

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

Appeal No. 5082 of 2022

Rahul Basu	:	Appellant
	Vs	
CPIO, SEBI, Mumbai	:	Respondent

ORDER

1. The appellant had filed an application dated May 19, 2022 (forwarded by MCA and received by the respondent through RTI MIS Portal) under the Right to Information Act, 2005 (“**RTI Act**”). The respondent, by a letter dated May 26, 2022 responded to the application filed by the appellant. The appellant filed an appeal dated June 03, 2022. 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. **Queries in the application** –The appellant, vide his application dated May 19, 2022, sought the following information pertaining to the Units held by him in GIUS-90 under folio J901...30 converted by UTI :
 - 1) *details of the redemption of GIUS-90 under folio J901.....30, or conversion to other scheme*
 - 2) *details of redemption of dividends and principal of J901....30 (GIUS-90)*
 - 3) *Details of conversion ratio for units of IUS-85 folio B85....92 to GIUS-90, dividends and redemption details.*
3. The respondent, in response to the aforesaid queries, informed that the information sought is in the nature of grievance and that taking action or resolution of grievance does not come under the provisions of the RTI Act. Hence, the same does not come under the purview of the provisions of the RTI Act. The respondent also provided information regarding lodging of grievance on the SCORES portal of SEBI and tracking the status of the same. Further, the respondent 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. Further, the appellant was advised to refer to the FAQs on “Investor Grievances-SCORES”, available on the SEBI website. The respondent also provided the link for accessing the said FAQs.

4. **Ground of appeal-** The appellant has filed the appeal on the ground that the access to the requested information was refused. The appellant, in his appeal, *inter alia*, submitted that he had merely provided the background for his claim for information.
5. I have perused the queries and the response provided thereto. I note that the appellant had sought specific information with respect to his units of GIUS-90 under folio J901.....30. Upon a consideration of the respondent's aforementioned response in light of the queries, I am of the opinion that the respondent was obliged to ascertain availability of the requested information with SEBI and whether the same may be provided to the appellant in accordance with the provisions of the RTI Act. Therefore, the respondent shall reconsider the query numbers 1, 2 and 3 and provide an appropriate response.
6. Considering the above observations, I remit the matter to the respondent for *de novo* consideration of the query numbers 1, 2 and 3 and to send appropriate response to the appellant in terms of RTI Act, within 15 working days from the date of receipt of this order.
7. The Appeal is accordingly disposed of.

Place: Mumbai

Date: June 29, 2022

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