

Investors Grievance Guide

How to complain against an Indian listed company if you are an investor?

Investors Grievance Guide

STEP 1- Contact the Company Directly

- Write directly to **investor relations** of the listed company and explain them about why you are unhappy about an issue. **Email address and phone numbers** are mentioned normally on the company website on tab Investor Relations.
- Keep **evidences of transactions** such as share certificates via broker or brokerage platform you have used to buy or sell your stake in the listed company. It is important to **provide proof of investment**.
- Wait for 7-10 days for response. Better to keep records of calls and emails sent.

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STEP 2-Approach



- If you are not satisfied with response from the listed company investor relations or no response came then approach SEBI on investor grievance helpline and online portal. Attach evidences of what you did and provide the right category of complaint with SEBI.

भारतीय प्रतिभूति और विनियम बोर्ड
Securities and Exchange Board of India

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Search SEBI Website

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Investor Complaints Cell

Investor Complaints **1**

Complaint Registration
Send Reminder
View Complaint Status
Toll Free Helpline:
1800 266 7575

2 Fill the form by registering yourself on

<https://scores.gov.in/admin/Welcome.html>

Securities and Exchange Board of India
Welcome: Guest! Version 2.0

PARTICIPATE IN FIGHT AGAINST CORRUPTION - TAKE ONLINE

Login

Username:

Password:

Sign in

Reset Password

Click here to obtain SCORES user-id and password


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STEP 3-Approach the BSE (Bombay Stock Exchange)

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Overview

Investor Updates

THE SHARES OF BSE LIMITED SHALL ONLY BE DEALT BY FIT AND PROPER PERSONS AS PER REGULATION 19 AND 20 OF SECURITIES CONTRACTS (REGULATION) (STOCK EXCHANGES AND CLEARING CORPORATIONS) (SECC) REGULATIONS, 2018."

"FOR THE PURPOSES OF SEBI CIRCULAR CIR/MRD/DSA/01/2016 DATED JANUARY 01, 2016, THE COMBINED SHAREHOLDING OF TRADING MEMBERS, THEIR ASSOCIATES AND AGENTS AS ON 5th JULY, 2019, ON THE BASIS OF INFORMATION PROVIDED BY THE CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED (CDSL) AND THE NATIONAL SECURITIES DEPOSITORY LIMITED (NSDL) IS 31.34% OF THE COMPANY'S PAID-UP CAPITAL."

"ALSO, SHAREHOLDERS MUST DECLARE IMMEDIATELY TO THE COMPANY IF THEY HOLD SHARES ALONG WITH PERSONS ACTING IN CONCERT. FOR THE DEFINITION OF 'PERSONS ACTING IN CONCERT' PLEASE REFER REGULATION 2(q) OF SEBI (SUBSTANTIAL ACQUISITION OF SHARES AND TAKEOVERS) REGULATIONS, 2011.

- ➔ Information - Transfer of Securities
- ➔ Rights of Shareholders
 - ➔ Duties/Responsibilities of Shareholders
 - ➔ Shareholders FAQs
- ➔ Investor Service and Grievance Handling Mechanism
 - ➔ Procedures for ensuring compliance with Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporation) Regulations, 2012 by Listed Stock Exchanges
 - ➔ Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) (SECC) Regulations, 2018.

➔ Announcements

Date of Notice	Announcements
July 02,2019	Newspaper advertisement intimating about Meeting of Board of Directors to be held on Friday, August 2,2019
June 28,2019	Notice of Board Meeting Scheduled to be held on August 2, 2019
June 24,2019	Public Notice - Transfer of Equity Shares transferred to IEPF - Newspaper Publication FY 2011 - 12
June 24,2019	Notice of fourteenth Annual General Meeting scheduled to be held on July 15, 2019, Record date and voting through electronic means

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STEP 4- Write to BSE Investor Services & Grievance

BSE - PUBLIC

BSE - PUBLIC



INVESTOR SERVICE AND GRIEVANCE HANDLING MECHANISM

BSE Limited (The Company) has appointed M/s. Karvy Fintech Private Limited (Formerly known as Karvy Computershare Private Limited) (Karvy) as its Registrar and Transfer Agents (RTA) for its share registry (both physical as well as electronic shares). All the matters relating to share transfer, transmission, dematerialisation, non-receipt of dividend, change of address etc. are being looked after by Karvy. Karvy, having presence all over India is a reputed service provider in India.

Shareholders of the Company having any queries, may contact the Company or its Registrar and Transfer Agent as per details given below:-

Smt. Prajakta Powle
Company Secretary & Compliance Officer
BSE Limited
25th Floor, P.J. Tower,
Dalal Street, Mumbai – 400001

Tel. No.: 91-022-2272 8297
Email id: bse.shareholders@bseindia.com

Website: <https://www.bseindia.com>

Shri Prem Kumar M.
Registrar & Transfer Agent
Karvy Fintech Private Limited
(Formerly known as Karvy Computershare Private Limited)
Karvy Selenium Tower B, Plot No 31 & 32
Gachibowli, Financial District, Nanakramguda,
Serilingampally, Hyderabad – 500032

Tel. No.: 91-40-6716 1509/1624/1623
Email-id:
prem.kumar@karvy.com/
einward.ris@karvy.com

Website: <https://www.karvyfintech.com>

Grievance Handling Mechanism

The Company follows good governance practice which includes maintaining trust of the all stakeholders with adequate and correct disclosures along with complete transparency. These are one of the two important pillars of good corporate governance.

