Report 1A: Complaints received from clients against Trading Members (TMs)# during 2016-17: Updated on 04.8. 2016 (to be updated weekly) (In excel sheet)

Sl.#	Details of Complaint			Details of TM			Status of Complaint				
	Date of Receipt	Name of Client	Type of Complaint*	Name of TM	Market Segment	If defaulter, Date of its declaration	Status**	Status Date ##	Date of Filing Arbitration	Name of Arbitrator(s)	Date of Arbitration Award

 # including against its sub-brokers, authorized persons, employees, etc.
Status date is the date of resolution/reference to arbitration/finding it non-actionable. If under process, it is the date of updation of this sheet.
***/** As per Table 1A**

Report 1B: Redressal of Complaints lodged by clients against Trading Members (TMs) during 2015-2016: Updated on 04.08. 2016 (to be updated every quarter) (In excel sheet)

Sl.#	Name of the TM	Defaulter (Yes/No)	No. of UCCs at the beginning of the year	No. of Complaints received against the TM*	Of the Complaints received during 2014-15							
					No. of Complaints							
					Resolved through the Exchange /IGRC	Non actionable **	Arbitration Advised	Pending for redressal with Exchange	No. of Arbitration filed by Clients	Decided by the Arbitrators	Decided by Arbitrators in favour of the clients	Pending for Redressal with Arbitrators
1.	Royal Stock Broking Ltd.	-	-	1		-	-	1	-	-	-	-

*including against its sub-brokers, authorized persons, employees, etc.
****Non actionable** means the complaint that are incomplete / outside the scope of stock exchange
(Arrange the Trading members in descending number of complaints filed against them during the period)

Report 1C: Redressal of Complaints lodged by clients against Trading Members (TMs) during 2016-2017: Updated on 04.08. 2016 (to be updated every quarter) (In excel sheet)

Sl.#	Name of the TM	Defaul-ter (Yes/ No)	No. of UCCs at the begin-ning of the year	No. of active clients of each stock broker	No . of Compl a-ints receiv ed agains t the TM*	% of no. of complai nts received against no. of active client of stock broker	Of the Complaints received during 2015-16								
							No. of Complaints								
							Resolve d through the Exchan ge /IGRC	% of complaints resolved as against complaints recd. By the stock brokers	Non Action-able**	Arbitration Advised	Pending For redressal With Exchange	No. of Arbitration filed by Clients	Decided by the Arbitrators	Decided by Arbitrators in favour of the clients	Pending for Redressal with Arbitrators
1		-		-	-	-	-	100	-	-	-	-	-	-	-

*including against its sub-brokers, authorized persons, employees, etc.
Non actionable means the complaint that are incomplete / outside the scope of stock exchange
(Arrange the Trading members in descending number of complaints filed against them during the period)

Total No. of complaints received against all stock broker of the Exchange	**Overall market redresal rate (total No. of complaint redressed/Total No. of complaints received**
-	**100**
-	**-**

Reports 3A: Disposal of Arbitration Proceedings (where client is a party) during 2016-17: Updated on 04.08. 2016 (to be updated every quarter) (In excel sheet)

Sl. No.	Name of Arbitrator	No. of Awards Passed	No. of Awards in favor of Clients		No. of Awards implemented	No. of Awards appealed	No. of cases pending for redressal at The end of period		
			Filed By TM	Filed by Clients			Pending	For more than 6 months	For more than 3 months, but less than 6 months
1									
2									
3									
4									
5									
6									
7									
8									
9									
N									
Total									

(In case of panel of arbitrators, the cases / awards would appear against every member of the panel)
(Arrange the arbitrators in descending number of awards passed by them during the period)

Reports 3B: Disposal of Arbitration Proceedings (where client is a party) during 2015-16: Updated on 04.08. 2016 (to be updated every quarter) (In excel sheet)

Sl. No.	Name of Arbitrator	No. of Awards Passed	No. of Awards in favor of Clients		No. of Awards implemented	No. of Awards Appealed	No. of cases pending for redressal at The end of period		
			Filed by TM	Filed by Clients			Pending	For more than 6 months	For more than 3 months, but
1									
2									
3									
N									
Total									

(In case of panel of arbitrators, the cases / awards would appear against every member of the panel)
(Arrange the arbitrators in descending number of awards passed by them during the period)

Report 4A: Penal Actions against Trading Members during 2015-16: Updated on 04.08. 2016 (to be updated every quarter) (In excel sheet)

Sl. No.	Name of Trading Member	Registration No.	No. of Complaints received	Action against TM, its sub-brokers / authorized person and employees together				
				No. of Penal Orders issued		Monetary Penalties levied (Rs. Lakh)		No. of Arbitration Awards issued against
				For complaints	For others	For complaints	For others	
1	SLA Securities Ltd	INB03005761			1		1	
2	Shreenath Kapoor	INB03087883			1		1	
3	Ballabh Das Daga	INB03049221			1		1	
4	Shyamlal Sultania	INB03070051			1		1	
5	Ahilya Commercial	INB03109343			9		9	
6	Rajendra Prasad	INB03005401			8		8	
N								

Report 4B: Penal Actions against Trading Members during 2016-17: Updated on 04.08. 2016 (to be updated every quarter) (In excel sheet)

Sl. No.	Name of Trading Member	Registration No.	No. of Complaints received	Action against TM, its sub-brokers / authorized person and employees together				
				No. of Penal Orders issued		Monetary Penalties levied (Rs. Lakh)		No. of Arbitration Awards issued against
				For complaints	For others	For complaints	For others	
N								