

**FORM FOR CLAIM AGAINST DEFAULT / EXPELLED TRADING MEMBER**
**1. Personal Details:**

Name of the Complainant \_\_\_\_\_  
 Address \_\_\_\_\_  
 \_\_\_\_\_  
 City/ Pin code \_\_\_\_\_  
 State \_\_\_\_\_  
 Telephone & Cell no. \_\_\_\_\_  
 (along with STD codes)  
 E-Mail id \_\_\_\_\_  
 PAN\* \_\_\_\_\_

**2. Trading account details:**

Trading Member (TM) name \_\_\_\_\_  
 Client code\* \_\_\_\_\_

**3. Demat account details:**

Depository Participant Name \_\_\_\_\_  
 DP A/c No. \_\_\_\_\_

**4. Bank Account Details:**

Bank Name \_\_\_\_\_  
 Branch Name \_\_\_\_\_  
 Bank A/c No. \_\_\_\_\_

**5. Nature of Claim: (please tick relevant)**

		Claim (Rs)
A. Non-receipt of securities purchased	<input type="checkbox"/>	
B. Non-receipt of funds for securities sold	<input type="checkbox"/>	
C. Non- receipt of credit balance	<input type="checkbox"/>	
D. Non- receipt of Margin money		
i. Provided in form of funds	<input type="checkbox"/>	
ii. Provided in form of securities	<input type="checkbox"/>	
E. Others	<input type="checkbox"/>	

**6. List of documents enclosed with the claim (please specify)**

i. \_\_\_\_\_  
 ii. \_\_\_\_\_  
 iii. \_\_\_\_\_

7. Details of complaint taken up with Trading Member (TM) (if any)

- i. Complaint letter date
- ii. Copies of correspondence with the TM
- iii. Mode of communication

8. Details of complaint taken up with the Exchange (if any)

- i. Complaint no. provided by the Exchange

9. Arbitration details (if any)

- i. Arbitration matter no.

10. Details of the case / Additional information

Please state, whether you are a registered sub-broker or authorized person? YES / NO

If yes, please specify your registration no. and SEBI code. \_\_\_\_\_

Are you related to the employee / proprietor / partners / directors of the trading member? YES / NO

If yes, please provide the details.

**Declaration:**

I hereby declare that,

- I have disclosed all my transactions and I do not owe any amount to the trading member.
- The claim pertains to the undersigned only and that is made on behalf of any other person.
- All the information provided by me is true to the best of my knowledge and I am aware that my claim is liable to be rejected if the information given by me is found to be false or incorrect.

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

Date: \_\_\_\_\_  
(DD- MMM-YYYY)

\_\_\_\_\_  
**Claimant's Signature**

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\* Mandatory details

For office use only

1. Date of receipt of claim \_\_\_\_\_
2. Last date of lodgment of claims \_\_\_\_\_
3. List of documents not submitted  
i.  
ii  
iii

### INSTRUCTIONS FOR COMPLETING THE CLAIM FORM

- 1. Personal details**  
Please provide your correct address, contact numbers so that Exchange could get in touch with you if more information is required. Please quote your PAN on the claim form.
- 2. Trading Account details**  
Please provide the TM name and correct client code provided by the TM on the claim form.
- 3. Demat Account details**  
Please furnish the details of Depository Participant (DP) name and DP account number which you have used while dealing with the TM.
- 4. Bank Account details**  
Please provide bank name and branch details along with the bank account number linked to your trading account.
- 5. Nature of Claim:**

**A. Non-receipt of securities purchased.** Please fill the applicable points only.

List of documents to be provided in case of below claim:

- i. Copies of contract note
- ii. Copies of attested bank statement / original certificate from the bank towards proof of payment
- iii. Copy of demat transaction statement from commencement till date towards proof of delivery
- iv. Ledger account as provided by TM
- v. Copies of TM-Client registration and KYC details submitted to TM

**For purchases:**

- a. Please specify the list of securities which have not been received by you on purchase in the following format and attach copies of contract notes in support of your claim.