The Company takes the following steps for handling grievances of shareholders:-

1. The Company has a designated email id namely bse.shareholders@bseindia.com to handle the Shareholders complaints/ queries. This email id is mentioned on the website of the Company under the tab "Investor Relations".
2. Shareholders of the Company may also write the query/ complaint on above mentioned email-id.
3. The Company ensures to take necessary steps to resolve the complaint/ query as the case may be, within reasonable time frame.

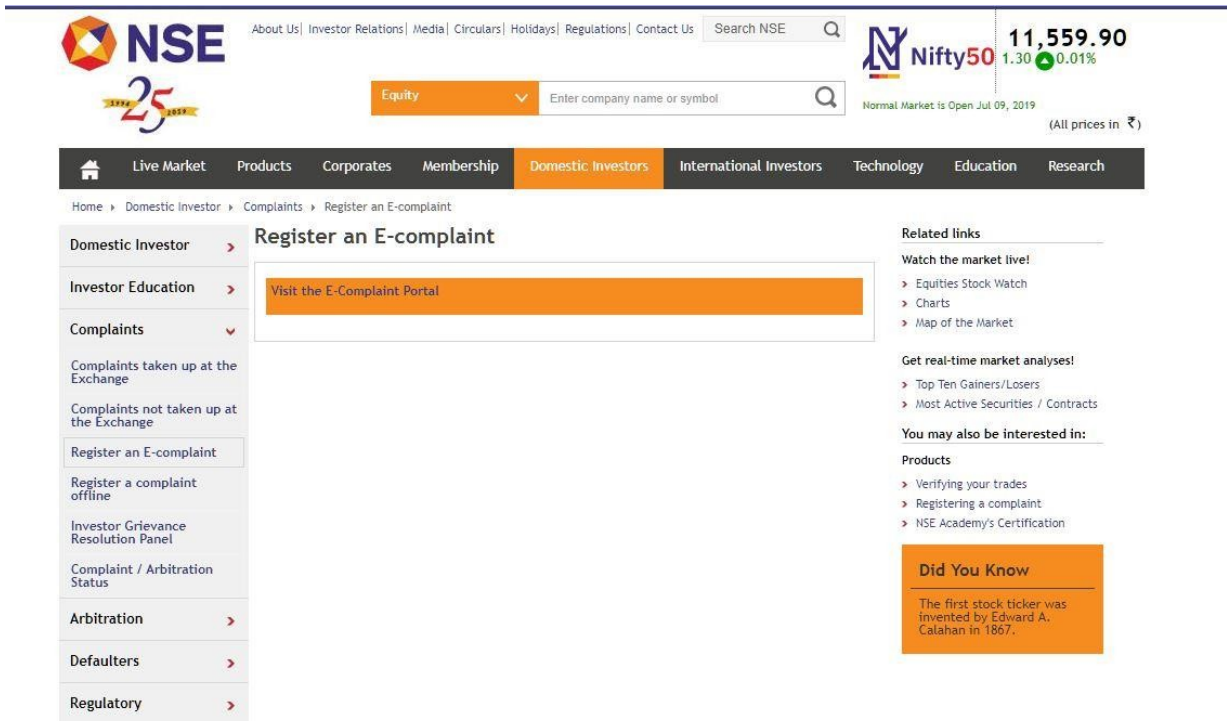
4. The Company is also registered with centralized web-based complaints redressal system called SEBI Complaints Redress System (SCORES) which is being monitored regularly.
5. In case any new complaint is received on SCORES platform, proactive action is taken to resolve the complaint on or before prescribed time limit of 30 days from the date of receipt of complaint.
6. Pursuant to Regulation 13(3) read with Regulation 13(4) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, Statements of Investor Complaint as received from the RTA, are filed with NSE on quarterly basis and same is placed before the Board of Directors of the Company for information.
7. In accordance with Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, the Company files with NSE, Reconciliation of Share Capital Audit Report on quarterly basis and also takes a Compliance Certificate from a qualified Practicing Company Secretary certifying that all certificates have been issued within 30 (thirty) days of the date of lodgement for transfer, subdivision, consolidation, renewal, exchange or endorsement of calls/allotment monies.
8. Shareholders whose Shares/ Dividend are transferred to Investor Education and Protection Fund (IEPF) needs to send the physical copy of e-form IEPF-5 to the Company after it is duly uploaded on IEPF website. For more information Shareholder can contact Company or its Registrar and Transfer Agent.

