
NATIONAL COMMODITY & DERIVATIVES EXCHANGE LIMITED

Circular to all members of the Exchange

Circular No. : NCDEX/INVESTOR SERVICES-003/2023

Date : April 18, 2023

Subject : Integration of investor complaints

With a view to monitor the complaints received by the members from their clients, it has been decided that the member to the Exchange shall now submit the details of all such direct complaints (pertaining to NCDEX).

In view of the above, the members are required to submit the details of the direct complaints received by them (through any channel) in the format enclosed as **Annexure A**, on **monthly** basis through EXTRANET

Path for submission of the complaints is provided below:

EXTRANET → *Submission of investor complaint against Member*

The Upload Process is mentioned in **Annexure B**.

Members are requested to upload the details of all complaints pending as on March 31, 2023, along with complaints received by them during the month of April 2023, by May 07, 2023. Subsequently, the details of complaints shall be submitted **on monthly basis within seven days** of the subsequent month.

Further, in circumstances wherein there is no opening balance of complaints at the beginning of the month and no complaints are received during the month, the members are requested to upload file with comments 'Nil submission'.

This circular shall be effective from May 01, 2023.

All members are advised to take note of the above and ensure strict adherence to the compliance requirements.

For and on behalf of

National Commodity & Derivatives Exchange Limited

Smita Chaudhary

Vice President – Arbitration & ISC

For further information / clarifications, please contact

1. Customer Service Group on toll free number: 1800 26 62339
2. Customer Service Group by e-mail to : askus@ncdex.com

Annexure A

To be uploaded in .csv format

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8	Column 9	Column 10	Column 11	Column 12	Column 13	Column 14	Column 15	Column 16	Column 17	Column 18	Column 19
Date of receipt of Complaint *	Name of complainant *	PAN of Complainant *	UCC *	Complaint No. *	Mode of receipt of complaint *	Segment Type *	If the complaint is against AP, then PAN of AP ^	Category of complaint *	Sub-category of complaint *	Claim Amount (Rs.) *	Details of complaint *	Period of dispute - Start date *	Period of dispute - end date *	Date of closure of complaint ^	Closure Remarks ^	Settlement Amount paid to Client, if any ^	Mode of payment ^	Date of payment ^
Date (DD-MM-YYYY)	Text	Alphanumeric - Validation - Should be 10 digits	Alphanumeric	Alphanumeric with Special Characters allowed	As per LOVs	As per LOVs	Alphanumeric - Validation - Should be 10 digits	As per LOVs	As per LOVs	Number	Text	Date (DD-MM-YYYY)	Date (DD-MM-YYYY)	Date (DD-MM-YYYY)	Text	Number	Text	Date (DD-MM-YYYY)

* Mandatory

^ Mention if applicable

Note: If the date of closure is not mentioned, the complaint shall be considered as pending for the month and the said record shall continue to be reported in subsequent months till closure of the complaint.

Note: Mandatory if date of closure is mentioned

Annexure A

Name of complainant *	Name of the client
PAN of Complainant *	Pan number of the client
UCC *	Unique client code of the client
Complaint No. *	Unique reference number assigned to the complaint
Mode of receipt of complaint *	Mode through which the client has raised the complaint (To be selected from options provided in LOVs).
Segment Type *	Segment of the complaint (To be selected from options provided in LOVs).
If the complaint is against AP, then PAN of AP ^	In case the client has filed complaint against an Authorised Person, PAN number of the AP is mandatory
Category of complaint *	State the nature of the complaint (To be selected from options provided in LOVs).
Sub-category of complaint *	State the sub-nature of the complaint (To be selected from options provided in LOVs).
Claim Amount (Rs.) *	Amount claimed by the client for the dispute
Details of complaint *	Description of the complaint given by the client
Period of dispute - Start date *	Date on which the client had started facing the issue/concern
Period of dispute - end date *	Date till which the client was facing the issue/concern. In case the concern pertains to a single day, then start date and end date shall be the same.
Date of closure of complaint ^	Date on which the complaint was resolved by the Trading Member
Closure Remarks ^	Detailed note on how the complaint was resolved
Settlement Amount paid to Client, if any ^	Amount paid to client for settlement of the dispute (if applicable).
Mode of payment ^	Mode through which the settlement amount was paid (if applicable).
Date of payment ^	Date on which the settlement amount was paid (if applicable).

