

Multi Commodity Exchange of India Limited

Guidelines for filling the client complaint form.

1. Please tick wherever applicable.
2. Complaints in respect of deals executed on the Exchange through a member of MCX would only be taken up for redressal by the Exchange.
3. Fill up appropriate Annexure 1 & 2 along with the complaint form and ensure to attach all relevant documents/enclosures.
4. Please furnish only photocopies of documents. Originals are not required to be submitted with the complaint form.
5. Claim amount should also include value of future contract on commodities claimed.
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 1 month from the date when the dispute arose or deemed to have arisen.

List of enclosures required to be attached with complaint form:

1. Copies of contract note or sale/purchase note and bills issued by member pertaining to the transaction under dispute.
2. Copy of proof of delivery (for commodity delivered by the complainant) - If the complaint pertains to transactions related to delivery.
3. Copy of proof of payment.
4. Copy of ledger accounts / statement of account.
5. Copies of bank statements showing details of payment, date, amount, etc. issued by you in favour of the member.
6. Copies of letters/correspondence written to and reply if any, received from the member in respect of your complaint.
7. Any other relevant documents.

All Complaints must be addressed to the following address :

Investor Grievance Division,
Multi Commodity Exchange of India Limited,
Exchange Square, CTS No 255,
Suren Road, Chakala,
Andheri (East),
Mumbai – 400 093.
Tel No. 91-22-6731 8888



Multi Commodity Exchange of India Limited

Client Complaint Form (Complaints against Members of MCX)

(To be submitted in duplicate)

Date: _____

To
Investor Grievance Division,
Multi Commodity Exchange of India Limited,
Exchange Square,
CTS No. 255,
Suren Road, Chakala,
Andheri (East),
Mumbai – 400 093

FOR OFFICE USE ONLY

Received Date : _____

Complaint No.: _____

Reason for complaint	Tick the applicable
1. Non-receipt of margin/security deposit given to the member	
2. Execution of trades without consent of client	
3. Non-receipt of funds after sale of commodity on a settlement of a contract	
4. Non receipt of commodity after purchase on a settlement of a contract	
5. Non-receipt of credit balance as per the statement of account	
6. Non-issuance of documents (Contract notes, bills, statement of account, agreement copy)	
7. Others	

Details of claim amount :

Total claim amount :

In figures Rs. _____

In words Rupees _____

Client code allotted by the Member: _____

Details of Client lodging the complaint

Name of the 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.	

Details of Member

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

If you are trading through a authorized person of a member provide the below details

Details of authorized person

User ID of authorized person	
Name of authorized person	Mr. / Ms:
Address of the branch from where the trade was executed	
District / City	
PIN Code	
State	

Mode of trading: 1.Internet 2. Non-internet 3. Others

Brief details of your complaint (attached additional sheet if required)

Enclosures

As required, I enclose the following,

Particulars	Tick as is applicable
1. Annexure 1	
2. Annexure 2	
4 Enclosure as ticked in Annexure 2	

Date : _____

Place: _____

Signature of the complainant

Annexure 1

Additional Important Information to be given by the client

1. Have you executed a member-client agreement with the member?	Yes/No
2. Do you have a copy of the said agreement?	Yes/No
3. Date on which the agreement was executed?	
4. Have you filled in the KYC form ?	Yes/No
5. Do you have a copy of the KYC form?	Yes/No
6. Do you receive contract notes from the member or his authorized person regularly?	Yes/No
7. In what mode you receive them? (Please tick the applicable)	Hard copy by post
	Soft copy by e-mail
8. Do you receive MTM statement on daily basis?	Yes/No
9. Do you receive quarterly statement of account ?	Yes/No
10. In what mode you receive them? (Please tick the applicable)	Hard copy by post
	Soft copy by e-mail
11. Have you authorized /given power of attorney to any other person to execute trades in your account ?	Yes/No
12. Have the commodity/funds claimed by you delivered/paid by you on your own or on behalf of a third person ?	Own/Third person
13. What is your relationship with the third person?	
14. Did you correspond with the member regarding your dispute?	Yes/No
15. Have you attached copies of correspondence with the member?	Yes/No
16. Do you have any other arrangement with the member?	Yes/No

Date : _____

Place: _____

Signature of the complainant

Annexure 2

Checklist		
Essential	No. of pages	Enclosed (Y/N)
1. Annexure 1		
2. KYC Form		
3. Member - constituent agreement		
4. Contract notes		
5. Bills		
6. Daily MTM statement		
7. Passbook/statement copy		
8. Delivery slip		
9. Demat transaction statement		
10. Statement of account given by the member		
11. Demat holding statement, if any ?		
Others (if any give details)		
1.		
2.		
3.		
4.		
5.		

Note: In case you do not have the relevant documents specify the reason for it below :

Date: _____

Signature of the complainant

Place: _____