



**भारतीय प्रतिभूति और विनिमय बोर्ड**  
**Securities and Exchange Board of India**

**CIRCULAR**

CIR/MRD/ICC/16/2012

June 15, 2012

**All Depositories**

**All recognized Stock Exchanges**

Dear Madam/Sir,

**Sub: Redressal of complaints against Stock Exchanges (SEs) and Depositories through SEBI Complaints Redress System (SCORES).**

1. As you are aware, SEBI has commenced processing of complaints through SCORES.
2. The complaints received by SEBI against SEs and Depositories shall be electronically sent through SCORES. You are advised to view the pending complaints at <http://scores.gov.in/admin> and submit the Action Taken Report (ATR) along with supporting documents electronically in SCORES. Please note that updation of action taken shall not be possible with physical ATRs. Hence, submission of physical ATR shall not be accepted for complaints lodged in SCORES.
3. The SEs and Depositories shall do the following:
  - a. indicate a contact person in case of SCORES, who is an employee heading the complaint services division/cell/department. Contact details

- (i.e. phone no., email id, postal address) of the said contact person be made widely available for e.g. on the websites of SEs/Depositories.
- b. address/redress the complaints within a period of 15 days upon receipt of complaint on SCORES. In case additional information is required from the complainant, the same shall be sought within 7 days of receipt on SCORES. In such case, the period of 15 days will be counted upon the receipt of additional information.
  - c. maintain a monthly record of the complaints which are not addressed/redressed within 15 days from the date of receipt of the complaint/information, alongwith the reason for such pendency.
  - d. Upload/update the ATR on the SCORES. Failure to do so shall be considered as non-redressal of the complaint and the complaint shall be shown as pending.
4. The circular is issued in exercise of powers conferred upon SEBI under Section 11(1) of the Securities and Exchange Board of India Act, 1992.
  5. The circular is available on SEBI website at [www.sebi.gov.in](http://www.sebi.gov.in) under the categories “Legal Framework” and “Circulars”.

Yours faithfully,

**B K Gupta**  
**Deputy General Manager**  
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