

**Report 1A: Complaints received from clients against Trading Members (TMs) during 2019-20 Updated on 12 27 2019
(mm dd yyyy)(updated weekly) (In excel format)**

Details of Complaint				Details of TM			Status of Complaint				
Sl. No.	Date of Receipt	Name of Client	Type of Complaint *	Name of the TM Member	Market Segment	If defaulter, Date of its declaration	Status **	Status Date ##	Date of Filing Arbitration	Name of Arbitrator(s)	Date of Arbitration Award
1	30.04.2019	Suman Bera	Non receipt of proceeds for Sale of shares	Entact Equities Pvt. Ltd.	CM	No	Under IGRC	27.12.2019	NA	Does not arise	Does not arise
2	11.11.2019	Samaresh Maity	Non receipt of proceeds for Sale of shares	Sky BullShares and Securities Pvt. Ltd.	CM	No	pending for further documents from Investor	27.12.2019	NA	Does not arise	Does not arise
3											
4											
5											
6											
7											
8											
9											
10											
11											
12											
13											
14											

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 2018-19
Updated on 09 30 2019 (MM DD YYYY) QTRLY REPORTS (in excel format)

Sl. No.	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 2018-19							
					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	DFS Securities	Yes	97	14	8	6	NIL	NIL	NIL	NIL	NIL	NIL
2												
3												
4												
5												
6												
7												
8												
9												
10												

*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: Report of Redressal of Complaints lodged by clients against Trading Members (TMs) during 2019-20
Updated on 09 30 2019 (MM DD YYYY) QTRLY REPORTS

Sl. No.	Name of the TM Member	Defaulter (Yes/No)	No. of UCCs at the beginning of the year	No. of Complaints received against the TM*	Of the Complaints received during FY 2019-20							
					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	None	none	NA	NA	NIL	NIL	NIL	NIL	NIL	NIL	NIL	NIL
2												
3												
4												
5												
6												
7												
8												
9												
10												
N												
Total												

Total No. of complaints received against all stock broker of the Exchange	Overall market redressal rate (total No. of complaint redressed / Total No. of complaint redressed / Total No. of complaints received)
2*	NA

Reports 3A: Disposal of Arbitration Proceedings (where client is a party) during FY 2019-20: Updated on 30th September, 2019 (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 FY 2019-20: Updated on 30th September, 2019 (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									
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)

