

## GRIEVANCE / COMPLAINT REGISTRATION FORM

### A. \*General Information

Complaint against \_\_\_\_\_

Broker

DP

Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_ PIN: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_

Mobile No.: \_\_\_\_\_ Phone \_\_\_\_\_

PAN No. \_\_\_\_\_ Client (UCC) ID: \_\_\_\_\_

Client ID /BO ID: \_\_\_\_\_

Email ID: \_\_\_\_\_

### B. \*Opposite Party Detail

Name: Nariman Point Finance Ltd.

Address: 138-B, Jolly Maker Chambers II, 22, Nariman Point, Mumbai PIN: 400 021

City: Mumbai

State: Maharashtra

Mobile No. \_\_\_\_\_ Phone no. (if any): 22820349/0359/0267/0268/0316/0317

Contact Person Name: Mr. Tushar Karade

Member PAN No. AAACN4917E

\* Whether disputed trade is IBT (Internet Based Trading)? \_\_\_\_\_

\* Nature of Complaint: [please tick (  ) the relevant box]

Account Opening	Trading/Demat
Execution of Trades	
Non-receipt/Delay of Account statement	Trading/Demat
Non-receipt/delay of Contracts/Bills;	Trading/Demat
Closure of Account	Trading/Demat
Technological issues;	
Improper service by staff;	
Freezing/Unfreezing of Account	
Contact person not available in member's office	
Service Related	
Other (attach separate sheet)	

\*Statement of Claim (along with calculation of claim) : Rs. \_\_\_\_\_

\*List of document enclosed with the complaint (please tick relevant box)

(i) Contract Notes	
(ii) Bills/Invoices/Ledger	
(iii) Statement of Account	
(iv) All forms of correspondence with the trading member prior to filing the complaint (for correspondence received/sent from/to the trading member post complaint filing, please share them as and when they are received/sent)	
(v) Any other documents in support of your claim (attach separate sheet)	

\* Details of grievance/complaint

\* Date of last trade/transaction through member: \_\_\_\_\_

\* Date on which grievance/complaint has arisen: \_\_\_\_\_

\* Copy of Letter/email correspondence between disputing parties: \_\_\_\_\_

**\* Detailed Description of the complaint:**

**Additional Information (If any)**

I, the complainant, do hereby acknowledge that all the information provided in this complaint form are true to my knowledge, belief and understanding and no part of it, intentionally or otherwise, has been concealed and/or misrepresented thereof.

Place: \_\_\_\_\_

Date : \_\_\_\_\_

**\*\*Note:** Kindly furnish copies of documents relied on for the present complaint.

**INVESTOR COMPLAINTS DATA – STOCK BROKERS**

**DATA FOR MONTH ENDING:**

S. N	Received from	Carried forward from previous month	Received during the month	Total Pending	Resolved*	Pending at the end of the month**		Average Resolution time^ (in days)
						Pending for less than 3 months	Pending for more than 3 months	
1	2	3	4	5	6	7		8
1	Directly from Investors	0	0	0	0	0		0
2	SEBI (SCORES)	0	0	0	0	0		0
3	Stock Exchanges	0	0	0	0	0		0
4.	Other Sources (if any)	0	0	0	0	0		0
5.	<b>Grand Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>		<b>0</b>

**TREND OF MONTHLY DISPOSAL OF COMPLAINTS**

SN	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	2	3	4	5	6
1		0	0	0	0
2		0	0	0	0
3		0	0	0	0
4		0	0	0	0
5		0	0	0	0
6		0	0	0	0
7		0	0	0	0
8		0	0	0	0
9		0	0	0	0
10		0	0	0	0
11		0	0	0	0
12		0	0	0	0
13		0	0	0	0
14		0	0	0	0
15		0	0	0	0
16		0	0	0	0
17		0	0	0	0
18		0	0	0	0
19		0	0	0	0
	<b>Grand Total</b>	0	0	0	0

\* Should include complaints of previous months resolved in the current month, if any.

\*Should include total complaints pending as on the last day of the month, if any.

\* Average resolution time is the sum total of time taken to resolve each complaint in the current month divided by total number of complaints resolved in the current month.

**TREND OF ANNUAL DISPOSAL OF COMPLAINTS**

SN	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1					
2					
3					
4					
5					
6					
7					
	<b>Grand Total</b>				