

## 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<br>(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 : \_\_\_\_\_

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**Complainant's Signature**