

# How to fill e-claim form

## General Instructions for Complaint Registration Form:

- ✓ All fields marked with ‘\*’ are mandatory and should not be left blank.
- ✓ Please fill your correct contact information which includes your Name, CNIC, Email, City, Province and Country enabling the Exchange to contact you pertaining to your complaint lodged against TRE Certificate Holder. Claimants are advised to immediately inform the Exchange, upon change of their contact details.
- ✓ Before filling the Investor complaint form please ensure that your Broker should be a TRE Certificate Holder of the Pakistan Stock Exchange Limited (formerly: Karachi Stock Exchange Limited)

## 1. Complainant’s Information

**Investor Complaint Registration**

Name of Complainant \*

**Contact Information:**

House# *	<input type="text" value="test house"/>	} Phone numbers and E-mail address mentioned here for future Correspondence
Street *	<input type="text" value="test street"/>	
Country *	<input type="text" value="Pakistan"/>	
City *	<input type="text" value="Karachi"/>	
Email *	<input type="text" value="test@test.com"/>	
Phone *	<input type="text" value="1111"/> - <input type="text" value="111"/>	
Mobile No. *	<input type="text" value="33333"/> - <input type="text" value="33333"/>	
CNIC *	<input type="text" value="1"/> <input type="text" value="1"/> <input type="text" value="1"/> <input type="text" value="1"/> <input type="text" value="1"/> - <input type="text" value="1"/> <input type="text" value="1"/> <input type="text" value="1"/> <input type="text" value="1"/> <input type="text" value="1"/> <input type="text" value="1"/> <input type="text" value="1"/> <input type="text" value="1"/> - <input type="text" value="1"/>	
Date of Lodging Complaint *	<input type="text" value="2014"/> - <input type="text" value="10"/> - <input type="text" value="20"/>	

Please mention here your original CNIC No.

Please mention here the date of complaint lodged to the Exchange

Name of Complainant should be mentioned here

## 2. TRE Certificate Holder's Information

TRE Certificate Holder's Information	
Nature of Account *	<input checked="" type="radio"/> Single <input type="radio"/> Joint
TREC Holder's Name *	A. I. Securities (Private) Limited
Agent Name *	shaikh.haroon /
Branch *	Others / test
Complainant Trading Account No. with Member *	test
CDC Sub Account No. with Member *	test UIN test
CDC Investor Account	test
Date of Account Opening *	20 October 2014
Date, when dispute arose *	20 October 2014
Mod of placing order *	Online Tra

Please fill account operating detail whether it is operated singly or jointly.

Name of person handling your account at the Brokerage House

Please mention here correct Trading Account

Please mention here the mode/way through which orders were placed by you or by your authorized person

Name of branch where you maintained Trading A/c.

Please mention here CDC Sub-Account

Please mention here CDC Investor Account(if any)

Enter the date that you started your business with Broker

### 3. Nature of Dispute

**Nature of Dispute**

Non-transfer of Shares     Non-paymetn of Funds     Unauthorized trading     Unauthorized transfer of funds     Non-provision of account statements/reports     Others

S. No.	Symbol	Quantity	Rate (RS)	Value
1.*	<input type="text"/>	<input type="text" value="0"/>	<input type="text" value="0.0"/>	<input type="text" value="0.0"/>
Total Value:		<input type="text" value="0.00"/>		
<a href="#">Add Another</a>				
Ledger Balance (Debt/Credit)			<input type="text" value="0.00"/>	<input type="radio"/> DR <input checked="" type="radio"/> CR
Total Claim			<input type="text" value="0.00"/>	

Mention here the nature of your complaint

Mention here the symbol of Scrip

Mention the quantity of securities as per your trading account.

The rates are automatically linked with the date of complaint

Please mention here if you have credit or debit balance in your trading account.

## 4. Actions Taken & Declaration and Undertaking

Actions taken, if any	
Have you filed complaint with the brokerage house/ TREC Holder?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Have you contacted any other Regulator/ SECP?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Have you taken any legal action?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Is this matter in any Court?	<input type="radio"/> Yes <input checked="" type="radio"/> No

**Declaration and Undertaking**

**I Declare and Undertake the following:**

**I.** In case of fraudulent complaint the Exchange reserves the right to initiate appropriate action against the complainant. In such case complainant authorizes the exchange to publish his/her name on the KSE-website for general public

**II.** You must read, agree with and accept all the instructions, disclaimer, terms and conditions contained in "**General Instructions for Complaint Registration**". In addition, I have read, agree with and accept any applicable clauses of General Regulations of the Karachi Stock Exchange Limited.

**III.** The documentary evidence submitted do not shift the burden of establishing or defending any aspect of a claim but help the management/Arbitrator(s) to understand your case clearly and efficiently.

**Remarks**

I Agree

Note: *Fields marked with \* are mandatory*

If the matter has already been taken up with the concerned broker than provide the relevant details of it in the text Box.

Please mention the details of the Suit and prayer made in the Hon'ble Court.

Please mention the details of any legal action that has been taken on the matter.

If complaint has also been lodged with Regulator/SECP, please provide the details of it in the text Box.

Please describe your complaint in a precise manner and mention additional facts which are not already covered that you would like Exchange to know. You are also required to state your Prayer in the text box.

## 5. Documents pertaining to Complaint



Customer Services  
& Investors Relations

(Optional)

Following documents are required to be attached, in order to substantiate your claim;

1. Copy of NIC

No file selected.

2. Copy of Account Opening Form

No file selected.

3. Trade Confirmation Sheets

No file selected.

4. Purchase/Sale Bills

No file selected.

5. Share Deposit Receipts

No file selected.

6. Receipts and Payment evidences

No file selected.

7. Account Ledger Statements

No file selected.

8. CDC Reports and Statements ( Activity for the relevant period)

No file selected.

9. Copies of cheques to Broker

No file selected.

10. Bank Statements

No file selected.

11. Equity Statements

No file selected.

12. Any other documentary evidence

No file selected.

(In case you are unable to provide any of these documents, please provide valid reason(s) for not submitting the same. However, if you are unable to submit the document Online, the same must reach at the Default and Arbitration Wing within 05 working days of submitting your application mentioning your online complaint number. The application will be considered complete only when all requisite documents have been received by the Exchange.

**Reason for not submitting the documents**

In case you are not submitting the relevant documents with your online complaint, please specify the reason in the text box.