

## PROCESS OF COMPLAINT FILING AGAINST A STOCK BROKER

### 1. File a Complaint

- 1) PL customer send an email to [customerconnect@plindia.com](mailto:customerconnect@plindia.com) to lodge his complaint.
- 2) A ticket number is generated for future reference and the same is send to clients registered email ID.
- 3) Compliant is resolved by Customer connect team within 21 days from the date of receipt.
- 4) All Grievances are reviewed by PL compliance team before closing the complaints.

### 2. File a Complaint on SEBI SCORES

SEBI's official complaint redressal portal for investors to raise grievances against SEBI-registered entities like brokers, exchanges, depositories, etc.

#### Steps:

#### A. Go to: <https://scores.sebi.gov.in/>

#### B. Register (if new user)

1. Click "Register Here"
2. Enter:
3. Name, PAN, Email, Mobile, Address
4. Create a password
5. Verify via email OTP

#### C. Log In

Use your email ID and password to log in to the SCORES Dashboard

#### D. File a Complaint

1. Click "Complaint Registration"
2. Select:
3. Category: Intermediary
4. Sub-category: Stock Broker
5. Enter:
6. Name of the broker (select from dropdown)
7. Nature of complaint (e.g. unauthorized trade, delayed fund transfer, etc.)
8. Client Code / PAN
9. Full description of the issue (timeline, loss, etc.)
10. Upload supporting files (PDF, JPG)
11. Submit the complaint

## E. Track and Respond

1. Use "View Complaint Status" to monitor progress
2. Respond to broker's reply if required
3. If unresolved, request escalation
4. Complaint reference number and updates will be emailed to you

## 3. Use SMART ODR (Online Dispute Resolution)

### What is SMART ODR?

**SEBI's SMART ODR platform** enables fast, digital resolution of disputes through mediation or arbitration.

### Use this only if:

- If Investor complaint is not resolved via the broker or SCORES
- Investor is seeking financial compensation or formal dispute resolution

### A. Visit: <https://smartodr.in>

### B. Register

1. Create an investor account using:
  - PAN
  - Email
  - Mobile number

2. Verify via OTP

### C. Submit Your Dispute

1. Select the broker (respondent)
2. Provide your previous complaint reference number (from SCORES or broker ticket)
3. Describe the issue and **amount claimed (if any)**
4. Upload:
  - Previous complaint replies
  - Contract notes
  - Statements
  - Screenshots