

**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