

Details of pending complaints against brokers of the Exchange as on 30.11. 2011

Sl No.	Name of the complainant	Name of the Member & Ref	Nature of complaint	Receiving date	Type of action	Status of complaint	Remarks
1	SK Anwar Hossain	A.Malik & Co. 1303	Non receipt of payment of Rs.29,000/-	23/8/2001	Declared Defaulter		----
2	Runa laila	A.Malik & Co. 1302	Non receipt of payment of Rs.61,000/-	23/8/2001	Declared Defaulter		----
3	Vyapaar P Limited	Bafna Securities Pvt. Ltd.1259	Non-payment of 5200 shares of RIL	21/5/2001		Matter Subjudice	----
4	Priyajit Kumar Sett	Bimal Kumar Seal 975	Non delivery of shares	17/8/1998	Declared Defaulter		----
5	Sanjay Kumar Sett	Bimal Kumar Seal 974	Non delivery of shares	17/8/1998	Declared Defaulter		----
6	Fortune Investors & traders Ltd.	C.K.Tibrewalla & Co. 1282	Non payment of Rs. 27,00,000/-	07/06/2001		Matter Subjudice	----
7	Madhuri Jaipuria SEBI	C.K.Tibrewalla & Co. 1341	Loan Rs.10 Lacs against Badla	01/01/2002		Matter Subjudice	----
8	Balaji Investment	Daga & Sons 1352	Non-receipt of 1600 shares of TELCO	02/09/2002	Declared Defaulter		----
9	Vaibhai Trade & Services Pvt Ltd.	Daga & Sons 1218	Due Rs.33,80,000/-	25/1/2001	Declared Defaulter		----
10	Rajvir Commercial Pvt Ltd. SEBI	Daga & Sons 1217	Due Rs.17,85,000/-	25/1/2001	Declared Defaulter		----
11	Empee Finvest Pvt. Ltd. SEBI	Daga & Sons 1216	Due Rs.33,20,000/-	25/1/2001	Declared Defaulter		----
12	Arun Kumar Sureka	Dinesh Kumar Singhanian 1168	Non-payment of Rs.2,03,28,374/-	07/11/2000	Defaulter,Expelled		----
13	GPI Investment Pvt. Ltd.	Harish Chandra Biyani 1343	Non-payment of Rs. 4,09,786/-	14/1/2002	Defaulter,Expelled		----
14	Hindusthan Equity Fund	Harish Chandra Biyani 1229	Non-receipt of payment of Rs77,32,690/-	18/3/2001	Defaulter,Expelled		----
15	Shyam Sunder Kukreja	Jwala Prasad Saraf 1081	Non-receipt of payment for different share transactions	08/05/1999		Matter Subjudice	----
16	Murali Lal Lhila	Jwala Prasad Saraf 991	Non-payment of 300 shares of ITC	10/06/1998		Matter Subjudice	----
17	MSV Securities Limited	Kiran ParasramPuria 1170	Non-receipt of 13,12,955/-	19/7/2000	Declared Defaulter		----
18	Badri Das Chamana	Kunj Behari Kejriwal 1111	Non-payment of 3000 shares of ITC	14/2/2000		Matter Subjudice	----
19	Jasraj Singh	Mahabir Prasad Lohia 839	Fradulence of share certificate of 100 Shares of ITC Hotel 843	18/11/1997	Declared Defaulter		----
20	Sobhagya Holdings Pvt Ltd. SEBI	Mukesh Dokania & Co. 1374	Non-refund of Rs 10,00,000/-	30/7/2002		Matter Subjudice	----
21	Sudha Singhanian	Mukul Bhattacharjee 1357	Non-payment of Rs. 15,939/-	15/3/2002			Suspended
22	Tarak Nath Paul	Mukul Bhattacharjee 1308	Nonpaymentof700RPL300bata50RIL25castrol50satyam100usha	30/8/2001			Suspended
23	Jyotsna Nath	Mukul Bhattacharjee 1300	Non payment of Rs. 2,26,410/-	14/8/2001			Suspended
24	Kaberi Das	Mukul Bhattacharjee 1093	Non-payment of 600 Rolta	10/08/1999			Suspended
25	Suman Kumar Bandhu	Mukul Bhattacharjee 1362	Return of cheque against sale proceed	18/4/2002			Suspended
26	Umesh Kumar Mohta	Murali M Chandak & Co 1200	Non-receipt of Rs.82,178.70/-	23/10/2000	Declared Defaulter		----
27	Subroto Das SEBI	Platinum Stock Broking 1254	Non-payment of Rs.10,000/-	15/5/2001			Expelled
28	Amit Ganguly	Platinum Stock Broking 1087	Non-receipt of 50 Ranraxy Lab	09/08/1999			Expelled
29	Parimal Sarkar	Platinum Stock Broking 1071	Nondeliveryofsharesof1000IFC1500IDBI1000BOI1000DenaBank	07/01/1999			Expelled
30	Raylon Industries Ltd. SEBI	Pradeep Kayan & Co. 1237	Rs.1,89,00,000 + 55,54,310.50 + Margin Money due	04/02/2001		Matter Subjudice	----
31	Mayur Industries Ltd. SEBI	Pradeep Kayan & Co. 1236	Rs.61,00,000 + Margin Money due	04/02/2001		Matter Subjudice	----
32	Rajat Polypack Pvt. Ltd SEBI	Pradeep Kayan & Co. 1235	Rs.2,74,268 + 14,00,000 + Margin Shares Due	04/02/2001		Matter Subjudice	----
33	West Port Export Pvt. Ltd. SEBI	Pradeep Kayan & Co. 1234	Rs. 18,79,843 + Margin Shares Due	04/02/2001		Matter Subjudice	----
34	R.K. Bhattacharya	Prem Lal Roy 1375	Non-payment of Rs.74,000/-	26/8/2002	Defaulter		----
35	Santosh Kumar Banerjee	Prem Lal Roy 1376	Non-payment of 27,500/-	26/8/2002	Defaulter		----

