



CIRCULAR

CIR/MIRSD/3/2014

August 28, 2014

To
ALL SEBI REGISTERED INTERMEDIARIES

Dear Sir / Madam,

Sub: Information regarding Grievance Redressal Mechanism

1. SEBI has been taking various measures to create awareness among investors about grievance mechanisms available to them through workshops as well as through print and electronic media.
2. As an additional measure and for information of all investors who deal/ invest/ transact in the market, it has now been decided that offices of all Stock Brokers (its registered Sub-Broker(s) and Authorized Person(s)) and Depository Participants shall prominently display basic information, as provided in Annexure-A, about the grievance redressal mechanism available to investors. For other intermediaries, the information as provided in Annexure-B shall be prominently displayed in their offices.
3. The intermediaries shall take necessary steps to implement the provisions of this circular and ensure its full compliance in respect of all its offices on or before 60 days from the date of this circular.
4. This Circular is issued in exercise of powers conferred under Section 11 (1) of the Securities and Exchange Board of India Act, 1992 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 categories "Legal Framework" and "Circulars".

Yours faithfully,

A.S.Mithwani
Deputy General Manager
022-26449613
aliasgarm@sebi.gov.in

Encl: Annexure-A
Annexure-B



Annexure A

FOR STOCK BROKERS / DEPOSITORY PARTICIPANTS

Dear Investor,

In case of any grievance / complaint against the Stock Broker / Depository Participant:

- Please contact Compliance Officer of the Stock Broker/ Depository Participant (Name) / email-id (xxx.@email.com) and Phone No. - 91-XXXXXXXXXX.
- You may also approach CEO/ Partner/Proprietor (Name) / email-id (xxx.@email.com) and Phone No. - 91-XXXXXXXXXX.
- If not satisfied with the response of the Stock Broker/ Depository Participant, you may contact the concerned Stock Exchange / Depository at the following -

	Web Address	Contact No	Email-id
BSE	www.bseindia.com	xxxxxxx	xxx@bseindia.com
NSE	www.nseindia.com	xxxxxxx	xxx@nse.co.in
MCX-SX	www.mcx-sx.com	xxxxxxx	xxx@mcx-sx.com

	Web Address	Contact No	Email-id
CDSL	www.cdslindia.com	xxxxxxx	xxx@cdslindia.com
NSDL	www.nsdl.co.in	xxxxxxx	xxx@nsdl.co.in

- You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.



Annexure-B

FOR OTHER INTERMEDIARIES

Dear Investor,

In case of any grievance / complaint against the Intermediary:

- Please contact Compliance Officer of the Intermediary (Name and Address) / email-id (xxx.@email.com) and Phone No. - 91-XXXXXXXXXX.
- You may also approach CEO / Partner / Proprietor (Name) / email-id (xxx.@email.com) and Phone No. - 91-XXXXXXXXXX.
- If not satisfied with the response of the intermediary you can lodge your grievances with SEBI at <http://scores.gov.in> or you may also write to any of the offices of SEBI. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.