Being the oldest market regulator the Company has always focused on building good Corporate Governance by ensuring transparency in operation, accountability towards Shareholders and by demonstrating fairness in dealing with all stakeholders to maintain the confidence of all stakeholders.

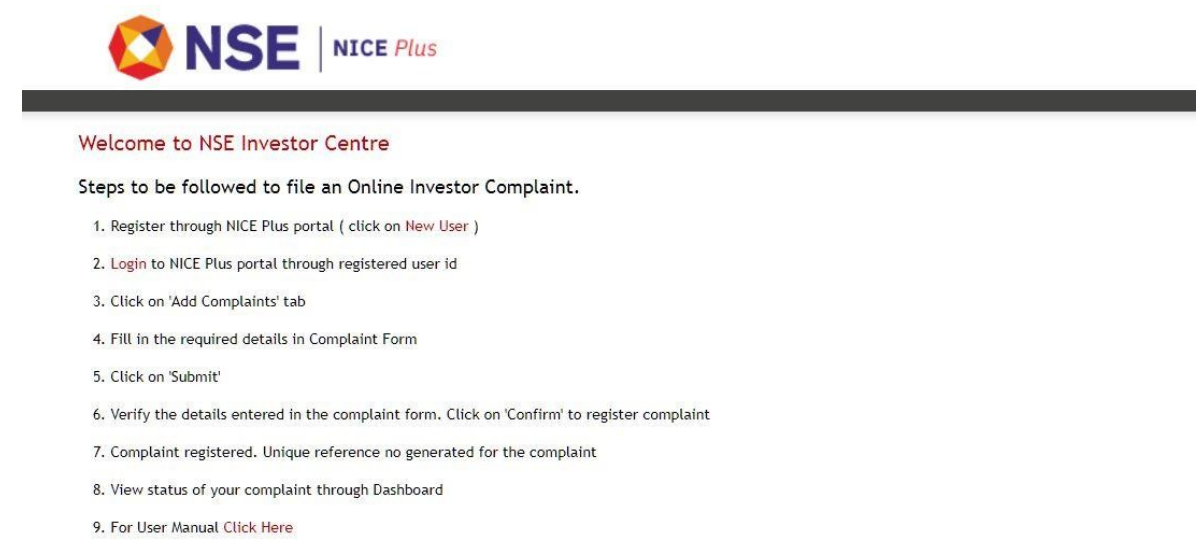
[Shareholder FAQ's BSE](#)

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STEP 5- Write to NSE Investor Complaints



The screenshot shows the NSE website interface. At the top, there is a navigation bar with the NSE logo, a search bar, and the Nifty50 index value of 11,559.90. Below the navigation bar, there is a main menu with categories like Live Market, Products, Corporates, Membership, Domestic Investors, International Investors, Technology, Education, and Research. The 'Domestic Investors' category is selected, and the 'Complaints' sub-menu is expanded, showing options like 'Register an E-complaint', 'Register a complaint offline', and 'Investor Grievance Resolution Panel'. The 'Register an E-complaint' page is displayed, featuring a search bar for company names and symbols, and a 'Visit the E-Complaint Portal' button. A sidebar on the left contains a list of navigation options, and a 'Related links' section on the right provides additional resources.



The screenshot shows the NSE Investor Centre welcome page. It features the NSE logo and the 'NICE Plus' branding. The main heading is 'Welcome to NSE Investor Centre'. Below this, there is a section titled 'Steps to be followed to file an Online Investor Complaint.' which lists nine steps: 1. Register through NICE Plus portal (click on New User), 2. Login to NICE Plus portal through registered user id, 3. Click on 'Add Complaints' tab, 4. Fill in the required details in Complaint Form, 5. Click on 'Submit', 6. Verify the details entered in the complaint form. Click on 'Confirm' to register complaint, 7. Complaint registered. Unique reference no generated for the complaint, 8. View status of your complaint through Dashboard, 9. For User Manual Click Here.

https://www.nseindia.com/invest/resources/download/Investor_guide_complaint.pdf

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Tips to make sure you safeguard your investments

1. Be Proactive and do not just depend on broker to do it for you. It is your money and you should work for it.
2. Writing complaint takes sometime but it is well worth it to make company accountable to you.
3. As a shareholder you have rights. Exercise those rights in the right platform.
4. Tweet responsibly to concerned authorities as you are likely to get more quicker response
5. If the regulators does not respond back report them to senior or CEO via twitter with evidences.
6. Before investing your hard-earned money do your own market research.
7. Understand your risk appetite and goals before expecting returns.
8. In stock market you cannot eliminate risk. The best way to manage risk is make effort and keep yourself updated
9. Stay away from rumours and blogs that spread inaccurate news about the stock. Always check disclosures on www.bseindia.com or www.nseindia.com of a company to validate that any news you see in blog is factually accurate or not. Selling or buying on speculative news is very risky and you can lose your entire investment. Check reliable source sites such as below.