

Metropolitan Stock Exchange of India Limited

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.
- In the Unique Client Code column, please fill in the trading code allotted to you by the Trading Member
- Please furnish the details of bank account and DP account that are being used for your dealing with the trading member against whom you are lodging your complaint.

2. Trading Member Details

- Before filling the complaint form please check whether your complaint is against SEBI registered trading member of MSE and that the complaint relates to trades executed on MSE.
- Please fill the correct details of branch of Trading Member and the contact person at the branch with whom you were dealing.

3. Nature of Complaints

- Please specify whether your complaint relates to CM segment, F&O segment, CD segment or CO segment.
- Please identify the specific issue on which you have a complaint and give the relevant particulars/documents in every case.

Issue no. 1: Non-issuance of the documents by the TM

Please specify in your complaint which of the following documents **have not** been issued by the trading member.

- A copy of Know Your Client Form (KYC)
- A copy of Member Constituent Agreement (MCA)
- A copy of Risk Disclosure Document (RDD)
- Statement of Accounts for Funds / Securities
- Margin Statements
- Contract notes
- Other, Please specify _____

Issue no. 2 Non-receipt of funds / securities

- Please specify the trade details for which funds/securities have not been received by you in the following format and attach copies of contract notes in support of your claim

Sr.no.	Type of Transaction (Sell / Buy)	Scrip Name	Transaction Date	Order No.	Trade Number	Trade Time	Quantity	Price	Value

- Please provide details of payment made/Securities transferred by you to the Trading Member
- Provide a copy of ledger account, funds/securities statement issued by Trading Member

Issue no.3 Non-receipt of margin/security deposit given to the TM

- Please provide the particulars of margin/security Deposit given by you to TM in the following format along with Bank Statement/DP Statement

Margin/Security Deposit in Cheque/DD*

Sr.n o.	Date of Payment	Amount	Cheque/DD No.	Name of the Bank	Cheque in favour of	Purpose of Payment

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Margin/Security Deposit in the form of Securities*

Sr. No	Date of Transfer	Scrip Name	Quantity	DP Account from where transferred	DP Account of TM to which transferred	Purpose of Transfer

Issue no.4 Non-receipt of corporate benefit

- Please attach particulars specifying the details of corporate benefit viz., Bonus, Stock Split, Merger/De-merger/Dividend, Rights, Sub-division that you are claiming along with details of securities on which you are claiming the corporate benefit and proof in support of securities being held by Trading Member.

Issue no.5 Difference in Auction value

If the claim relates to auction difference please give the following particulars:

- Details of Securities that have got auctioned
- Auction Value Debited
- Reason for dispute

Issue no.6 Close out / Square up of positions

In case your claim relates to close-out/square- up of positions please give the following details

- Details of Positions that have got closed-out/squared-up
- The value debited/credited on account of close-out/square-up
- The value that is disputed along with reasons clearly stating:
 - (a) Whether the positions have been Squared-up despite adequate margins being available,
 - (b) Positions have been squared-up without margin calls,
 - (c) Square-off is not proportional to shortfall in margin,
 - (d) Despite not having any margin/settlement dues, securities have been sold off.

Issue no. 7 Trades in the account without authorization

- Please specify your regular mode of placing orders Viz.,(a) On-Line (b) Telephonic (c) Personally.
- Please mention whether you have opted for receipt of documents Viz., Contract Note and statement of account in Physical form or Digital form.
- Please provide the particulars of trades that have been executed without consent.
- In case complaint relates to internet trading please mention whether it is a case of misuse of user-id, password or the dispute relates to square-off of transactions.
- Please provide copies of statement of account, contract notes issued by the Trading member.
- Please also provide details of payments made by you after the trades in dispute have taken place.

Issue no. 8 Excess brokerage charged by the trading member / Sub-broker

- If your complaint relates to charging brokerage in excess of permissible limit of 2.5% please provide details along with copies of contract notes.
- If your complaint relates to TM charging a different brokerage than was mutually agreed in writing please provide copies of what was mutually agreed and the transactions where the charging is different from the agreed brokerage.

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Issue No. 9 Others

- 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 includes receipt of securities, please include the value of such securities while specifying the claim value
- Please attach a statement giving details of how claim value has been arrived at.

5. List of Documents Attached

- Please take care to attach the copy of documents as detailed out at point no.3 above 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.

6. Details of Complaints taken up with Trading Member

- If the complaint has already been taken up with Trading Member, please provide the copies of complaint lodged with Trading Member and copies of response received from trading member 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 MSE to know.

8. General Instructions

- Please fill the complaint form in legible manner.
- MSE would not be in a position to take up following types of complaints
 - a. Complaints in respect of transactions which are already subject matter of Arbitration proceedings,
 - b. Complaint involving payment of funds and transfer of securities to entities other than Trading Member,
 - c. Claims for mental agony/harassment and expenses incurred for pursuing the matter with the ISC,
 - d. Claim for notional loss, opportunity loss for the disputed period or trade,
 - e. Complaints pertaining to trades not executed on the Exchange by the complainant,
 - f. Claims of sub-broker/authorized persons for private commercial dealings with the trading member,
 - g. Claims relating to transactions which are in the nature of loan or financing which are not within the framework defined by the Exchange.