



**Complaint Registration Form**

- 1. Name:\* \_\_\_\_\_
- 2. CNIC: \* \_\_\_\_\_
- 3. Mailing Address: \* \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- 4. Telephone: \* \_\_\_\_\_  
Residence: \_\_\_\_\_  
Mobile: \_\_\_\_\_
- 5. E mail ID: \_\_\_\_\_
- 6. Company Registration Number (in case of company): \_\_\_\_\_
- 7. Managing Director (In case of Company) \_\_\_\_\_
- 8. Trading Account No: \* \_\_\_\_\_
- 9. CDC Account No: \* \_\_\_\_\_

**Against Whom you want to complaint:**

- 10. Name of the Member/Agent (along with Branch Office): \* \_\_\_\_\_
- 11. Address of the Branch Office: \_\_\_\_\_
- 12. Name of the Exchange of whose it is a member: \* \_\_\_\_\_
- 13. Relation Ship with the Member: \_\_\_\_\_  
Investor/Employee/Agent: \_\_\_\_\_  
Since When: \_\_\_\_\_
- 14. Date when the cause of complaint against the member first arose: \* \_\_\_\_\_
- 15. Have you Lodged a complaint? \_\_\_\_\_  
With the Exchange: Yes/ No \_\_\_\_\_  
If Yes: \_\_\_\_\_  
Date when reported: \_\_\_\_\_  
Details of the Action Taken by the Exchange: \_\_\_\_\_  
\_\_\_\_\_

With the Member: Yes/ No

If Yes:

Date when reported: \_\_\_\_\_

Details of the Action Taken by the Member: \_\_\_\_\_

With Any Other Forum (such as courts): Yes/ No

If Yes:

Date when reported: \_\_\_\_\_

Details of the Action Taken by the Forum: \_\_\_\_\_

If the Complaint is not lodged within 30 days, please provide reasons \_\_\_\_\_

16. Specify Nature of complaint: \*

- Non Transfer of Shares/ Non Payment of Funds
- Unauthorized Trading
- Fraudulent Entries, Incorrect Commission/Charges
- Non Provision of Statements/Information
- Trading the wrong scripts- not following the instructions of the client
- Dealings between employees and clients (under the name of member/ broker).
- Holding, other members' account for dues of family members.
- Dispute with another Investor
- Delay in disposition of matters referred to in arbitration and appeals against the award of arbitration.
- Private Financing arrangements
- Non Implementation of Award announced by panel of arbitrators
- Conflict of Interest in reference to the panel of arbitrators and panel against the award of arbitrators.
- Settlement in reference to defaulted members
- Value Loss during the period of dispute./Claim of Compensation
- Other



19. Do you have any documents in support of your complaint

No :

Yes, the following documents are attached with this form:

I.
II.
III.
IV.
V.
VI.
VII.

20. I Mr/Miss/Mrs/M/s \_\_\_\_\_do hereby state that whatever is stated above is true to best of my knowledge and nothing is concealed.

Signature: \_\_\_\_\_

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

Complete forms along with copy of CNIC and documents mentioned above can be submitted at the following address

**Investors Complaint Wing,  
Securities and Exchange Commission of Pakistan,  
9<sup>th</sup> Floor, NIC Building,  
Jinnah Avenue, Blue Area  
Islamabad.  
Ph: 051-9207091-94  
Fax No: 051-9218595**