36	Anjana Sarkar	Ramesh Kumar Kabra & Co.	Non-receipt of Rs.134135.89/- (Ref No. 1298)	18/6/2001	The transaction has not been done in the Exchange . However the Exchange has taken up the matter with concerned broker & The investor	Active	In process
37	Jagmohan Khemani	Sanjay Khemani 1274	Vyaj Badla of Rs.25,00,000	22/6/2001			Suspended
38	Unit Trust of India	Shamlal Laha & Co. 854	Non-receipt of payment of different share transactions	11/11/1997		Matter Subjudice	----
39	Syam Sunder Kukreja	Sharad Agarwala & Co. 1080	Delivery in forged T.D	08/05/1999		Matter Subjudice	----
40	Alok Kr. Mitra	Prem Lal Roy 1410	Non-delivery of Shares of 18,215/-	17/10/2003			Suspended
41	Ratan Kumar Shaw	Prem Lal Roy 1417	Non-receipt of 400 Penta Media 100 Tisco 500 Silver Line	22/1/2004			Suspended
42	Gouri Sharan Sharma SEBI	Shyam Sunder Dalmia 1449	Non-delivery of 50 SBI	09/12/2006	The Matter is time barred the letter was issued to investor regarding status in 2007 but since then the investor has neither responded nor has informed the Exchange regarding whether the matter is settled or not.	Active	A letter is being sent to the investor asking about the status of the complaint.
43	Shri Krishna Muchhal	Luxmi & Co. 1452	Non return of 1000 shares of Reliance Petroleum	13.12.2006	It was a Custodian matter the Broker was informed about the formalities vide Exchange letter 05.04.2007 with a copy to investor but the member has denied that the shares has not been received by them. since then neither the investor nor the broker has contacted.	Active	A letter is being sent to the investor asking about the status of the complaint.
44	Sushil Kumar Jhunjhunwala SEBI	KCGP Securitries 1453	Violation of SEBI Contract	07/10/2007		Matter Subjudice	----
45	Subir Kar Chowdhury	R.K.Mishra & Co. 1457	Non-tranfer of 100 shares of J.K.Corporation	22/11/2007	The matter has been taken up with the broker concerned and an reminder has also been issued in that effect.	Active	In process
46	Aloke Kumar chatterjee SEBI	N.K.Tiwary 1458	Non-tranfer of 100 shares	12/07/2007		Matter Subjudice	

