

FORM FOR REGISTRATION OF INVESTOR COMPLAINTS
AGAINST MEMBERS
(Please submit in duplicate)



1. Information about complainant

To be filled in by MCX-SX

Receipt Date :

Complaint No. :

Name of complainant _____
Correspondence address _____

_____ Pin code _____
Contact telephone no. _____ Contact Mobile No _____
E-mail id _____
Permanent Account No.(PAN) _____
Unique Client Code _____

2. Trading member details

Name of the trading member _____
Address of branch of member _____
Contact person at the branch _____

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

1. Non-Issuance of documents by the member
2. Dispute regarding difference in trade price
3. Non-receipt of funds from member
4. Non-receipt of margin kept with the member
5. Non-receipt of corporate benefit on shares kept as margin
6. Close out / square up of positions without consent
7. Trades without authorization
8. Excess brokerage charged by the member
9. Non-receipt of credit balance as per statement of accounts
10. Non/wrong execution of orders given by constituents
11. Any other complaint _____

4. Total amount of claim Rs. _____

Please provide a brief statement of claim value and description of the dispute (Separate sheet may be attached, if required)

5. List of documents attached:

6. Details of correspondence with member:

- Date on which complaint was taken up with trading member :
- Date of member's reply, if any
- Please attach copies of correspondence with the member

Place: _____

Date: _____

Complainant's signature

Please note the following

1. Complaints only in respect of trades executed on the trading system of MCX Stock Exchange Limited (MCX-SX), will be entertained.
2. Complaints regarding transactions such as loan transactions which do not fall under the purview of Rules, Bye-laws and Regulations of MCX-SX, will not be entertained.
3. 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 the Exchange.
4. In all subsequent correspondence with the Exchange, the complainant is advised to quote the reference number of the complaint, given by the Exchange
5. Please ensure to fill all the details and provide necessary enclosures.

List of required enclosures

1. Copies of contract notes and bills, evidencing sale and purchase transactions.
2. Copy of ledger account.
3. Copy of proof of delivery of shares, etc. towards margin
4. Any other relevant documents / details.