

INVESTOR GRIEVANCE SUBMISSION FORMAT

(Use separate forms for each entity / complaint)

(Please tick the appropriate item and complete all columns in Capital Letters)

To,
 SECURITIES & EXCHANGE BOARD OF INDIA
 Office of Investor Assistance and Education
 P.B. No. 19972, Nariman Point P.O.
 Mumbai - 400 021

Dear Sirs,
 Kindly take up the matter with the Company for immediate redressal of my complaint, particulars of which are as under:

1. Name, Address and e-mail address of the Investor	2. Name and address of the entity
3. Name of the Registrar & Transfer Agent (if any)	
4. SEBI Acknowledgement Reference No. (in case of reminder)	
5. Nature of Complaint Type / Category	

(I) Issue / Offers - non-receipt of

[a] Refund Order / Allotment Advice	[b] Cancelled Stock Invest	[c] Allotment advice against encashed stock-invest
[d] Revalidation of Refund Order (RO)	[e] RO after details furnished	[f] Duplicate RO after correction
[g] Duplicate RO for correct amount	[h] Copy of encashed RO	[i] Short Refund
[j] Duplicate RO after Indemnity	[k] Duplicate RO for correct bank details	

(II) Dividend - non receipt of:

[] Dividend

(III) Shares – non receipt of certificates in/after:

[a] Exchange of allotment letter	[b] Transfer	[c] Transmission
[d] Conversion	[e] Endorsement	[f] Consolidation
[g] Splitting	[h] Bonus	[i] Duplicate on submission of

		indemnity
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(IV) Bond - Debentures/ bond non receipt of certificates in/after

[a] Interest	[b] Redemption Amount	[c] Exchange of Allotment Letter
[d] Transfer	[e] Transmission	[f] Endorsement
[g] Consolidation	[h] Splitting	[i] Duplicate on submission of indemnity
[j] Interest on delayed interest payment	[k] Interest on delayed redemption amount	[l]

(V) Miscellaneous

[b] Offer for Rights	[d] Interest on delayed refund payment
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(VI) Collective Investment Schemes

[] Non Receipt of investment & returns thereon

VII) Investment Management Related

[a] Mutual Funds	[b] Venture Capital Funds	[c] Foreign Venture Capital Investors
[d] Foreign Institutional Investors	[e] Portfolio Managers	[f] Custodians

VIII) Market Intermediaries Related

[a] Brokers	[b] Sub-brokers	[c] Securities lending intermediaries
[d] Merchant Bankers	[e] Registrars and Transfer Agents	[f] Debenture Trustees
[g] Bankers to Issue	[h] Underwriters	[i] Credit Rating Agencies
[j] Depository Participants		

IX) Market Regulation Related

[a] Securities Exchanges	[b] Clearing and settlement organizations	[c] Depositories
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X) Derivatives and New Products Related

[] Derivative Exchanges and related organizations
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XI) Corporation Finance Related		
[a] Corporate Governance	[b] Corporate restructuring	[c] Substantial Acquisition and Takeovers
[d] Buy back of securities	[e] Delisting of Securities	[f] Compliance with listing conditions

7. Particulars of the application/securities held (for securities related grievances)

(a) Full name of first applicant / security holder			
(b) Application form No. / Folio No. (Seller's in case of Transfer)			
(c) No. of Securities applied / held			
(d) Kind of Security	☐ Shares	☐ Debentures	☐ Others
(e) Mode of payment: details	☐ Cash	☐ Cheque/ D.D.	☐ Stock Invest
	No.	Dated	
	Drawn on		
(f) Application deposited at:			
(g) Bank serial No.			
(h) Photocopy of Bank certificate enclosed	☐ Yes	☐ No	
(i) Photocopy of acknowledgement slip enclosed	☐ Yes	☐ No	
(h) Original refund order No. (in case of revalidation/ duplicate)			
(i) Period on for / which interest / dividend / maturity amount / amount due redemption			
(j) Date on which securities were: forwarded to Company / Registrars			
(k) Indemnity Bond sent for issue of duplicate	☐ Yes ☐ No If Yes, Date :		

Name of the Mutual Fund and folio no.	
Name of the Venture Capital Fund	
Name & SEBI Registration no. of Portfolio Manager	
Name & SEBI Registration no. of Custodian	
Name & SEBI Registration no. of Broker	
Name & SEBI Registration no. of Sub-broker	
Name & SEBI Registration no. of Merchant Banker	

Name & SEBI Registration no. of Registrars and Transfer Agent	
Name & SEBI Registration no. of the Debenture Trustees	
Name & SEBI Registration no. of the Banker to Issue	
Name & SEBI Registration no. of Underwriters	
Name of Credit Rating Agency	
Name & SEBI Registration no. of Depository Participants	
Name of Securities Exchanges	
Name of Clearing and settlement organizations	
Name of the Depository	

8. Details related to other grievances, in brief

Dates of earlier correspondence with the Company / intermediary:

Enclosure, if any

Place	Date	Signature of the First Applicant/ Security holder

NOTE: It would be advisable to address the complaints to SEBI only if the concerned entity has not responded inspite of having sent two reminders over a period of at least one month.

Investors' Consent (optional)

I hereby give my consent to sharing of information on my complaint with recognised Investors' Associations to facilitate filing of CLASS ACTION SUITS in consumer courts against defaulting companies.

Place	Date	Signature of the First Applicant/ Security holder