

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

Appeal No. 6014 of 2024

	:	Appellant
Geeta Khattar		
	Vs	
CPIO, SEBI, Mumbai	:	Respondent

ORDER

1. The appellant had filed an application dated May 02, 2024 (received by the respondent through RTI MIS Portal) under the Right to Information Act, 2005 (“**RTI Act**”). The respondent, by a letter dated May 16, 2024 responded to the application filed by the appellant. The appellant filed an appeal (Reg. No. SEBIH/A/E/24/00102) dated May 20, 2024. I have carefully considered the application, the response and the appeal and find that the matter can be decided based on the material available on record.

2. **Requests in the application** - The appellant, vide her application dated May 02, 2024, sought the following information:

“SEBI did NOT email me about the violation that I have made in the old and new SCORES online portals but blocked me (from the old and new SCORES portals), therefore providing three (3) pieces of information under SCORES case no. that are mentioned in point no. 1 to 53

A/ Provide Rules, Regulations, Guidelines, Circulars, etc. under which point no. 1 to 53 SCORES cases are dealt with by the dealing officials.

B/ Provide a copy of the SCORES Form along with the dealing officers Remark that was given during the closure of points no. 1 to 53 cases

C/ Provide a copy of the Action History along with the dealing officers name & Staff ID no. under point no. 1 to 53 cases registered in SCORES...”

3. **Reply of the Respondent** - The respondent, in response to request nos. C-1 to 31, 33 to 38, 40, 42 and 53 of the application informed that said complaints were registered and settled directly by the concerned intermediary. Hence, SEBI has no comments to offer.

In response to request nos. A, B and C- 32 of the application, the respondent informed that the information sought has been provided by SEBI as per the FAQ available on the SCORES website. Further, the respondent informed that any document like SCORES Form is not maintained by SEBI. The respondent also provided the copy of action taken report with respect to the said complaint. Additionally, with respect to information regarding SEBI dealing officers name and staff id no., the respondent informed that the information sought relates to personal information, the disclosure of which has no relationship to any public activity or interest and may cause unwarranted invasion into the privacy of the officials and may also endanger the life or physical safety of the person(s). The same is therefore exempt in terms of Sections 8(1)(g) and 8(1)(j) of the RTI Act, 2005.

In response to request nos. C-39, 41 and 43 to 52 of the application, the respondent informed that the requested information is not available on SCORES.

4. **Ground of appeal-** The appellant has filed the appeal on the ground that information provided was incomplete, misleading or false information.
5. I have perused the aforesaid requests and the response provided thereto. I note that the appellant in her application has, *inter alia*, sought information regarding her 53 complaints filed in SCORES. I also note that out of the said 53 complaints, with respect to one complaint (complaint referred in S. No. C-32 of the RTI application), the respondent has adequately provided all the information as available with him. However, with respect to request regarding SEBI dealing officers name and staff id no, I concur with the response of the respondent that the information about SEBI officials relates to personal information, the disclosure of which has no relationship to any public activity or interest and may cause unwarranted invasion into the privacy of the individual and may also endanger the life or physical safety to the person. In this regard, I note that the Hon'ble Central Information Commission (hereinafter referred to as "CIC"), in the matter of *Prerit Misra vs. CPIO, SEBI* (order dated November 21, 2022) held that- "*It is pertinent to mention here that the appellant in a similar case which was dealt in File no. CIC/SEBIE/A/2019/660770 dated 10.08.2021 whereby he had sought information regarding the names of the officers who had blocked his email address, the Commission, while passing an order had held that such information is exempted u/s 8(1)(g) & 8(1)(j) of the RTI Act. The Commission after considering the submissions of the appellant finds no merit in his case, and also is in agreement with the order of the FAA and concludes that the information is exempt u/s 8(1)(g) & 8(1)(j) of the RTI Act, hence, no relief can be given.*" In view of these observations, I find that the requested information is exempt from disclosure under sections 8(1)(g) and 8(1)(j) of the RTI Act.

6. With respect to the remaining complaints, I note that complaints referred in S. Nos. C-39, 41 and 43 to 52 of the RTI application, are complaints which are not available in SCORES. Accordingly, I do not find any deficiency in the response of the respondent. However, with respect to complaints referred in S. Nos. C-1 to 31, 33 to 38, 40, 42 and 53 of the RTI application, I note that the appellant has sought action history of her said complaints registered in SEBI's SCORES portal. Hence, the response of the respondent denying the same on the ground that the complaints are directly dealt and settlement by the concerned intermediary is not justified and warrants reconsideration. As regard the other information regarding Rules, regulations, SCORES form, dealing officer's name and staff id, I note that the same has been covered in the response to requests nos. C-32 of the application. Accordingly, I find that no further intervention of this forum is warranted at this stage.
7. Considering the above observations, I remit the application to the respondent for *de novo* consideration of request nos. C-1 to 31, 33 to 38, 40, 42 and 53 (pertaining to action history of the complaints) of the RTI application and sending appropriate response to the appellant in terms of RTI Act, within 15 working days from the date of receipt of this order.
8. The Appeal is accordingly disposed of.

Place: Mumbai

Date: June 6, 2024

B RAJENDRAN

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