

Annexure – I

Guidelines for filling the Investor Complaint Form (ICE).

1. Please tick wherever applicable.
2. Complaints in respect of deals executed on the Exchange through a member of Ace Derivatives and Commodity Exchange Limited (ACE or Exchange) would only be taken up for redressal by the Exchange.
3. Please use separate forms for each member, in case of complaints against more than one member.
4. Fill up appropriate details in the complaint form and ensure to attach all relevant documents / enclosures.
4. Fields marked in (*) indicate mandatory requirements / fields.
5. Please furnish only photocopies of documents. Originals are not required to be submitted with the complaint form.
6. Incomplete forms or complaints not supported with necessary details/documents will not be processed and will be returned to the complainant.
7. In case any documents can not be furnished, please specify the reason for the same.
8. In case of subsequent correspondence, kindly quote date and reference number of the letter sent by the Exchange.
9. All complaints are required to be lodged with the Exchange within 30 days from the date when the dispute arose or deemed to have arisen.
10. Please visit our website www.aceindia.com for further information.

List of enclosures required to be attached with complaint form

1. Member Client Agreement, KYC Norms and Risk Disclosure Agreements (executed copy).
2. Acknowledged copy of contract notes (in case contract notes have been received in physical form) email copy of contract notes (in case contract notes have been received in electronic form).
3. Statement of Accounts or such other proof of payment made by the Investor(s).
4. Such other documents which may be of assistance in substantiating the genuineness of the case.

All Complaints must be addressed to the following address:

Investor Grievances Cell,
C/o. Legal & Compliance Department
4th Floor, Building No. 4, Infinity I.T. Park,
Gen. A. K. Vaidya Marg, Malad (E),
Mumbai – 400 097, India.
Tel No.: 022-66709200

Ace Derivatives and Commodity Exchange Limited

Investor Complaint Form (Complaints against Members of ACE) *(To be submitted in duplicate)*

Date: _____

To,
Ace Derivatives and Commodity Exchange Ltd.
4th Floor, Building No. 4, Infinity I.T. Park,
Gen. A. K. Vaidya Marg, Malad (E),
Mumbai – 400 097.

FOR OFFICE USE ONLY
Received Date: _____
Complaint No.:

Nature of complaint	Tick the applicable
1. Non-receipt of documents viz. member client agreement, contract notes, settlement of accounts, etc.	
2. Non-receipt of margin/security deposit given to the member.	
3. Non receipt of commodity after purchase on a settlement of a contract.	
4. Non-receipt / Delayed receipt of credit balance as per the statement of Account.	
5. Execution of trades without consent of investor / client.	
6. Unauthorized charges being levied in Account.	
7. Others (Please Specify)	

***Claim Amount:**

a) In figures Rs. _____

b) In words Rupees _____

***Investor / Client code allotted by the Member:** _____

*** Please fill up your following details:**

Name of the investor / client	Mr. / Ms.:
Address for correspondence (Please give complete address)	
District / City	
PIN Code	
State	
Email ID	
Telephone No. with STD code	
Mobile No.	
Fax No.	

*** Please fill up following details of the Member (Broker)**

Member ID	
FMC UMC No.	
Name of the Member	Mr. / Ms. / M/s.:
Address of the branch from where the trade was executed	
District / City	
PIN Code	
State	

Please provide the following details if you are trading through an authorized person of a member (broker)

Code of authorized person, if any	
Name of authorized person	Mr. / Ms. / M/s.:
Address	
District / City	
PIN Code	
State	

I/We enclose herewith the following document(s) in support of my/our complaint. (Any other document enclosed other than those mentioned in “List of enclosures required to be attached with complaint form” above.)

1. _____
2. _____
3. _____
4. _____

(Please attach additional sheet, if required)

Date : _____

Place: _____

Signature of the complainant
Client Code: