**Form No. IVA**

**Appellate Response**

Regulation 5.9(h)

(To be used for appeal cases related 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 defense of appeal**

Tick the documents enclosed along with the application

Statement of defense to the appeal

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

**i. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**ii. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**iii. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**iv. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**v. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Note:**

* 1. The list of Arbitrators is available on the Exchange website at [Home](http://www.nseindia.com/index_nse.htm)>[Domestic Investor](http://www.nseindia.com/invest/content/domestic_investor.htm)>[Arbitration](http://www.nseindia.com/invest/content/about_arbitration.htm)>About Arbitration. Please select the arbitrators from the regional list of arbitrators where the appeal is filed.
  2. A minimum of five names which are different from the ones who passed the original arbitral award appealed against are required to be provided.
  3. Form IVA along with the documents should be submitted in sets of five
  4. Arbitrator appointment is done through a computerized automated process wherein neither the Exchange nor the parties are directly involved.

4. (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 Laywer/Advocate to represent his case, then a duly signed Vakalatnama will be required.

Place\*: \_\_\_\_\_\_\_\_\_\_\_\_

Respondent’s Signature\*

Date\*: \_\_\_\_\_\_\_\_\_\_\_\_\_

\*Mandatory

**CHECKLIST**

While submitting the Form IVA the following things need to be mandatorily provided

|  |  |  |
| --- | --- | --- |
| 1 | The documents have been submitted in sets of 5 |  |
| 2 | Statement of defense to the appeal is attached |  |
| 3 | List of 5 Arbitrators is provided |  |
| 4 | Form IVA is dated and signed |  |

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

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