

**Report 1A: Complaints received from clients against Trading Members (TMs)# during 2009-10: Updated on 30.11.2009**

Sl. No.	Sr. No.	Details of Complaint			Details of TM			Status of Complaint				
		Date of Receipt	Name of Client	Type of Complaint	Name of TM	Market Segment	If Defaulter Date of its Declaration	Status*	Status Date ##	Date of Filing Arbitration	Name of Arbitrator(s)	Date of Arbitration Award
1	1	10-09-2009	Ragini B. Shah	IV B	Dushyant M. Shah	TM		Closed (Transferred to ACML)				
2	2	10-09-2009	Chandrakant P. Thakkar	1B	RaJesh N.	TM		Closed (Time barred)				
3												
4												
5												
6												
7												
8												
9												
10												
11												
N												
Total												

# including against its sub-brokers, authorized persons, employees, etc.

## Status date is the date of resolution/reference to arbitration/finding it non-actionable. If under process, it is the date of updation of this sheet.

\*/\*\* As per Table 1A