

Procedure for Filing Complaints on SEBI SCORES 2.0 Portal

1. Introduction

SEBI (Securities and Exchange Board of India) has established the **SCORES 2.0** portal to provide investors with an easy and transparent platform for lodging complaints against stockbrokers, depository participants (DPs), investment advisors, mutual funds, and other SEBI-regulated entities. This document provides a step-by-step guide on how investors can file complaints on the **SEBI SCORES 2.0** portal and seek resolution for their grievances.

2. When to File a Complaint on SEBI SCORES 2.0

Investors should file a complaint on the **SEBI SCORES 2.0** portal if: ✓ They have raised their complaint with the concerned stockbroker, depository participant, or intermediary but have not received a satisfactory response within 30 days.

✓ They have encountered issues such as unauthorized trading, non-receipt of securities/funds, incorrect charges, non-execution of trades, or other regulatory violations.

✓ They wish to report unethical market practices, fraud, or regulatory non-compliance.

3. How to File a Complaint on SEBI SCORES 2.0

Follow these steps to lodge a complaint on **SEBI SCORES 2.0**:

Step 1: Register on the SEBI SCORES 2.0 Portal

✓ Visit the SEBI SCORES website: <https://scores.gov.in/>

✓ Click on “**Register here**” for new users.

✓ Provide basic details such as Name, PAN, Email ID, Mobile Number, and Address.

✓ Create a username and password for future login.

✓ Verify your account through the OTP sent to your registered mobile/email.

Step 2: Login and File a Complaint

✓ Log in using your registered credentials.

✓ Click on “**Lodge Complaint**” and select the intermediary (Stockbroker, Depository, Mutual Fund, etc.).

✓ Provide the details of your complaint, including transaction reference numbers and supporting documents (if any).

✓ Clearly mention the complaint category (e.g., non-receipt of funds, unauthorized trading, account-related issues, etc.).

✓ Attach relevant documents such as contract notes, ledger statements, correspondence with the intermediary, etc.

Step 3: Submit and Track Your Complaint

✓ After submission, a complaint registration number will be generated.

✓ Investors can track the status of their complaint using the “Track Complaint” option.

- ✓ SEBI may escalate the complaint to the concerned intermediary for resolution.
- ✓ SEBI will monitor the resolution process, and investors will receive updates via email/SMS.

4. Resolution Process and Timelines

- ✓ Once the complaint is filed, the intermediary is given a stipulated timeframe (usually 30 days) to respond.
- ✓ If the response is unsatisfactory, SEBI may take further regulatory action.
- ✓ Investors may be asked to provide additional information or attend hearings if required.
- ✓ If the complaint remains unresolved, SEBI may escalate the matter to arbitration or enforcement proceedings.

5. Alternative Grievance Redressal Mechanisms

If the complaint is not resolved satisfactorily through **SEBI SCORES 2.0**, investors can explore the following options: ✓ **Stock Exchange Investor Grievance Redressal Mechanism:** Investors can approach the investor grievance cell of NSE/BSE for stock market-related complaints. ✓ **Arbitration Mechanism:** If disputes persist, investors can file for arbitration under SEBI's prescribed dispute resolution framework. ✓ **Securities Appellate Tribunal (SAT):** Investors can approach SAT if they are dissatisfied with SEBI's resolution.

6. Important Points to Note

- ✓ SEBI SCORES 2.0 is a grievance redressal platform and does not provide financial compensation.
- ✓ Complaints should be filed only after exhausting the grievance redressal mechanism of the concerned intermediary.
- ✓ Providing false or misleading complaints may result in penalties or legal consequences.
- ✓ Investors should maintain all records and evidence related to their complaints for future reference.

7. Contact Information

For any assistance regarding complaint filing on **SEBI SCORES 2.0**, investors may contact:

- SEBI SCORES Helpline: [SEBI Contact Number]
- Email: [SEBI Support Email]
- SEBI Official Website: <https://www.sebi.gov.in/>

8. Disclaimer

This document serves as an investor awareness guide and does not constitute legal or financial advice. Investors are advised to refer to official SEBI guidelines and consult professionals if required.