

**BEFORE THE APPELLATE AUTHORITY
(Under the Right to Information Act, 2005)
SECURITIES AND EXCHANGE BOARD OF INDIA**

Appeal No. 6243 of 2024

R. D Singh	:	Appellant
	Vs	
CPIO, SEBI, Mumbai	:	Respondent

ORDER

1. The appellant had filed an application dated October 16, 2024 (received by SEBI on October 21, 2024) under the Right to Information Act, 2005 (“**RTI Act**”). The respondent, by a letter dated November 08, 2024, responded to the application filed by the appellant. The appellant filed an appeal dated November 26, 2024 (received by the Office of Appellate Authority on November 29, 2024). I have perused the application, the response of the respondent and the appeal and find that the matter can be decided based on the material available on record.
2. **Request in the application-** The appellant, in his application dated October 16, 2024, sought following information:

*“ Kindly arrange to furnish the information related to Equity shares, Debenture Certificate, Tradable Warrant issued by Reliance Industries Limited in favour of **my wife** Smt. Raj Alka, details of which are mentioned below, as per RTI act 2005:-*

1. The details submitted to SEBI vide email from technoexpo@gmail.com on October 06, 2023 at 11:10 am enclosing list in annexure-1 to 5 (Total 5 annexures).

The information related to the action taken by SEBI in respect of the documents attach in five annexures (Annexure 1 to 5). May kindly be furnished. Incase no action was taken kindly take a proper action an intimate the outcome annexure wise.

Detail list of all the five annexures are enclosed herewith for ready reference.

2. *Further, some of the equity share certificate fully paid were retained by our stock broker M/s Karvi Stocks Ltd. and they handed over all the details when Karvi was debarred by SEBI from dealing in shares. The details furnished by Karvi are mentioned below and copy enclosed.*

Details of Equity Shares.

<i>Regd. Folio No.</i>	<i>Certificate No.</i>	<i>No. of equity Shares</i>	<i>Distinctive No.</i>
1272862XX	626140 XX	136	00221899 XXXX -0022189XXXX
1272862 XX	582193 XX	136	00161497 XXXX -0016149 XXXX
1278061 XX	626140 XX	45	00221899 XXXX -00221899 XXXX
1278061 XX	582193 XX	45	00161497 XXXX -00161497 XXXX

Copy of the all the four documents mentioned above are enclosed, as annexure -6(A to D).

You are requested to give information and present status of the above share certificates.”

3. **Reply of the Respondent** - The respondent, in response to the query nos. 1-2, informed that response to the email dated October 06, 2023 received from technoexpo@gmail.com was sent on October 7, 2023 to lodge the complaint on SCORES for grievance against a listed company, a SEBI registered intermediary or a SEBI recognised Market Infrastructure Institution. Further, the respondent also provided information regarding lodging of grievance, if any, on the SCORES portal of SEBI and tracking the status of the same. The respondent also provided the toll free helpline numbers launched by SEBI to facilitate replies to various queries of the general public on matters related to securities market.
3. **Ground of appeal-** On perusal of the appeal, it appears that the appellant is not satisfied with the response provided by the respondent
4. I have perused the queries and the response provided thereto. On consideration, I find that the respondent has adequately addressed the queries by providing the information available with him.
5. Further, on perusal of the appeal, it appears that the appellant has grievance with respect to retention of share certificate by his broker, not being addressed. In this context, I note that the Hon'ble Central Information Commission (**CIC**), in the matter of *Sb. Triveni Prasad Babuguna vs. LIC of India, Lucknow* (Decision dated September 6, 2012), held: “*The Appellant is informed that ... redressal of grievance does not fall within the ambit of the RTI Act rather it is up to the Appellant to approach the correct grievance redressal forum...*”. In view of these observations, I find that if the appellant has any grievance, the remedy for the same would not lie under the provisions of the RTI Act.

6. In view of the above observations, I find that there is no need to interfere with the decision of the respondent. The appeal is accordingly dismissed.

Place: Mumbai

Date: December 20, 2024

RUCHI CHOJER

**APPELLATE AUTHORITY UNDER THE RTI ACT
SECURITIES AND EXCHANGE BOARD OF INDIA**