

## COMPLAINT REGISTRATION FORM – Against Trading Member

### 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*	CO*
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,  
**CO** = Commodity Derivatives

**3.A. Any other segment of the Exchange:** \_\_\_\_\_

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

**5. List of documents enclosed with the Complaint:**

(i) \_\_\_\_\_

(ii) \_\_\_\_\_

(iii) \_\_\_\_\_

**6. Details of Complaints taken up with Trading Member:**

- Date on which complaint taken up with trading member : \_\_\_\_\_
- Copies of correspondence with the member.

**7. Detailed Description of the complaint:**


Place : \_\_\_\_\_

Date : \_\_\_\_\_

\_\_\_\_\_  
Complainant's Signature