Annexure A

Column 6	Column 7	Column 9	Column 10
As per LOV	As per LOV	As per LOV	As per LOV
Email	F&O	Charges Related	Excess Brokerage / Charges
Call Center	CM	Charges Related	Charges for Opening/ closure of Account
Chat	CO	Charges Related	Charges paid but not credited
Letter	CD	Charges Related	Wrong/ Excess Charges
Complaint Portal	MF	Demat Related	Delay in processing of dematerialisation request
	Debt	Demat Related	Delay in issuance / reissuance of DIS Booklet
	Others	Demat Related	Delay in processing of rematerialisation request
		Demat Related	Delay in/ Non Execution of DIS
		Demat Related	Delay in/ Non-Receipt of Original certificate after demat rejection
		Demat Related	Delay in/ Non-Receipt of Statements from DP
		Demat Related	Discrepancy in Transaction statement
		Demat Related	Non Acceptance of demat/remat request
		Demat Related	Non acceptance of DIS for transfer
		Demat Related	Transmission Related
		Demat Related	Closure of Demat Account
		Demat Related	Demat account transfer
		Mis-appropriation of Client's Funds / Securities	Mis-appropriation of client's funds / securities
		Non Receipt / Delay - Documents	Account Opening Kit
		Non Receipt / Delay - Documents	Copy of Client Agreement/ Schedule of Charges
		Non Receipt / Delay - Documents	Account Statement
		Non Receipt / Delay - Documents	Agreement copies
		Non Receipt / Delay - Documents	Contract notes
		Non Receipt / Delay - Documents	Bills
		Non Receipt / Delay - Funds	Margin Deposit
		Non Receipt / Delay - Funds	Non-settlement of accounts
		Non Receipt / Delay - Funds	Sale of Securities
		Non Receipt / Delay - Funds	Corporate Benefits
		Non Receipt / Delay - Funds	Mutual Fund
		Non Receipt / Delay - Securities	Purchase of Securities
		Non Receipt / Delay - Securities	Margin Securities
		Non Receipt / Delay - Securities	Corporate Benefits
		Non Receipt / Delay - Securities	Mutual Fund
		Order Related	Non-Execution - Order
		Order Related	Wrong Execution -Order
		Others	Authorised Person related
		Others	Manipulation of Documents
		Others	Pledge/Unpledge
		Others	SMS Related
		Others	Unauthorized access to Internet Based Trading (IBT)
		Others	Others
		POA related	Insistence in Power of Attorney in its favour
		Primary Market	Wrong Bidding
		Primary Market	Non-Bidding
		Service Related	Account opened in another name than as requested
		Service Related	Account opening / Activation / suspension related
		Service Related	Alleged debit in Trading account
		Service Related	Closure of branch without intimation
		Service Related	Contact Person not available in office
		Service Related	Delay in activation/ opening of account
		Service Related	Freezing of Account
		Service Related	Improper Service by staff
		Service Related	Closure of account
		Service Related	Request for KYC updation
		Service Related	Penalty passed on to client
		Service Related	Unauthorized changes in KYC
		Service Related	Technical / Connectivity Issue
		Trade Related	Closing off / squaring up of position without consent
		Trade Related	Dispute in Auction value / close out value
		Trade Related	Algo Trading
		Trade Related	Unauthorized trades
		Trade Related	Assured/guaranteed returns
		Trade related	Margin Trading Facility

