

INVESTOR COMPLAINT FORM AGAINST a TRADING MEMBER

(ONLY FOR TRANSACTIONS EXECUTED ON BSE)

**(Please state details in CAPITAL letters and submit in duplicate along
with two sets of relevant supporting documents)
Please read 'List of Enclosures Required' and 'Notes'**

Date:

BSE Limited

S (Please send the form to the appropriate office of BSE as stated in the notes at the bottom)

Name and Address of Investor :

Name of Investor : _____

Address : _____

City : _____ **Pin Code :** _____

Tele. No. : _____ **Mobile No. :** _____ **e-mail id :** _____

I) Name of the Trading Member /Individual/Firm/Company): _____

II) Clearing Number : _____

III) Nature of Complaint (Strike out whichever is not applicable)

(a) Non-receipt of delivery of shares / Non-removal of objection / Non-receipt of sale proceeds of shares / Non-receipt of dividend / Non-receipt of Rights, Bonus shares

Name of the Company	No. of Shares/ Debentures	Claim Amount in Rs.	Date of Transactions
_____	_____	_____	_____

(b) Dispute regarding Rate Difference :

Name of the Company	No. of Shares/ Debentures	Amount of Rate Difference	Claim Amount in Rs.	Date of Transaction
_____	_____	_____	_____	_____

(c) Dispute relating to Non-settlement of accounts :

Total claim amount inclusive of non-receipt of delivery of shares.: Rs. _____

(d) Non-implementation of Arbitration Award.

Arbitration Ref. No. _____ Date of Award _____ Awarded Amount _____

(e) Any other claim not covered above:

Total amount of claim in Rs. : _____

Brief description of the dispute (separate sheet may be attached, if required):

Please do the needful.

Yours faithfully,

(Signature of the Complainant)

List of Enclosures Required

1. (a) Copies of contract notes and bills, showing the sale and purchase transactions.
(b) Copy of proof of delivery of shares / debentures, etc.
2. Copy of ledger account.
3. Arbitration Award, in case the complaint is regarding non-implementation of Arbitration Award. Copy of
4. In case of non-removal of objection, photo copy of company objection memo, copy of both sides of Transfer Deeds, Copy of shares certificate and proof of tendering bad delivery.
5. For complaints regarding Fake/ Forged / Stolen shares, copies of both sides of Transfer Deed, Share Certificates and Company Objection Memo should accompany the complaint.
6. BSE quotations for proof of rates, entitlements, book closures and ex-dates (Example: ex-bonus, ex-Rights, ex-dividend).
7. Details of relevant dates e.g. settlement period, pay-in-date, cum bonus date, ex-bonus date etc.
8. Any other relevant details.

Notes

1. Complaints regarding transactions such as loan transactions and primary market transactions, which do not fall under the purview of Rules, Bye-laws and Regulations of BSE, will not be entertained.
2. Complaint without claim amount in rupees will not be entertained.
3. Claims against defaulter Trading Members should directly be referred to Arbitration under the Rule, Bye-laws and Regulations of BSE.
4. In case of reminders, the complainant should quote the reference number of the complaint.
5. Complaints not accompanied by the enclosures, as mentioned above, may not be accepted and processed.
6. In case of a complaint against a SEBI-registered sub-broker, the complainant should forward it, first, to the main Trading Member with whom sub-broker is affiliated and if the complaint still remains unresolved, then to BSE in the "Complaint Form".

Regional Investor Service Centers

MUMBAI : BSE Investor Service Center
1st Floor, Cama Building, Dalal Street, Fort,
Mumbai – 400 001
Telephone No. 022-22721234/33
Fax No. 022-22723677
Email. Id : sanjay.sampat@bseindia.com

KOLKATA : BSE Investor Service Center,
57 Jawaharlal Nehru Road, Horizon,
2nd Floor, Near Rabindra Sadan Metro,
Kolkata - 700071
Telephone No. : 033- 22821375
Telefax No. : 033- 22821376
E-mail Id: isc.kolkata@bseindia.com
anirban.guha@bseindia.com

AHMEDABAD : BSE Investor Service Center
203/204,"Abhishree Avenue",
Near Nehru Nagar Circle,
S.M.Road, Ambawadi,
Ahmedabad - 380 015
Telephone No. : 079 – 26462992 / 2640 2992
Telefax : 079 - 26402992
E-mail : isc.ahmedabad@bseindia.com
hiren.kansara@bseindia.com

KANPUR : BSE Investor Service Center
5th floor, Padam Towers, 14/113 , Civil Lines, Kanpur – 208001

DELHI : BSE Investor Service Center,
15th Floor, Dr. Gopal Das Bhawan,
28,Barakhambha Road, Connaught Place,
New Delhi - 110 001.
Telephone Number – 011-43007413/14/15/16
E-mail Id: iscdelhi@bseindia.com; neha.gupta@bseindia.com

CHENNAI : BSE Investor Service Center
No.4, Vijaya Towers, 3rd Floor
Kodambakkam High Road, (Opp. To Palm Grove Hotel),
Chennai – 600 034.
Telephone Number: 044-42163999
Telefax No.: 044-42164999
E-mail Id: iscchennai@bseindia.com
deepa.rangarajan@bseindia.com

HYDERABAD : BSE Investor Service Center
304, Amrutha Ville, 3rd Floor,
Opp: Yashoda Hospital,
Raj Bhavan Road, Somajiguda,
Hyderabad - 500 082.
Telephone No. : 040 - 30605844
040 - 30605845
Telefax : 040 - 30605846
Email Id.: siddharth.dixit@bseindia.com

INDORE : BSE Investor Service Center
201, Palika Plaza, Phase II, MTH Compound, Indore

COMPLAINT REGISTRATION FORM – Against Trading Member (NSE)

1. General Information

A. Personal Details:

Name of the Complainant _____
 Residential Address _____
 (For correspondence) _____
 _____ Pin code _____
 City _____ State _____
 Telephone no. _____ Cell no. _____
 E-Mail id _____
 Permanent A/c No.(PAN) _____
 Unique Client Code _____
 (Allotted by Trading Member)

B. Demat Account Details

DP Name _____
 DP-id _____ DP A/c no.: _____

2. Trading member Particulars

Name of the Trading Member _____
 SEBI Registration Number _____

3. Nature of Complaint: (please tick relevant box)

SN	Nature of complaint	CM*	F&O*	CDS*
1	Non-Issuance of the Documents by the Trading Member			
2	Non-receipt of funds / securities			
3	Non-Receipt of Funds / Securities kept as margin			
4	Non-Receipt of Corporate Benefit (Dividend/Interest/Bonus/Rights etc.)			
5	Auction clarification			
6	Close out / Square up of positions			
7	Trades executed without authorization/ consent			
8	Excess Brokerage charged by Trading Member			
9	Service Related			
	a) Non/ Wrong execution of order			
	b) Opening / Closing of Account			
	c) Connectivity/ System related			
10	Others, Specify _____			

*Segment: **CM** = Capital Market, **F&O** = Future & Options, **CDS** = Currency Derivatives

3.A. Any other segment of the Exchange: _____

4. Value of Claim (Provide the calculation/ break up of claim value): Rs. _____

