

Ahmedabad Stock Exchange Ltd.

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. _____

