

National Stock Exchange of India

Circular

Department: Investor Services Cell	
Circular Ref No: NSE/CML/2023/17	Date: February 17, 2023

The Company Secretary
All Listed Companies

Subject: Resolution of Company complaints through NEAPS

Dear Sir/ Madam,

The Exchange has been providing a mechanism to resolve complaints pertaining to Listing Obligations and Disclosure Requirement (LODR) received from Investors against the 'Listed Companies'.

With a view to provide easy access of complaints registered against the 'Listed Companies' vide the common platform, the Exchange has now introduced a new functionality on the NSE Electronic Application Processing System (NEAPS) platform, wherein the listed companies can now view all complaints registered against them.

The major advantages of this functionality are as under:

1. All complaints received against the 'Listed Companies' would reflect under their respective NEAPS login.
2. Companies can provide their responses online, through the portal.
3. Response (including Annexures) can be attached as pdf.
4. Option to download and export reports is made available on NEAPS.

User manual has been provided for better guidance.

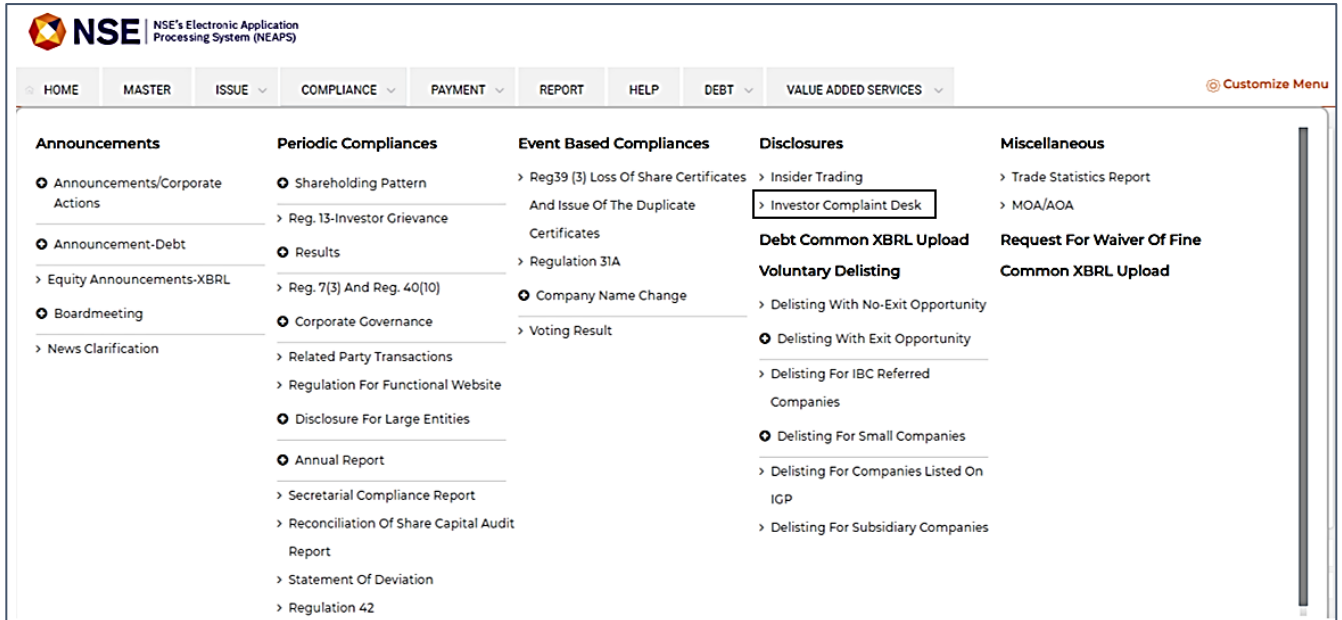
Yours faithfully,
For National Stock Exchange of India Limited

Manoj Bhatia
Manager – ISC

User Manual for Resolution of Company Complaints through NEAPS

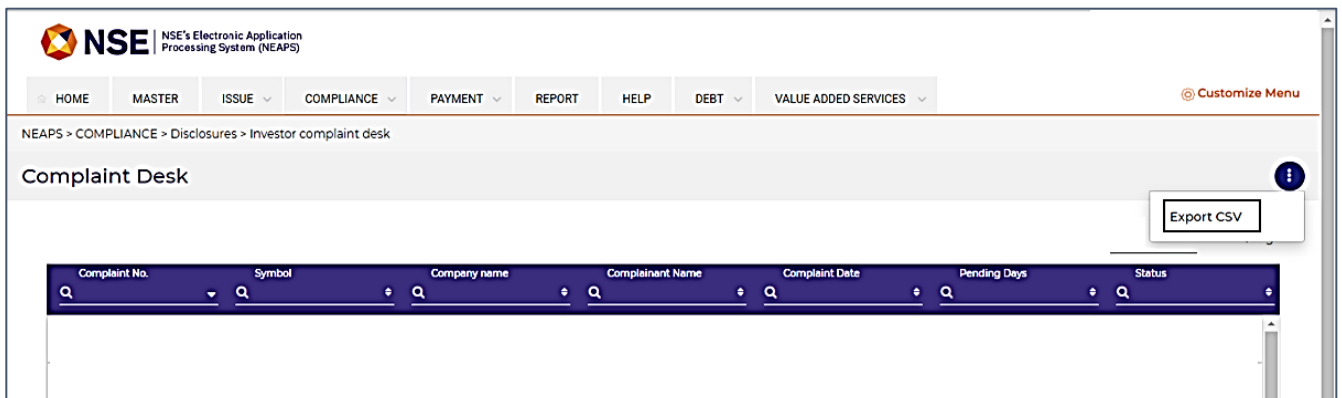
- Login into NEAPS and enter the requisite login credentials.
- Investor complaints module is available at Compliance → Disclosures → Investor Complaint Desk.
Print screen given below:

