

**Form No. IIIA**  
**Appellate Application**  
Regulation 5.9 (h)

(To be used for cases relating to listed companies only)

**1. Arbitration Matter No.** \_\_\_\_\_

**Appellant** \_\_\_\_\_  
(Name of party filing appeal)

**Vs**

**Respondent** \_\_\_\_\_  
(Name of party against whom appeal is filed)

**2. List of documents / copy enclosed with the claim**

Tick the documents enclosed along with the application

- |                          |  |
|--------------------------|--|
| <input type="checkbox"/> | <b>Statement of claim of appeal*</b>                       |
| <input type="checkbox"/> | Copy of award appealed against                             |
| <input type="checkbox"/> | List of documents to support statement of claim for appeal |
| <input type="checkbox"/> | Other, please specify _____                                |

\* **Statement of claim of appeal** is mandatory to be attached with the Form IIIA. 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 has to be submitted along with submission of the physical copy.

**3. Payment details for cost of appeal**

**For appeal filed by the Constituent/Investor:**

- (i) For the claim/counterclaim of up to Rs. 10 lakh, payment of Rs. 10,000/- in addition to the stamp duty, service charges etc. as applicable is to be paid towards the cost of appeal.
- (ii) In all cases other than those mentioned in clause 3(i), a payment of Rs.30,000/- in addition to the stamp duty charges as applicable is to be paid towards the cost of appeal.
- (iii) The Appellate fees shall be non-refundable.

The payment in addition to the stamp duty, service charges etc. as applicable is to be paid towards the cost of appeal in the favour of **National Stock Exchange of India Limited**

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

**(iii) For appeal filed by other entity:** The fees of Rs.54,000/- along with Statutory dues - stamp duty, service charges, etc. are required to be paid additionally.

**4. 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 appeal is filed.
- b. A minimum of five names which are different from the ones who passed the original arbitral award appealed against are required to be provided. Please select the arbitrators from the regional list of arbitrators where the appeal is filed.
- c. Form IIIA along with the documents should be submitted in sets of five
- d. Arbitrator appointment is done through an computerized automated process wherein neither the Exchange nor the parties are directly involved.

**5. (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 \_\_\_\_\_.**

Note- Investor may attend the 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

\_\_\_\_\_  
Appellant's Signature\*

## CHECKLIST

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

1	The documents have been submitted in sets of five	
2	Statement of Claim of Appeal and supporting documents is attached	
3	Payment towards the Appeal is made	
4	List of 5 Arbitrators is provided	
5	Form IIIA 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.**