companies Act 2013</u>	
	8. Sick companies or a company where a moratorium order is passed in winding up	
	9. Companies under liquidation	
Insurance Regulatory and Development Authority of India (IRDAI)	Insurance Companies / Brokers / Agents / products and Service	http://www.irdaindia.org
Pension Fund Regulatory and Development Authority (PFRDA)	Pension funds	http://www.pfrda.org.in
Competition Commission of India (CCI)	Monopoly and anti-competitive Practices	http://www.cci.gov.in
National Housing Bank (NHB)	Housing Finance Companies	www.nhb.org.in
Insolvency And Bankruptcy Board Of India	Companies where insolvency proceedings has started	http://www.ibbi.gov.in
Respective Stock Exchange	Complaints against suspended companies	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, where :

- 1.1. The complainant has approached the Entity for redressal of the complaint and the Entity has rejected the complaint or the complainant has not received any communication from the concerned Entity; or
- 1.2. The complainant is not satisfied with the reply received or the redressal by the concerned Entity.

If any complaint 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 01.01.2022, 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 shareholder. If the Company fails to pay the declared dividend within 30 days i.e. 31.01.2022 as the dividend was declared on 01.01.2022, the date of cause of complaint would be 31.01.2022 and a complaint can be lodged on SCORES within 1 year from 31.01.2022 i.e. on or before 30.01.2023.

7. How can complainants lodge their complaint online in SCORES?

- a. From 1st August 2018, it has been made mandatory to register on SCORES for lodging a complaint.
- b. To become a registered user of SCORES, complainants may click on "Register here" under "Complainant Corner" appearing on the homepage of SCORES portal. Complainants will have to fill in Registration form. Fields like Name, Address, E-mail Address, PAN and Mobile Number are mandatory fields and are required to be filled up. The username and password of SCORES will be sent to the complainant's registered email id. If an complainant is already a registered user, they can login by entering their username and password.
- c. After logging into SCORES, complainants must click on "Complaint Registration" under "Complainant Corner".
- d. Complainant should provide complaint details.
- e. Complainants must select the correct complaint category, entity name, and nature of complaint.
- f. Complainants must provide complaint details in brief (up to 1000 characters).
- g. A PDF document (up to 2MB of size for each nature of complaint) can also be attached along with the complaint as supporting document.

On successful submission of complaint, system generated unique registration number will be displayed on the screen which may be noted for future correspondence. An email acknowledging the complaint with complaint registration number will also be sent to the email id entered in the complaint registration form. A text message will also be sent to the complainant informing them about registration of the complaint.

8. What mandatory information is required for lodging complainant's complaint on SCORES?

For lodging a complaint on SCORES, the following personal information has to be mandatorily provided by complainants / complainants :

- a. Name
- b. Address
- c. E-mail Address
- d. PAN and
- e. Mobile Number

If any of the above information is not provided by the complainant, the complainant shall not be able to lodge a complaint on SCORES.

9. How can complainants become a registered user?

To become a registered user of SCORES, an complainant can click on "Register here" appearing on the homepage of the SCORES portal. The complainant will have to fill in the registration form. Fields like Name, Address, E-mail Address, PAN and Mobile Number are mandatory fields and are required to be filled up. The username and password of SCORES will be sent to the registered email id provided in the Registration Form.

10. How are complainant complaints handled?

- A. At the time of lodging of complaint, the complainant is asked "Have you lodged a complaint with the concerned intermediary / listed company for redressal of your complaint?"
- B. If the complainant selects the option "No" :
 - a. The complaint will be routed directly to the concerned entity. Since this is the first time the issue will be raised with the concerned entity, such "Direct complaints" will be addressed by the concerned entity and the response will come to the complainant without any interference of SEBI officials.
 - b. The concerned entity is required to send a response to the complainant directly within 21 calendar days.

- c. If the concerned entity fails to send a response within 21 calendar days to the complainant, then the complaint will be routed to SEBI automatically. Thereafter, the complaint will have a new SCORES registration number.
- d. In case the complainant is dissatisfied with the redressal of the complaint, the complainant has to indicate the same against the complaint and then the complaint will come to SEBI. If the complainant does not indicate the same within 15 days of receipt of reply from the entity, it will be assumed that the complainant is satisfied with the redressal and the complaint will be closed.

C. If the complainant selects the option "Yes"

- a. The complainant has to provide the date of taking up the complaint and also the address where the communication was last made.
- b. The complaint will be routed to SEBI.

When the complaint comes to SEBI, the complaint is examined and its decided whether the subject matter falls under the purview of SEBI and whether it needs to be referred to concerned entity. After examination, SEBI forwards the complaint to the concerned entity with an advice to send a written reply to the complainant and file an action taken report in SCORES.

