

Circular No.: NSDL/POLICY/2022/012

January 20, 2022

Subject: Increasing Awareness regarding Online Mechanisms for Investor Grievance Redressal

Attention of Participants is invited to SEBI Circular No. SEBI/HO/MRD1/MRD1_ICC1/P/CIR/2022/05 dated January 05, 2022, regarding Increasing Awareness regarding Online Mechanisms for Investor Grievance Redressal (Copy enclosed).

Participants are advised to encourage their clients to lodge their complaints through online mechanisms more specifically through SCORES portal and SCORES mobile application for effective redressal of grievances. The clients can also lodge online complaints / grievances directly with depository/depository participant through link / option available on their website.

Participants are requested to take note of the above and educate their clients accordingly.

For and on behalf of
National Securities Depository Limited

**Gayak Jalan
Manager**

FORTHCOMING COMPLIANCE				
Particulars	Deadline	Manner of sending	Reference	
Investor Grievance Report (Monthly)	By 10th of the following month.	Through e-PASS	Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015	
Compliance Certificate (July - December)	January 31, 2022	Through e-PASS	Circular No. NSDL/POLICY/2020/0152 dated November 19, 2020.	
Artificial Intelligence /Machine Learning Reporting Form (if offering or using such technologies as defined) - (Quarterly)	By 15th of the following month.	Through e-PASS	1. Circular No. NSDL/POLICY/2019/0016 dated March 27, 2019 2. Circular No. NSDL/POLICY/2021/0102 dated October 04, 2021	
Cyber Security & Cyber Resilience framework of Depository Participants - (Quarterly)	By 15th of the following month	Through e-PASS	1. Circular No. NSDL/POLICY/2019/0076 dated November 13, 2019. 2. Circular no. NSDL/POLICY/2020/0069 dated May 15, 2020.	
Reporting of status of the alerts generated by Participants- (Quarterly)	By 15th of the following month	Through e-PASS	1. NSDL/POLICY/2021/0072 dated July 15, 2021 2. NSDL/POLICY/2022/001 dated January 03, 2022	

Digitally signed by

Name : GAYAK JALAN
Date : 20-01-2022 18:41:19
Reason : Authentication

National Securities Depository Limited

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Corporate Identity Number: U74120MH2012PLC230380



CIRCULAR

SEBI/HO/MRD1/MRD1_ICC1/P/CIR/2022/05

January 05, 2022

To,

The Managing Directors / Chief Executive Officers

**All Recognized Stock Exchanges including Commodity Derivatives Exchanges/
Depositories / Clearing Corporations**

Sir / Madam,

Subject: Increasing Awareness regarding Online Mechanisms for Investor Grievance Redressal

1. Investors are encouraged to lodge their complaints through online mechanisms more specifically through SCORES portal and SCORES mobile application for effective redressal of grievances.
2. In this regard, in order to increase the awareness regarding online grievance redressal mechanisms, all Recognized Stock Exchanges including Commodity Derivatives Exchanges/ Depositories / Clearing Corporations are advised to display the following on the home page of their websites and mobile apps:
 - 2.1. link / option to lodge complaint with them directly.
 - 2.2. link to SCORES website/ link to download SCORES mobile app.
3. All Recognized Stock Exchanges including Commodity Derivatives Exchanges/ Depositories / Clearing Corporations are advised to:
 - 3.1. Make necessary amendments to the relevant bye-laws, rules and regulations.
 - 3.2. Communicate to SEBI, the status of the implementation of the provisions of this circular through the Monthly Development Report(MDR).
4. This circular is issued in exercise of the powers conferred under Section 11(1) of the Securities and Exchange Board of India Act 1992 read with Section 10 of the Securities

Contracts (Regulation) Act, 1956 to protect the interests of investors in securities and to promote the development of, and to regulate the securities market.

5. This circular is available on SEBI website at www.sebi.gov.in under the category "Circulars".

Yours faithfully,

Nirdosh Rajan Minz
Deputy General Manager
Market Regulation Department
Email: nirdoshrm@sebi.gov.in