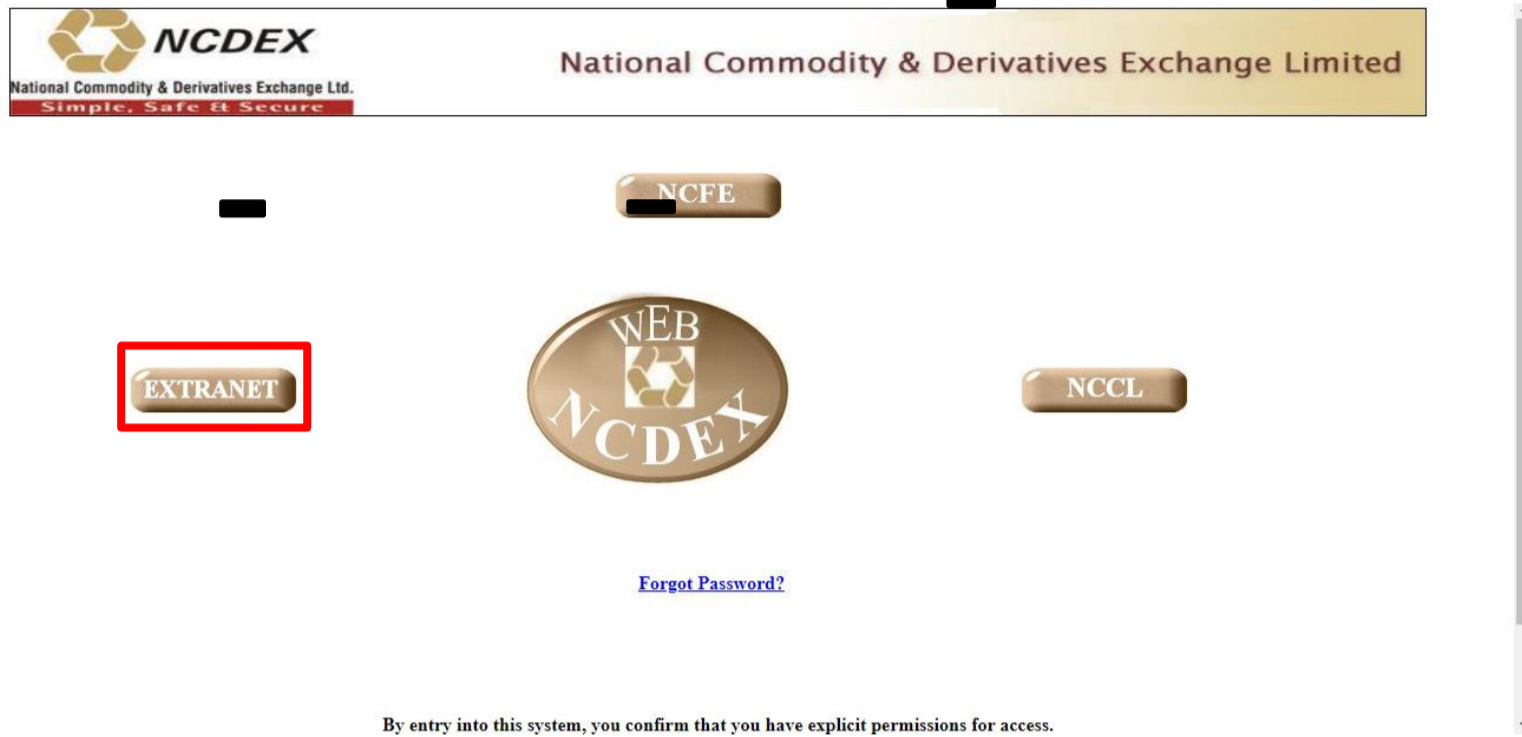
Annexure B

1. Path for submission of the complaints as below:

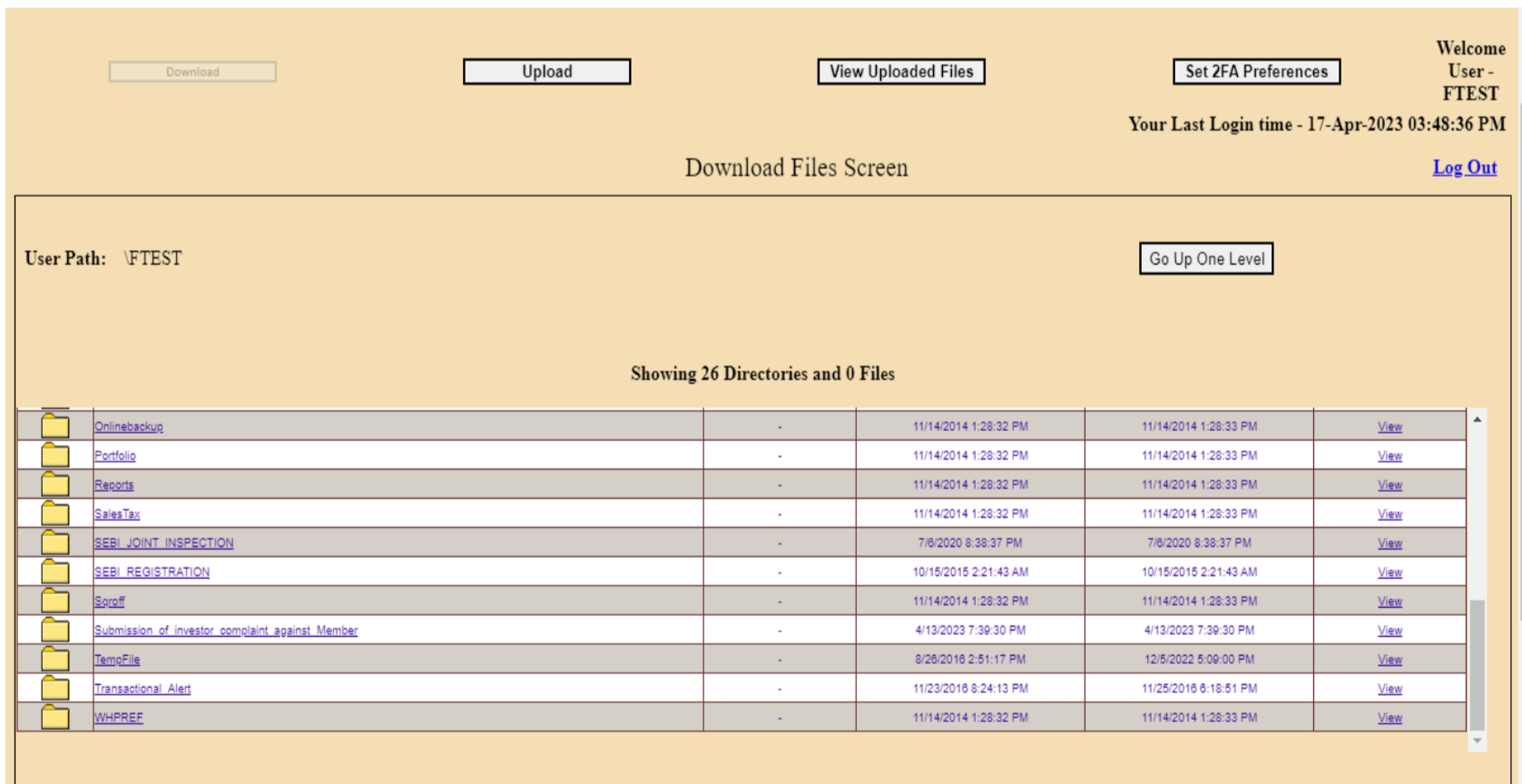
EXTRANET → Submission of investor complaint against Member

2. The step by step process for uploading the Complaints is indicated below:

a. Login to Web Extranet using existing member id and password




b. Select Folder name 'Submission of investor complaint against Member'



Showing 26 Directories and 0 Files				
	Onlinebackup	-	11/14/2014 1:28:32 PM	
	Portfolio	-	11/14/2014 1:28:32 PM	
	Reports	-	11/14/2014 1:28:32 PM	
	SalesTax	-	11/14/2014 1:28:32 PM	
	SEBI JOINT INSPECTION	-	7/6/2020 8:38:37 PM	
	SEBI REGISTRATION	-	10/15/2015 2:21:43 AM	
	Scroff	-	11/14/2014 1:28:32 PM	
	Submission of investor complaint against Member	-	4/13/2023 7:39:30 PM	
	TempFile	-	8/26/2016 2:51:17 PM	
	Transactional Alert	-	11/23/2016 8:24:13 PM	
	WHPREF	-	11/14/2014 1:28:32 PM	

c. Browse the appropriate file and click on 'SUBMIT FILE' button



NCDEX
National Commodity & Derivatives Exchange Ltd.
Simple, Safe & Secure

National Commodity & Derivatives Exchange Limited

Welcome User - FTEST
Your Last Login time - 05-Apr-2023 10:21:54 AM

Upload Files Screen [Log Out](#)

Please select the Path and the File Name
to be uploaded to - **Submission_of_investor_complaint_against_Member**
Maximum Size of file allowed - 10 MB

No file chosen

File \FTEST\Submission_of_investor_complaint_against_Member\upld\KSRISK.Log uploaded Successfully

Please note that you are subject to monitoring and you acknowledge that you would execute level of privilege assigned to you.

3. File format specifications:

The file should be in .csv format. The nomenclature of the file should be in the combination of member code (XXXX), month (MMM) for which data submission is being done and year (YYYY) i.e. in the format XXXX_MMM_YYYY.