

Details of pending complaints against brokers of the Exchange as on 31.07.2016								
Sl No.	Name of the complainant	Name of the Member & Ref	Nature of complaint	Receiving date	Type of action	Status of complaint	Remarks	cse/sebi /NSE referred
1	SK Anwar Hossain	A.Malik & Co. 1303	Non receipt of payment of Rs.29,000/-	23/8/2001	Declared Defaulter		----	CSE
2	Runa laila	A.Malik & Co. 1302	Non receipt of payment of Rs.61,000/-	23/8/2001	Declared Defaulter		----	CSE
3	Vyapaar P Limited	Bafna Securities Pvt. Ltd.1259	Non-payment of 5200 shares of RIL	21/5/2001		Matter Subjudice	----	CSE
4	Priyajit Kumar Sett	Bimal Kumar Seal 975	Non delivery of shares	17/8/1998	Declared Defaulter	Matter Subjudice	----	CSE
5	Sanjay Kumar Sett	Bimal Kumar Seal 974	Non delivery of shares	17/8/1998	Declared Defaulter	Matter Subjudice	----	CSE
6	Fortune Investors & traders Ltd.	C.K.Tibrewalla & Co. 1282	Non payment of Rs. 27,00,000/-	6/7/2001		Matter Subjudice	----	CSE
7	Madhuri Jaipuria SEBI	C.K.Tibrewalla & Co. 1341	Loan Rs.10 Lacs against Badla	1/1/2002		Matter Subjudice	----	CSE
8	Balaji Investment	Daga & Sons 1352	Non-receipt of 1600 shares of TELCO	9/2/2002	Declared Defaulter		----	CSE
9	Vaibhai Trade & Services Pvt Ltd.	Daga & Sons 1218	Due Rs.33,80,000/-	25/1/2001	Declared Defaulter		----	CSE
10	Rajvir Commercial Pvt Ltd. SEBI	Daga & Sons 1217	Due Rs.17,85,000/-	25/1/2001	Declared Defaulter		----	CSE
11	Empee Finvest Pvt. Ltd. SEBI	Daga & Sons 1216	Due Rs.33,20,000/-	25/1/2001	Declared Defaulter		----	CSE
12	Arun Kumar Sureka	Dinesh Kumar Singhania 1168	Non-payment of Rs.2,03,28,374/-	11/7/2000	Defaulter,Expelled	Matter Subjudice	----	CSE
13	GPI Investment Pvt. Ltd.	Harish Chandra Biyani 1343	Non-payment of Rs. 4.09,786/-	14/1/2002	Defaulter,Expelled	Matter Subjudice	----	CSE
14	Hindusthan Equity Fund	Harish Chandra Biyani 1229	Non-receipt of payment of Rs77,32,690/-	18/3/2001	Defaulter,Expelled	Matter Subjudice	----	CSE
15	Shyam Sunder Kukreja	Jwala Prasad Saraf 1081	Non-receipt of payment for different share transactions	5/8/1999		Matter Subjudice	----	SEBI
16	Murali Lal Lhila	Jwala Prasad Saraf 991	Non-payment of 300 shares of ITC	6/10/1998		Matter Subjudice	----	CSE
17	MSV Securities Limited	Kiran ParasramPuria 1170	Non-receipt of 13,12,955/-	19/7/2000	Declared Defaulter		----	CSE
18	Badri Das Chamana	Kunj Behari Kejriwal 1111	Non-payment of 3000 shares of ITC	14/2/2000		Matter Subjudice	----	SEBI
19	Sobhagya Holdings Pvt Ltd. SEBI	Mukesh Dokania & Co. 1374	Non-refund of Rs 10,00,000/-	30/7/2002		Matter Subjudice	----	SEBI
20	Sudha Singhania	Mukul Bhattacharjee 1357	Non-payment of Rs. 15,939/-	15/3/2002			Suspended	CSE
21	Tarak Nath Paul	Mukul Bhattacharjee 1308	Non payment of 700 RPL 300 bata 50 RIL 25 castrol 50 satyam 100 usha	30/8/2001			Suspended	CSE
22	Jyotsna Nath	Mukul Bhattacharjee 1300	Non payment of Rs. 2,26,410/-	14/8/2001			Suspended	CSE
23	Kaberi Das	Mukul Bhattacharjee 1093	Non-payment of 600 Rolta	8/10/1999			Suspended	CSE

