

COMPLAINT REGISTRATION FORM – Against Trading Member
(Please submit in Duplicate)

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.: _____

C. Bank Account Details

Bank Name _____
 Branch Name _____
 Bank Account No. _____

2. Trading member Particulars

Name of the Trading Member _____
 SEBI Registration Number _____
 Address of the Branch _____
 Contact Person at the Branch _____

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

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 etc.)
5. Difference in Auction value
6. Close out / Square up of positions
7. Trades without authorization
8. Excess Brokerage charged by Trading Member / Sub-broker
9. Others, Specify _____

CM*	F&O*

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

4. Value of Claim (Provide the statement of calculation): 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. Additional information (if any):

Place: _____

Date: _____

Complainant's Signature