

**INVESTOR COMPLAINT FORM AGAINST TRADING MEMBER
 (ONLY FOR TRANSACTIONS EXECUTED ON BSE)**

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

Date: _____

Name & Address of Complainant: _____

Phone.: _____

Fax No.: _____

E-mail : _____

**Bombay Stock Exchange Limited
 Department of Investor Services
 1st Floor, Rotunda Building
 Mumbai Samachar Marg, Mumbai - 400001
 Fax No.: 022-22723677**

I) Name of the Trading Member / Sub - Broker: _____

II) Clearing Number: _____

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

(a) Non-receipt 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 shares: Rs. _____

(d) Non-implementation of Arbitration Award.

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

(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)

Notes

1. The complaints only in respect of trades executed on BSE's on-line Trading System would be entertained. Complaints in respect of trades on other Exchanges should be sent to the concerned Exchange.
2. 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.
3. Complaint without claim amount in rupees will not be entertained.
4. Claims against defaulter Trading Members should directly be referred to Arbitration under the Rule, Bye-laws and Regulations of BSE.
5. In case of complainants staying outside Mumbai, they may provide a local address for quick follow-up and also inform whether they can attend joint meetings at Mumbai (if any) arranged by BSE.
6. In case of reminders, the complainant should quote the reference number of the complaint.
7. Complaints not accompanied by the enclosures, as mentioned above, may not be accepted and processed.

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. Copy of Arbitration Award, in case the complaint is regarding non-implementation of Arbitration Award.
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.