Screen 1



- The following details are available:
 - Complaint Number
 - Symbol
 - Company Name
 - Complainant Name
 - Complaint Date
 - Pending days
 - Status of complaint.
- The user has the provision to download the list of complaints using the Export CSV option available on the right side of the screen as shown below:

Screen 2



- Once user clicks on the “Complaint No.,” the details of the respective complaint along with supporting details shall be available under the tab ‘Complaint Details’. All the communications sent by Exchange shall also be available under this tab, a screen shot of which is given below:

Screen 3

NEAPS > COMPLIANCE > Disclosures > Investor complaint desk

Back

Complaint Details Company Response

Symbol	Complaint Id	Company Name	Complainant Name
File Attachments			
Complaint Date	Nature Of Complaint	Freezing To Promoter Date	UnFreezing Date
Complaint Status	Complaint Days	Reminder Date1	
Reminder Date2	Reminder Date3	Initial Response Date	Additional Response date
Penalty Freezing Notice	Penalty Levied Amount	Penalty Paid Amount	Penalty Paid

Facility to provide response:

- While providing a response to the complaint, the user needs to select “Company Response”. In case the Company wants to make any submission with respect to the said complaint, the same can be done by clicking on “Update” button. The display for the same are as shown below:

Screen 4

NEAPS > COMPLIANCE > Disclosures > Investor complaint desk

Update Back

Complaint Details Company Response

Screen 5

The screenshot shows the NEAPS (NSE's Electronic Application Processing System) interface. At the top left is the NSE logo and the text "NSE's Electronic Application Processing System (NEAPS)". A navigation menu includes "HOME", "MASTER", "ISSUE", "COMPLIANCE", and "PAY". A confirmation dialog box is open in the center, asking "Do you want to update the record?" with "OK" and "Cancel" buttons. The breadcrumb trail reads "NEAPS > COMPLIANCE > Disclosures > Investor complaint desk". On the right, there is a "Customize Menu" icon. Below the breadcrumb, there are "Update" and "Back" buttons. The main content area has two tabs: "Complaint Details" and "Company Response", with "Company Response" being the active tab.

- The Company shall upload the file under “Company file attachment” and shall write requisite remarks in the Company Response box and then click on “Submit” and select “OK” for submission of the requisite response to the Exchange. The display of the said tabs are as given below.

Screen 6

The screenshot shows the NEAPS interface with the "Company Response" tab active. The breadcrumb trail is "NEAPS > COMPLIANCE > Disclosures > Investor complaint desk". The navigation menu includes "HOME", "MASTER", "ISSUE", "COMPLIANCE", "PAYMENT", "REPORT", "HELP", "DEBT", and "VALUE ADDED SERVICES". There are "Submit" and "Cancel" buttons at the top right. The form contains three main sections: "Company Remarks" with a search icon, "Company Reply Date" with a date input field, and "Attach Company File" with a "Choose File" button and the text "pdf only" and "No file chosen".

Screen 7

The screenshot shows the NEAPS interface with the "Company Response" tab active. A confirmation dialog box is open, asking "Do you want to save the record?" with "OK" and "Cancel" buttons. The breadcrumb trail is "NEAPS > COMPLIANCE > Disclosures > Investor complaint desk". The navigation menu includes "HOME", "MASTER", "ISSUE", "COMPLIANCE", and "PAY". On the right, there is a "Customize Menu" icon. Below the breadcrumb, there are "Submit" and "Cancel" buttons. The main content area has two tabs: "Complaint Details" and "Company Response", with "Company Response" being the active tab. The form contains three main sections: "Company Remarks" with a search icon, "Company Reply Date" with a date input field, and "Attach Company File" with a "Choose File" button and the text "pdf only".

- In case no response is received for any complaint, the company shall receive reminder(s) from the Exchange on regular intervals. The same shall be displayed under status on screen 2.

In case of any further clarifications / assistance, Listed Companies may contact on helpline no.18002660050 (Option 4).
