

Information to Investors regarding Online Dispute Resolution (ODR) Portal

SEBI has issued a Circular *SEBI/HO/OIAE/OIAE_IAD-1/P/CIR/2023/131 dated July 31, 2023*, to streamline the existing dispute resolution mechanism in the Indian securities market by establishing a common Online Dispute Resolution Portal which harnesses online conciliation and online arbitration for resolution of disputes.

Disputes between Investors/Clients and Listed companies, including their Registrar and Share Transfer Agents (RTAs) will be resolved in accordance with this circular.

1. Shareholders are required to first take up their grievance with the RTA/Listed Entity.
2. Shareholders are required to provide requisite set of documents along with Investor Service Request (ISR) forms and complete formalities of KYC Updation, etc. with RTA/ Depository Participant as suggested to resolve their query.
3. If the grievance is not redressed satisfactorily, the same can be raised through SEBI SCORES Portal.
4. After exhausting all aforesaid options, if the dispute remains unresolved, dispute resolution through the ODR Portal can be taken up.
5. Clients/Investors/ Holders on account of nominations or transmission may also refer any unresolved issue of any service requests / service-related complaints for resolution on the ODR portal.

Follow below steps to resolve dispute through the SMART ODR Portal -

1. **Register on SMART ODR Portal:** Click on “Create Account” to register on the platform.
2. **File a New Dispute:** Click on “File New Dispute” to begin.
3. **Select Intermediary:** Select the “Intermediary” against whom you wish to file dispute.
4. **Select Category:** Select the relevant “Categories” for your dispute.
5. **Enter Dispute Details:** Fill details of the dispute and attach relevant files or documents.
6. **Track Resolution Progress:** Once your dispute is filed, you can track progress under the Dispute Timeline.

NOTE -

- The aforesaid SEBI circular is accessible through - https://www.sebi.gov.in/legal/circulars/jul-2023/online-resolution-of-disputes-in-the-indian-securities-market_74794.html
- Dispute Resolution Mechanism link for Investors: <https://smartodr.in/login>
