

Form No. IA
Arbitration Application
Regulation 5.9 (h)

(To be used for cases filed against listed companies only)

1. Personal details

Details	Applicant (Details of entity filing the case)	Issuer (Details of company against whom the case is filed)
Name*		
Address*		
City *		
Pincode*		
State*		
Telephone/Mobile no.		
Email id*		
PAN No.*		
Place of Arbitration (The regional center nearest to the constituent's address)		

All fields marked * are mandatory. Please attach photocopy of PAN card of Investor.

2. Details of complaint filed with Investor Services Cell of National Stock Exchange or SEBI relating to the present issue **

Complaint filed before	Complaint reference no.	Date of complaint
SEBI(scores or otherwise)		
Investor Service Cell of National Stock Exchange		

**Please mention complaint id reference number in case complaint was filed with the Investor Services Cell of National Stock Exchange or SEBI through scores or otherwise

3. Nature of claim

State the claim amount under the relevant segment against the pertinent claim categories. In case the claim is of the nature not listed there; state it against "Others"

Sr. no.	Nature of claim	Claim amount (Rs.)
1	Non-receipt / delay in receipt of Corporate benefits	
2	Others	
	Total	
3	Date of Dispute	

4. List of documents / copy enclosed with the claim

Tick the documents enclosed along with the application

☐ Statement of case*
☐ Demat Statement
☐ Other, please specify _____

* Statement of case is mandatory to be attached with the Form I. It should provide a brief description of the case, date-wise summary of events leading to the dispute, basis of arriving at the claim, amount and relief sought through Arbitration and any other details. Please note that the soft copies of the documents mentioned above has to be submitted along with submission of the physical copy.

5. Payment details for cost of arbitration

- The fees per arbitrator shall be Rs. 18,000/- plus stamp duty, service charge etc. as applicable per case. The fees plus stamp duty, service charge etc. as applicable shall be collected from Applicant as well as Respondent separately by the Exchange, for defraying the cost of arbitration.
- If the amount of claim/counterclaim is less than or equal to Rs.10 lakhs, then the cost of arbitration with respect to the Constituent/Investor, whether Applicant or Respondent, shall be borne by the Exchange.
- On passing of the arbitral award, the fees and stamp charges paid by the party in whose favour the award has been passed would be refunded and the fees and stamp charges of the party against whom the award has been passed would be utilized towards payment of the arbitrator fees.

The payment should be made in the favour of National Stock Exchange of India Limited:

Cheque / DD / Pay Order No	
Instrument Issue Date	
Amount (Rs)	
Bank Name	

6. Do you require a hearing in the matter: Yes ☐ No ☐ (Please tick the relevant option)

Note: For cases having claim amount below Rs 25,000/-, hearing is not compulsory but arbitrator may call for hearing, if required.

7. Choice of arbitrators: (Please refer the note below)

- i. _____
- ii. _____
- iii. _____
- iv. _____
- v. _____

Note:

- a. The list of Arbitrators is available on the Exchange website at Home>Domestic Investor>Arbitration>About Arbitration. Please select the arbitrators from the regional list of arbitrators where the case is filed.
- b. If the claim value is up to Rs.25 lakhs the matter is presided by a sole arbitrator. A minimum of three names are required to be provided for sole cases
- c. If the claim value is more than Rs 25 lakhs panel of three Arbitrators is constituted. A minimum of five names are required to be provided for panel cases.
- d. Form IA along with the documents should be submitted in sets of three where the claim amount is less than 25 lakhs and in sets of five where the claim amount is more than Rs 25 lakhs
- e. Arbitrator appointment is done through a computerized automated process wherein neither the Exchange nor the parties are directly involved.

8. a. I will personally represent the case.

b. I would represent the case along with my representative _____ in his/her capacity as _____.

c. On my behalf _____ will represent in his/her capacity as _____.

* Investor may attend the Arbitration proceedings and defend the matter on his own or appoint Authorized Representative to defend the matter by executing a notarized Power of Attorney. In case investor has appointed a Lawyer/Advocate to represent his case, then a duly signed Vakalatnama will be required

Place*: _____

Date*: _____

* Mandatory

Applicant's Signature*

CHECKLIST

While applying for Arbitration the following things need to be mandatorily provided

1	The documents have been submitted in requisite sets : Sets of 3 where claim value < Rs 25 lacs Sets of 5 where claim value > = Rs 25 lacs	
2	Statement of Case is attached	
3	Payment towards the Arbitration is made	
4	Discrete date of dispute is stated	
5	Nature and value of claim is stated	
6	List of 3 / 5 Arbitrators is provided	
7	Applicant correspondence and PAN details stated	
8	Form IA is dated and signed	

Note: In case the details of the form are not filled as required, the same might be considered as deficiency in the application. Please note that the soft copies of the documents mentioned above has to be submitted along with submission of the physical copy.

Please note that statutory dues - stamp duty, service tax, etc. are required to be paid additionally. The Stamp duty payable on the award shall be as per the State Stamp Act or Indian Stamp Act as applicable.