

Form No. IIA
Arbitration Defense
 Regulation 5.9 (h)

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

1. Arbitration Matter No. _____

Personal details

Details	Applicant (Details of entity filing the case)	Respondent (Details of entity against whom the case is filed)
Name*		
Address*		
City *		
Pincode*		
State*		
Telephone/Mobile no.		
Email id*		
PAN No.*		

All fields marked * are mandatory.

2. List of documents / copy enclosed with the claim

Tick the documents enclosed along with the application

- ☐ Statement of defense to the arbitration case
☐ List of documents to support defense statement
☐ Other, please specify _____

Please note that the soft copies of the documents mentioned above has to be submitted along with submission of the physical copy.

3(a). * 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	

4. 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.

5. 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 I 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.

6. (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

Respondent's Signature*

CHECKLIST

While submitting the Form IIA 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 defense is attached	
3	Payment towards the Arbitration is made	
4	List of 3 / 5 Arbitrators is provided	
5	Form IIA is dated and signed	

Note: In case the details of the form are not filled as required, the same might be considered as deficiency. 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.