

Table 1A
For Report 1A

* Type of Complaints	
Type	Description
I	Non-receipt / delay in payment:
I a	Delay in Payment
I b	Non-receipt of Payment
I c	Delay in refund of margin payment
I d	Non settlement of accounts
II	Non-receipt / delay in securities
II a	Delay in delivery
II b	Non-receipt of delivery
II c	Delay in refund of margin deposit
II d	Non settlement of accounts
III	Non-receipt of documents:
III a	Contract notes
III b	Bills
III c	Account Statements
III d	Agreement copies
IV	Unauthorized trades / misappropriation:
IV a	Unauthorized trades in client account
IV b	Misappropriation of client's funds / securities
V	Service related:
V a	Excess brokerage
V b	Non-execution of order
V c	Wrong execution of order
V d	Connectivity / system related problem
V e	Non-receipt of corporate benefits
V f	Other service defaults
VI	Closing out / squaring up:
VI a	Closing off / squaring up without consent
VI b	Dispute in Auction value / close out value
VII	Non implementation of arbitration award
VIII	IPO related
IX	Others

** Status	
Type	Description
I	Non actionable
I a	Complaints incomplete
I b	Outside the scope of stock exchange
II	Resolved
III	Under Process
IV	Referred to Arbitration