11. 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. In case certain non-usable characters are entered, then a clear explicit error message is displayed.

12. Why are some companies / intermediaries against whom an complainant wants to register a complaint are not available?

Names of intermediaries not registered with SEBI and names of unlisted companies are not available in SCORES.

It is also possible that a company / entity might have changed its name, merged into another entity or delisted from the Stock Exchanges or its registration with SEBI might have surrendered / cancelled and hence its name is not available on SCORES.

13. If a complainant wants to lodge a complaint against a company which pertains to the period between filing of DRHP and prior to listing, in which category should it be lodged?

A complainant should lodge it in "Prelisting / Offer document" category under Listed Companies menu. The screen shot is provided below : -



14. How can complainants attach a document along with their complaint?

If any supporting document is required to be attached along with the complaint, an complainant can upload that document (only PDF) at the time of lodging the complaint.

There is a field "Upload Supporting Document" followed by a button "Browse". On clicking the browse button, a pop-up window will open, prompting the complainant to select the PDF document to be uploaded. After selecting the PDF file, click "Attach" button to enclose the selected document with the complaint. Please note that for security reasons, only PDF file can be attached. An complainant can upload a file in PDF format up to a maximum size of 10 MB for each nature of complaint on

website and 2 MB for each nature of complaint on SCORES mobile app and each complaint can have up to a maximum of 5 natures.

15. Why can complainants not upload the documents in Word or Excel? What if complainants do not have a PDF converter?

MS Word and MS Excel documents are editable and therefore their integrity cannot be maintained. In case a complainant does not have a PDF converter it may be downloaded readily from the internet.

16. If complainants want to attach a document of more than 10MB, what should they do?

If the document size exceeds limits specified in FAQ no. 14, then the document quality (dpi) may be reduced to shrink the document size to specified limits and upload only the necessary documents

17. What can complainants do if they are not able to register a complaint online?

The website of SCORES is best viewed in all the favorite browsers like, Microsoft Edge, Google Chrome and Mozilla Firefox.

Due to network issues, if at a particular time complainants are not able to lodge their complaint, the complainant may try again later.

18. How can complainants check the status of their Complaint?

To check the complaint status, a complainant can click on "View Complaint Status" under "Complainant Corner" on the homepage. Alternatively, the complainant can also login into their account and click on "View Complaint Status" under "Complainant Corner".

Step 1 : Provide the complaint registration number which was allotted at the time of registration of complaint.

Step 2 : Please enter password.

- a) If the complainant is a SCORES registered user, then the password will be the complainant's e-mail ID registered with SEBI.
- b) If the complainant is not a SCORES registered user, please enter the password which was communicated by SEBI in the acknowledgement letter sent to the complainant.

Step 3 : Enter the captcha / security code

On verifying the correctness of registration number, password and security code, the current status of the complaint is displayed.

19. How can complainants know the dealing officer of their complaint?

A complainant can go to the 'View Complaint Status' section of SCORES. Once the complainant enters the registration number, password and captcha / security code, they can see the name and e-mail address of the Dealing officer handling their complaint on SCORES after keeping the cursor on the field "Dealing Officer".

20. What should complainants do if they forget the password to see their complaint status?

If the complainant is a SCORES registered user, then the password to see the complaint status is the registered e-mail address.

However, if the complainant is not a SCORES registered user, then the password is given in the acknowledgement letter sent to them.

21. Can complainants have a single password for all their complaints?

If the complainant is a SCORES registered user, they will get a single password only.

22. How can complainants send reminder for their complaint?

If complainants want to send reminder for their earlier lodged complaint, then complainants can login into SCORES using their Username and Password, click on the link "Send Reminder" under "Complainant Corner". Provide details like Registration number, Reminder details and the security code.

Please note that a reminder can only be sent by the complainant after 21 Calendar Days have lapsed from the date of lodging of complaint. For Direct Complaints, a complainant cannot send any reminder.

23. How can complainants reply to a clarification sought from them?

- (A) If a clarification has been sought by SEBI or the entity against which complaint is lodged, the complainant can send the reply online. The reply can be sent by clicking on the link "Send Reply" while viewing the status of complaint through "View Complaint Status Form" (Please refer to the reply to question "How do I check the status of my

Complaint?").

(B) If clarification is not received from the complainant within 10 days the complaint would be disposed off in SCORES.

