

## Instructions for completing the Registration Form

### 1. Personal Details

- ✓ Please provide your correct address of contact so that Exchange could get in touch with if more information is required.
- ✓ Please furnish the details of your beneficiary account (i.e. client id, DP id, DP name)

### 2. Company Details

- ✓ Before filling the complaint forms please check whether the securities of the company are listed on the Exchange.
- ✓ Please fill the correct details of name of company and Registrar & Transfer Agent (RTA) of the company. In case the RTA details are not available please leave it blank.

### 3. Nature of Complaints:

#### A) Corporate Actions: Complaint regarding non-receipt of...

##### a. Dividend

- ✓ Mention whether it is interim / final / special dividend.
- ✓ Please mention the year(s) for which you have not received the dividend from the company.
- ✓ Enclose the copy of the documents in support of your holding of shares.
- ✓ In case you are holding physical shares, please provide us folio no. and distinctive no.

##### b. Interest on Debentures, Bonds or other Debt Instruments

- ✓ Mention the type of the instrument whether it is debenture / bond and whether it is convertible / non-convertible.
- ✓ Please mention the year(s) and period for which you have not received the interest from the company.
- ✓ Enclose copy of documents in support of your holding of security.

##### c. Redemption Amount

- ✓ Mention the type of instrument whether it is debenture / bonds / units / preference shares and whether it is convertible / non-convertible.
- ✓ Please mention the date of the maturity.
- ✓ Enclose copy of documents in support of your holding of security.

##### d. Securities on account of a Bonus / De-merger / Merger / Stock Split

- ✓ Specify the type of issue / offer as bonus / merger / de-merger / stock split and type of security held by you as debenture / bonds / units / equity / preference shares / others.
- ✓ Mention number of securities held by you before the relevant record date / book closure date for corporate action.

#### B) Public / Further offerings: Complaint regarding non-receipt of...

##### a. Allotment Advice

- ✓ Please specify the type of the issue/offer as Initial Public Offer / Follow on Public Offer / Rights Offer / Preference offer and type of the security as units / equity / preference shares / convertible or Non- convertible debt instruments.
- ✓ Please mention the application number/ Composite Application Number, details of amount paid, number of securities applied.

**b. Securities purchased through an Initial Public Offer**

- ✓ Mention the type of security as debenture/bonds/units/equity / preference shares held by you.
- ✓ Mention the number of securities applied and details of amount paid for these securities and no. of securities claimed.

**c. Refund Order**

- ✓ Please specify the type of the issue/offer as Initial Public Offer / Follow on Public Offer / Rights Offer / Preference offer and type of the security as debentures / units / equity / preference.
- ✓ Please mention the application number/ Composite Application Number, number of securities applied and allotted, details of amount paid and refund amount to be received.

**d. Interest on delay Redemption / Refund Amount.**

- ✓ Please specify the type of the issue/offer as Initial Public Offer / Follow on Public Offer / Rights Offer / Preference offer and type of the security as units / equity / preference shares / convertible or Non- convertible debt instruments.
- ✓ Please mention the application number, number of securities applied and allotted, details of amount paid, refund/ principal amount not received, date of receipt of refund amount and interest amount claimed by you.

**e. Sale Proceeds of Fractional Entitlement**

- ✓ Specify the type of corporate action as bonus / merger / de-merger / stock split.
- ✓ Please mention number of securities held by you in the company before the corporate action. Also, mention the fractional entitlement claimed by you.

**f. Composite Application Form (CAF) for Rights Offer**

- ✓ Please specify the type of security as debentures / equity / preference shares held by you.
- ✓ Please mention number of securities held by you, before the relevant record date / book closure date for corporate action.

**g. Securities purchased through a Rights Offer**

- ✓ Please specify the type of security as debentures/equity/preference/warrant/other held by you.
- ✓ Please mention Composite Application Number, number of securities held by you, ratio of right offer, your entitlement, details of amount paid by you to the company.
- ✓ Number of securities claimed as not received.

**h. Letter of offer for Buyback**

- ✓ Please specify the type of security as debentures / equity / preference shares held by you
- ✓ Please mention number of securities held by you, number of securities offered to you, price per security and total amount.

**C) Transfer of Securities: Complaint regarding non-receipt of...**

- a. **Securities after Dematerialization /**
- b. **Securities after Transfer/Transmission /**
- c. **Duplicate Certificate relating to Securities /**

- ✓ Please specify the type of security as debentures / equity / preference shares / tradable warrant /sent for dematerialization / transfer / transmission / issue of duplicate certificate.
- ✓ Please provide details of correspondence and copies submitted to company.

**D) Miscellaneous:**

- a. **Complaint regarding non-receipt of copy of the Annual Reports**

- ✓ Please mention the year for which you have not received the annual report from the company.

- b. **Other complaints**

- ✓ Please describe your complaint with details of your claim along with documentary support in proof of your claim.

**4. Value of Claim**

- ✓ Please mention your claim in financial terms by specifically stating the value of your claim.
- ✓ If your claim is partially for receipt of funds and partially for receipt of securities, for the purpose of ascertaining value please consider the value of securities as basis of your calculations.
- ✓ Please attach a statement giving details of how claim value has been arrived at.

**5. List of Documents Attached**

- ✓ Please take care to attach copy of the documents in support of your claim,
- ✓ Please list out the documents that you have attached with the claim form,
- ✓ Also list out the documents that you have not produced along with reasons thereof,
- ✓ **List of documents that can be attached to substantiate your complaint:**
  - a. Statement of holding as on record date/ book closure date,
  - b. Counter part of application form/ composite application form,
  - c. Copy of bank statement / passbook,
  - d. Acknowledgement by syndicate member/ bank,
  - e. Copy of allotment advice, share / debenture / bond certificate, letter of entitlement,
  - f. Copy of acknowledgement given by DP,
  - g. Copy of Letter issued by DP/ company/ RTA / transfer deed,
  - h. Copy of acknowledgement given by company, indemnity bond, FIR filed with police, etc.

**6. Details of Complaints taken up with the Company**

- ✓ If the complaint has already been taken up with the company, please provide the copies of complaint lodged with company and copies of response received from company along with the documents received.

## **7. Additional Information**

- ✓ Please describe your complaint in a precise manner and mention additional facts which are not already covered that you would like Exchange to know.

## **8. General Instructions**

- ✓ Please fill the complaint form in legible manner,
- ✓ Complaints relating to following issues which cannot be taken up by ISC (Investor Services Centre)
  - Complaints pertaining to securities not listed on the Exchange,
  - Complaints for refund of postal charges, telephone expenses and miscellaneous charges,
  - Compensation for mental agony, harassment,
  - Notional loss due to delay in receipt of shares sent for transfer or after IPO,
  - Complaints which fall outside the purview of the listing agreement and not related to the Exchange,
  - Pledge and assignment of shares,
  - Inability of complainant to establish ownership of security complaint against.