47	Rajlaksmi Tradelink P Ltd.	N.M.Lohia & Co. 1463	Fradulence of 4,00,000/-	21.05.2008	The matter has been taken up with the broker concerned and we are awaiting reply from them.	Active	In process
48	Mitesh R Shah	Vikash Somani Sec Pvt. Ltd.	Fradulence of Jaiparakash Industries shares	17.09.2008	The matter was taken up with the broker concerned with a copy to the complainant. But we awaiting reply from them.	Active	reminder sent
49	B.R.Associates(p) Ltd.	M/s P.K.Agarwal & Co.	Non-Compliance with Investor requirements	9.02.2009	The matter was taken up by the Exchange legal opinion was also sought. As per their opinion , The Arbitration facilities can not be provided as the transactions were not executed in exchange's Trading Platform. However the Exchange is trying to place the matter before DAC for taking necessary disciplinary measures against the member.	Active	In process
50	Magnum Steels Ltd.	M/s P.K.Agarwal & Co.	Non-Compliance with Investor requirements	9.02.2009	The matter was taken up by the Exchange legal opinion was also sought. As per their opinion , The Arbitration facilities can not be provided as the transactions were not executed in exchange's Trading Platform. However the Exchange is trying to place the matter before DAC for taking necessary disciplinary measures against the member.	Active	In process

51	IRS Industries Pvt. Ltd.	M/s P.K.Agarwal & Co.	Non-Compliance with Investor requirements	9.02.2009	The matter was taken up by the Exchange legal opinion was also sought. As per their opinion , The Arbitration facilities can not be provided as the transactions were not executed in exchange's Trading Platform. However the Exchange is trying to place the matter before DAC for taking necessary disciplinary measures against the member.	Active	In process
52	Shri Jyotirup Chandra	Laksmi Stock BrokingPvt Ltd.	Non-receipt of shares	18.02.2009	The matter has been taken up with the broker concerned and the Exchange is awaiting reply from them. However interim the Exchange has sought legal opinion on the said matter .	Active	reminder sent
53	Smt. Suvra Dey	J Thomas Investment Co. Ltd.	Non-delivery of shares of ITC Limited	27.03.2009	A letter was sent to the investor asking whether the said complaint has been settled or not & if they do not respond within 15 days from the date of receipt of the letter the Exchange will treat the matter as closed. The letter was sent on March 1,2011. In response to that , Smt Surva Dey has sent us a letter dated 11.05.2011 wherein she has requested us to keep the matter as active.	Active	reminder sent

54	Shri Prasanta Naskar	M/s Reedward & Co.	Non-receipt of Rs 3,15,012.50	11.02.2011	With the Exchange intervention out of 1250 shares of Power Grid 600 shares has been received by the investor and Rs 20,000 has been also been paid to the investor in lieu of 200 shares of power grid corporation the Investor has onfirmed the same verbally to the Exchange. The Exchange further has talked with the broker and the broker has promised to deliver the 450 shares at the earliest..	Active	partly settled
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55	Channabasavaraju T G	Shree Harivansha Securities Ltd.	Fradulent duplication and dematerialisation of shares	24.06.2011	<p>The Exchange further vide its letter dated 30.08.2011 has forwarded the letter to the investor advising them to submit the documents in order to resolve the issue with a copy to sebi. complainant vide its letter 10.08.2011 has given their clarification and documents in support of their claim in the matter which was forwarded to the broker. The broker in response to the letter has replied to the exchange vide its letter dated 19.09.2011 that they are not satisfied with the documents including the self-indemnity bonds submitted by the claimant & has asked for a court order in form of a decree of jurisdiction /A Bank Gurantee of current value of shares.the said letter has been forwarded to the claimant on 29th September,2011 further no letter has been received from the investor. However the member further vide its</p>	Active	In process
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