24. Can complainants complain about market or price manipulation or violation of insider trading regulations in shares?

The information provided by complainants under the categories of Price / market manipulation and Insider trading will be treated as market intelligence. This information will be analysed and if found necessary, further action will be taken. The status of such examination cannot be disclosed as SEBI conducts the examination confidentially in a holistic manner. Therefore, no complaint number and acknowledgement shall be sent to complainants. In order to aid SEBI to carry out its surveillance activity, complainants are encouraged to provide correct and complete information. Any regulatory actions taken by SEBI are published at SEBI website at www.sebi.gov.in

25. Can complainants complain about accounting manipulation / frauds etc., by listed companies?

The information provided on accounting manipulations, frauds / etc. by listed companies 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. Further action taken, if any, may involve examination of multiple factors other than those raised in the complaint. 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 pursuant to the examination are published at SEBI website at www.sebi.gov.in

26. Can complainants complain about price / volume manipulation, rumours / buy sell tips and other surveillance issues pertaining to commodity derivatives?

The information provided by complainants under the categories of "Price / Volume Manipulation in Commodity Derivatives" / "Spreading Rumours / Buy Sell Tips in Commodity Derivatives" / "Miscellaneous Surveillance Issues in Commodity Derivatives" will be treated as market intelligence. This information will be analyzed and if found necessary, further action will be taken. The status of such examination cannot be disclosed as SEBI conducts the examination confidentially in a holistic manner. Therefore, no complaint number and acknowledgement shall be sent to complainants. In order to aid SEBI to carry out its surveillance activity, complainants are encouraged to provide correct and complete information. Any regulatory actions taken by SEBI are published at SEBI website at www.sebi.gov.in

27. Can complainants give suggestions through SCORES website?

No. SCORES has been created with the sole purpose of handling complainant complaints against listed companies / SEBI registered intermediaries. Complainants can send their suggestions / queries, if any, to email id asksebi@sebi.gov.in

28. How long does it take the entity to respond to complainant complaint?

Entities are required to submit the action taken report within a reasonable period but not later than 21 Calendar Days.

29. When are complainant complaints disposed of?

Complaints are disposed of by SEBI

- a. On receipt of satisfactory action taken report along with supporting documents, if any, from the concerned entity responsible for resolving the complaint
- b. On failure by the complainant / complainant to give complete details / documents required for redressal of their complaint within the prescribed time
- c. When the concerned entity's case is pending with court / other judicial authority 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].

30. Whether complainants will receive intimation about disposal of their complaint?

Yes. If the complaint is made through SCORES by a SCORES registered user, an email is sent to the complainant's email id available in SCORES. Further if mobile number is provided by complainant, an SMS is also sent to the complainant intimating disposal of the complaint.

Complainants can also view the disposal details online by following the procedure given above in answer to "How do I check the status of my Complaint?"

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

On disposal of complaint in SCORES, complainants have an option to indicate whether they are satisfied with the closure of the complaint or not. If unsatisfied, the complainant may tick on the 'unsatisfied' icon and then provide the reasons thereto. However, the complainant shall have to mandatorily provide the reasons for being unsatisfied with the redressal.

This one time option shall be available to an complainant for a period of fifteen days from the date of closure of their complaint in SCORES. If this option is exercised, the complaint shall be escalated to the appropriate Supervising Officer.

Alternatively, you may choose to avail the Securities Markets Online Dispute Resolution (ODR) mechanism by visiting smartodr.in or other appropriate civil remedies. Please refer to [FAQ no. 35](#) more further details.

32. 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 also approach ODR mechanism, consumer courts or other appropriate civil remedies.

33. Can complainants take legal action on their own?

Securities and other laws provide important legal rights and remedies if complainants have suffered wrongdoing. Acting on their own, they can seek to resolve the complaint 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].

To take advantage of these laws, the complainant must take legal action promptly or they may lose the right to recover funds. It may be noted that as per the "law of limitation" there are some time periods within which court proceedings should be initiated.

34. When can SEBI take action for non-resolution of complainant complaints?

For listed companies : SEBI has empowered stock exchanges to levy fine for non-redressal of complainant complaints in terms of the relevant provisions of [SEBI \(Listing and Disclosure Requirements\) Regulations, 2015](#)^{@1} to be read with SEBI circular [SEBI/HO/CFD/CMD/CIR/P/2018/77](#) dated 03 May, 2018. If the complaint is not redressed / fine is not paid, the stock exchanges can direct the depositories to freeze the entire shareholding of the promoter and promoter group in such entity as well as all other securities held in the demat account of the promoter and promoter group. If non-compliance continues, the stock exchanges may refer such cases to SEBI for enforcement actions, if any.

Notwithstanding the above, while the entity is directly responsible for redressal of complainant complaints, SEBI can initiate action against recalcitrant entities including registered intermediaries and listed companies on the grounds of their failure to redress complainant complaints.

