
NATIONAL COMMODITY & DERIVATIVES EXCHANGE LIMITED

Circular to all members of the Exchange

Circular No. : NCDEX/INVESTOR SERVICES-006/2021

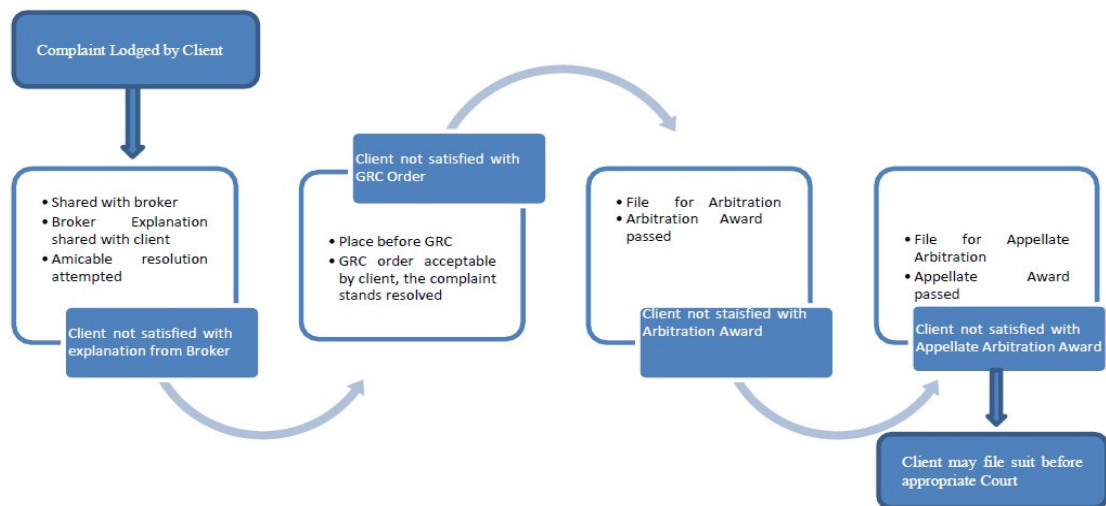
Date : December 16, 2021

Subject : Clarification on Publishing Investor Charter and disclosure of Investor Complaints by Stock Brokers on their websites

This is with reference to the Exchange circular no. NCDEX/INVESTOR SERVICES-005/2021 dated December 6, 2021 informing about the SEBI Circular No. SEBI/HO/MIRSD/DOP/P/CIR/2021/676 dated December 02, 2021 on the subject, "Publishing Investor Charter and disclosure of Investor Complaints by Stock Brokers on their websites".

Your attention is drawn to the Annexure A in the SEBI circular, wherein the complaints resolution process at Stock Exchange is explained graphically. The said part is to be read as "if the client is not satisfied with the GRC order, **he may File for Arbitration** (Not Appellate Arbitration as mentioned in the circular) and **Arbitration award passed** (Not Appellate Award passed as mentioned in the circular) and if the client is not satisfied with Arbitration award, he may file for **Appellate Arbitration**."

Accordingly, the revised graphical representation is given below:



Further, Members shall disclose the data on complaints received against them or against issues dealt by them and redressal thereof, latest by 7th of succeeding month on their website, as per the format given in the aforementioned SEBI circular.

The provisions of this circular shall come into effect from January 01, 2022.

All Members and market participants are requested to take note of the same.

For and on behalf of
National Commodity & Derivatives Exchange Limited

Smita Chaudhary
Vice President – Arbitration & ISC

For further information / clarifications, please contact

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