24	Suman Kumar Bandhu	Mukul Bhattacharjee 1362	Return of cheque against sale proceed	18/4/2002			Suspended	CSE
25	Umesh Kumar Mohta	Murali M Chandak & Co 1200	Non-receipt of Rs.82,178.70/-	23/10/2000	Declared Defaulter		----	CSE
26	Subroto Das SEBI	Platinum Stock Broking 1254	Non-payment of Rs.10,000/-	15/5/2001			Expelled	SEBI
27	Amit Ganguly	Platinum Stock Broking 1087	Non-receipt of 50 Ranraxya Lab	8/9/1999			Expelled	CSE
28	Parimal Sarkar	Platinum Stock Broking 1071	Non delivery of shares of 1000 IFCI; 500 IDBI; 1000 BOI; 1000 Dena Bank	1/7/1999			Expelled	CSE
29	Raylon Industries Ltd. SEBI	Pradeep Kayan & Co. 1237	Rs.1,89,00,000 + 55,54,310.50 + Margin Money due	2/4/2001		Matter Subjudice	----	CSE
30	Mayur Industries Ltd. SEBI	Pradeep Kayan & Co. 1236	Rs,61,00,000 + Margin Money due	2/4/2001		Matter Subjudice	----	CSE
31	Rajat Polypack Pvt. Ltd SEBI	Pradeep Kayan & Co. 1235	Rs.2,74,268 + 14,00,000 + Margin Shares Due	2/4/2001		Matter Subjudice	----	CSE
32	West Port Export Pvt. Ltd. SEBI	Pradeep Kayan & Co. 1234	Rs. 18,79,843 + Margin Shares Due	2/4/2001		Matter Subjudice	----	CSE
33	R.K. Bhattacharya	Prem Lal Roy 1375	Non-payment of Rs.74,000/-	26/8/2002	Defaulter		----	CSE
34	Santosh Kumar Banerjee	Prem Lal Roy 1376	Non-payment of 27,500/-	26/8/2002	Defaulter		----	CSE
35	Jagmohan Khemani	Sanjay Khemani 1274	Vyaj Badla of Rs.25,00,000	22/6/2001			Suspended	CSE
36	Unit Trust of India	Shamlal Laha & Co. 854	Non-receipt of payment of different share transactions	11/11/1997		Matter Subjudice	----	CSE
37	Syam Sunder Kukreja	Sharad Agarwala & Co. 1080	Delivery in forged T.D	5/8/1999		Matter Subjudice	----	SEBI
38	Alok Kr. Mitra	Prem Lal Roy 1410	Non-delivery of Shares of 18,215/-	17/10/2003	Defaulter			CSE
39	Ratan Kumar Shaw	Prem Lal Roy 1417	Non-receipt of 400 Penta Media 100 Tisco 500 Silver Line	22/1/2004	Defaulter			CSE
40	Guru Sharan Sharma SEBI	Shyam Sunder Dalmia 1449	Non-delivery of 50 SBI	12/9/2006	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 Interim the Exchange sought legal opinion from its legal cell and the legal cell has informed	Active	In process	SEBI
41	Aloke Kumar chatterjee SEBI	N.K.Tiwary 1458	Non-tranfer of 100 shares	7/12/2007		Matter Subjudice		SEBI
42	Rajlaksmi Tradelink P Ltd.	N.M.Lohia & Co. 1463	Fradulence of 4,00,000/- out of which only 50000 is receivable from the member.	21.05.2008	The matter has been taken up with the company concerned and we are awaiting reply from them.	Active	In process	CSE

43	Ruby Ghosh	Royal Stock Broking	transactions done without permission from the investor	14.03.2015	The matter has been taken up with the company concerned and we are awaiting reply from them. Complainant has requested 3 month time to check records. The complainant has submitted a letter for which reply has been received from the Broker. To call the Broker and the Client for resolution. The Broker has confirmed that he would settle the case in July 2016. Accordingly he has paid an amount of Rs. 23,657.05 to the investor on 8th July 2016.	Active	In process	CSE
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