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

In case you are not satisfied with the redressal of your complaint, you may opt for 'Review' of the same in SCORES, within 15 days of its closure by SEBI.

If you are still dissatisfied after the 'Review' process, you may choose to avail the Securities Markets Online Dispute Resolution (ODR) mechanism by visiting smartodr.in

You may also like to visit the Complainant Service Centres (ISCs) of Stock Exchanges, in case you need any assistance for availing the ODR mechanism. The details of complainant service centres 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>

In this regards, Complainants are advised to refer to Master Circular [SEBI/HO/OIAE/OIAE_IAD-1/P/CIR/2023/145](#) for Online Dispute Resolution dated July 31, 2023.

Disputes between Complainants / Clients and listed companies (including their registrar and share transfer agents) or any of the specified intermediaries / regulated entities in securities market (as specified in Schedule A of the above referred circular) arising out of latter's activities in the securities market, will be resolved in accordance with the said circular by harnessing online conciliation and / or online arbitration.

Listed companies / specified intermediaries / regulated entities OR their clients / complainants (or holders on account of nominations or transmission being given effect to) may also refer any unresolved issue of any service requests / service related complaints for due resolution by harnessing online conciliation and / or online arbitration as specified in the said circular.

Further, Complainants can approach the Online Dispute Resolution mechanism 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.

36. 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://complainant.sebi.gov.in>

37. Can an complainant lodge a complaint against a company which is on Dissemination Board of a stock exchange?

Companies which were exclusively listed on the erstwhile regional stock exchanges and did not get listed on the Main Board of any nation-wide stock exchange or provided exit to the complainants, were transferred to Dissemination Board (DB) of any nation-wide Stock Exchanges. These companies ceased to be listed companies and were transferred to DB for the purpose of providing exit to complainants. Similarly, companies which are compulsorily delisted by the nation-wide stock exchanges are also placed on DB for the sole purpose of providing exit to the complainants.

If there is any valuation related complaint for exit from the company, then the complainant may lodge it through SCORES. Since the companies on DB have ceased to be listed companies, for all other matters, the complainant may approach the companies directly or the appropriate authority in this regard.

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

To facilitate replies to various queries of the general public and on guiding them with regard to grievances in matters relating to securities market, SEBI launched toll free helpline service number 1800 266 7575 or 1800 22 7575 on December 30, 2011.

The toll free helpline service will answer to queries on

- * Lodging of complaints on SCORES
- * Knowing the status of complaint(s)
- * Other matters related to complaints

The toll free helpline service is available to complainants from all over India

The toll free helpline service is available on all days from 9:00 a.m to 6:00 p.m (excluding declared holidays in state of Maharashtra).

39. Can I make innumerable complaints in SCORES on a single matter?

If complainants are not satisfied with the resolution provided, then they can either review the complaint or file a fresh complaint or take up the matter in the court of law. However, if complainants keep lodging the same/similar complaint again and again without any fresh facts, then SEBI may eventually classify the complainant as a chronic complainant.

40. Who is a chronic complainant?

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

- a. Substantiate their allegations with documentary proofs
- b. Avail arbitration mechanism under stock exchanges or
- c. Accept SEBI's lack of jurisdiction in contractual disputes, sub-judice matter etc.

41. What happens if an complainant is classified as a chronic complainant?

If an 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 the 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.

42. 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 will be unblocked.

43. Can complaints be launched 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.gov.in

44. 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.

Section : II

(FAQ for Information of Listed Companies & Registered Intermediaries)

1. Is it necessary for all registered intermediaries and listed companies 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. Does the process of SCORES authentication impose any cost on the listed company or registered intermediary?

The process of SCORES authentication is absolutely free of cost

4. Whether the listed companies and SEBI registered intermediaries which have already taken SCORES authentication are also required to send to SEBI their details as per Form-A and Form-B annexed to Circular no. CIR/OIAE/1/2014 dated December 18, 2014?

SEBI vide Circular no. [CIR/OIAE/1/2014](#) dated December 18, 2014 has mandated that all newly listed companies and SEBI registered intermediaries are required to send their details as per Form-A and Form-B respectively in order to obtain SCORES authentication.

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

Yes, the SCORES system enables the listed companies / registered intermediaries 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 company / intermediary 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 along with a revised Form-A with a request to change the same.

6. Where can the listed companies / registered intermediaries see the Direct Complaints?

Direct Complaints are those complaints where the complainant are using the SCORES platform to approach the entity for the first time with respect to their complaints. These complaints can be seen in a Tab called "Direct Complaint" on the Home Page upon logging in by the entity. All listed companies and registered intermediaries must respond to the "Direct complaints" within 21 Calendar Days.