Sr. No.	Name of the security	Qty.	Rate	Value (Rs)	Contract note no.	Date of contract note	Settlement no.

- b. Please provide proof of payment made for purchase of securities specified above in (a), (if applicable).

Sr. No.	Particulars	Bank name	Account no.	Cheque no.	Date of payment	Name of payee	Amount (Rs.)

**For purchase against sales:**

- c. In case securities are sold for the purchase of securities specified above in (a), then provide details as under and attach copies of contract notes in support of your claim (if applicable).

Sr. No.	Name of the security	Qty.	Rate	Value (Rs)	Contract note no.	Date of contract note	Settlement no.

- d. Proof of deliveries of securities sold as specified above in (c), for paying towards purchase of securities (if applicable).

Sr. No.	Name of the security	Qty.	Date of delivery	Beneficiary Account No.	Name of the Depository Participant	Names of the Beneficiary Account Holders

**B. Non-receipt of funds for securities sold**

List of documents to be provided in case of below claim:

- i. Copies of contract note
- ii. Copies of attested bank statement / original certificate from the bank towards proof of payment
- iii. Copy of demat transaction statement from commencement till date towards proof of delivery
- iv. Ledger account as provided by TM
- v. Copies of TM-Client registration and KYC details submitted to TM



d. Please provide proof of payment made for purchase of securities specified above in (c), if applicable.

Sr. No.	Particulars	Bank name	Account no.	Cheque no.	Date of payment	Name of payee	Amount (Rs.)

**Credit balance arising out of payment made to TM**

e. Please specify the details of payments made in case, the credit balance has resulted on account of payments made to TM.

Sr. No.	Particulars	Bank name	Account no.	Cheque no.	Date of payment	Name of payee	Amount (Rs.)

**D. Non- receipt of Margin money**

List of documents to be provided in case of below claim:

- i. Copy of acknowledgement of the receipt of margin money by the TM
- ii. Copies of attested bank statement / original certificate from the bank towards proof of payment made to TM for margin money
- iii. Copy of the statement of accounts for the relevant period showing the details of the payment of margin money
- iv. Copy of demat transaction statement from commencement till date towards proof of delivery of securities to TM

**i. Non-receipt of funds provided as margin**

Please provide details of payments made to TM towards margin money in the following format.

Sr. No.	Particulars	Bank name	Account no.	Cheque no.	Date of payment	Name of payee	Amount (Rs.)

**ii. Non-receipt of securities provided as margin**

Please provide details of securities delivered in demat form towards margin in the following format.

Sr. No.	Name of the security	Qty	Rate	Amount (Rs.)	Date of delivery	Beneficiary Account No.	Name of the Depository Participant	Names of the Beneficiary Account holders

**E. Others:**

Please provide information in details about your claim

6. Please provide relevant documents from the list provided in each claim (e.g. 5A, 5B, etc)
7. Please provide details and copies of correspondence with the defaulter/expelled member.
8. Details of complaint lodged with the Investor Services Cell of the Exchange for the said claims at any point of time.
9. Please provide the Arbitration matter number.
10. Additional details: Please provide additional details if any

**General Instructions:**

- a. Please read the document carefully before filling up the details.
- b. Please fill complete information legibly.
- c. In case the claimant is the company please provide a board resolution confirming names of authorized signatories also provide list of all the directors of the company.
- d. Please use separate form for claim of each registered client.

**Please note that Exchange would not consider claims in respect of:**

1. For trades that are not executed on Exchange.
2. Contract in securities, which is not made subject to the Bye-laws, Rules and Regulations of the Exchange
3. Claims that are not supported with the documentary proofs.
4. Which arises from any arrangement of settlement in lieu of bonafide due amount arising out of a trade executed on the Exchange;
5. Which is in respect of a loan, with or without security;
6. Which is not filed within 3 months from the date of publication of the notice inviting claims

**Abbreviations used:**

PAN - Permanent Account Number  
TM - Trading Member  
DP - Depository Participant  
KYC - Know Your Client  
MCA - Member-Client Agreement

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