

Documents to be submitted by the Trading Member	Documents to be submitted by the Investor
Non Receipt / Delay	
Funds	
On sale of securities	
<ol style="list-style-type: none"> 1. Ledger account 2. Copies of contract notes 3. If paid- proof of payment 4. Reason for delay of payment, if any 5. KYC document 	<ol style="list-style-type: none"> 1. Contract notes 2. Bills 3. Statement of account for the relevant transactions/period 4. Delivery details by way of demat transaction statement 5. Break Up of claim amount 6. KYC document
Margin Deposit	
<ol style="list-style-type: none"> 1. Fund Deposit 2. Ledger account 3. Margin statement 4. If paid- proof of payment 5. Reason for delay of payment, if any 6 KYC document 	<ol style="list-style-type: none"> 1. Proof of payment (copy of passbook of the bank account or bank confirmation letter) 2. Statement of account for the relevant transactions/period 3. Break Up of claim amount
Debit/Credit Balance	
<ol style="list-style-type: none"> 1. Ledger account 2. If paid- proof of payment 3. KYC document 4. Reason for delay of payment, if any 	<ol style="list-style-type: none"> 1. Statement of account for the relevant transactions/period 2. Proof of payment (copy of passbook of the bank account or bank confirmation letter) 3. Break Up of claim amount
Securities	
Purchase of Securities	
<ol style="list-style-type: none"> 1. Ledger account 2. Contract note 3. Margin statement 4. If delivered- Demat details for delivery, transaction statement reflecting transfer of securities to the client 5. KYC document 6. Reason for delay of transfer, if any 	<ol style="list-style-type: none"> 1. Contract notes 2. Statement of account for the relevant transactions/period 3. Demat account transaction statement 4. Proof of payment (copy of passbook of the bank account or bank confirmation letter) 5. Break Up of claim amount
Margin Securities	

Documents to be submitted by the Trading Member	Documents to be submitted by the Investor
<ol style="list-style-type: none"> 1. Ledger account 2. Demat Statement in case of delivery 3. Margin statement 4. If delivered- Demat details for delivery, transaction statement reflecting transfer of securities to the client 5. KYC document 6. Reason for delay of transfer, if any 	<ol style="list-style-type: none"> 1. Demat Transaction Statement 2. Statement of account 3. Break Up of claim amount
Corporate benefit	
Corporate benefits on securities kept with Trading Member	
<ol style="list-style-type: none"> 1. Policy document for dealing in corporate benefits 2. Ledger Account 3. Demat transaction statement 4. KYC document 5. Reason for delay of transfer, if any 	<ol style="list-style-type: none"> 1. Statement of account 2. In case securities have been delivered for margin purpose <ol style="list-style-type: none"> i. Demat Transaction Statement 3. In case securities have been purchased and continue to be in possession of the trading member <ol style="list-style-type: none"> i. Contract Notes ii. In case of payments made for purchase of securities: proof of payment (copy of passbook of the bank account or bank confirmation letter) 4. Break Up of claim amount
Documents - Contract Notes/Account statement/Agreement copy/Bills	
<p>If documents were sent by the trading member</p> <ol style="list-style-type: none"> 1. Copy of the document not received by the investor as per the complaint 2. Proof of delivery - date, courier name & acknowledgement by investor 3. In case documents sent in electronic form- proof of the same 4. KYC document 	<p>Proof of registration with the trading member</p> <ol style="list-style-type: none"> 1. Know your client form/ member constituent agreement (MCA)/ risk disclosure document
Trade related	
Unauthorized Trades	
<ol style="list-style-type: none"> 1. KYC document 2. Pre-order Voice recordings/ proof of placing orders 3. Proof of delivery of contract note - Physical POD or ECN log 	<ol style="list-style-type: none"> 1. Contract notes and bills or copies thereof 2. Statement of account 3. Demat account transaction statement 4. Proof of payment

Documents to be submitted by the Trading Member	Documents to be submitted by the Investor
<ol style="list-style-type: none"> 4. Details of payment made and securities delivered in the intermittent period 5. Proof of delivery of margin statement, ledger statement, SMS log 6. Copy of register of securities for the relevant period 7. Proof of monthly / quarterly settlement done 8. If orders placed online, then proof of the same. 9. Ledger Account 10. Contract Note for the disputed trades 11. Any other documents substantiating your stand 	<ol style="list-style-type: none"> 5. Copy of KYC document duly acknowledged by TM 6. Break Up of claim amount 7. Details of Disputed Trade(s)
Closing off/Square up of positions without consent	
<ol style="list-style-type: none"> 1. KYC document 2. Voice recordings of margin calls made 3. Proof of delivery of contract note - Physical POD or ECN log 4. Details of payment made and securities delivered in the intermittent period 5. Proof of intimation by investor 6. Proof of communication sent to the complainant regarding margin shortfall 7. Copy of the detailed policy and procedure regarding RMS selling details and proof of its communication to the complainant. 8. Copy of Contract Note 9. Any other documents substantiating your stand 	<ol style="list-style-type: none"> 1. Contract notes and bills or copies thereof 2. Statement of account 3. Margin statement 4. Proof of intimation by the TM 5. Demat account transaction statement 6. Proof of payment 7. Break Up of claim amount 8. Details of Disputed Trade(s)
Non-Settlement of Accounts	
<ol style="list-style-type: none"> 1. Proof of settlement 2. In case of non-settlement of Funds- ledger statement 3. In case of non-settlement of securities- DMAT account transaction statement 4. KYC document 	<ol style="list-style-type: none"> 1. Statement of account 2. Break Up of claim amount
Charges	
Brokerage/Charges	

Documents to be submitted by the Trading Member	Documents to be submitted by the Investor
<p>For Excess brokerage</p> <ol style="list-style-type: none"> 1. KYC documents mentioning rate agreed or any other agreement copy 2. Contract notes 3. Proof of Tariff sheet acknowledged by client 4. Calculation of brokerage for the disputed trade <p>Levying of unwarranted charges/penalties</p> <ol style="list-style-type: none"> 1. Basis of Levy 2. Ledger statements 3. KYC document 	<p>For Excess brokerage</p> <ol style="list-style-type: none"> 1. Contract notes and bills or copies thereof 2. Proof of payment of brokerage 3. KYC documents mentioning rate agreed 4. period of dispute 5. Break Up of claim amount <p>For Levying of unwarranted charges/penalties</p> <ol style="list-style-type: none"> 1. Contract notes 2. Bills 3. Ledger statements/Proof of payment 5. Break Up of claim amount
Order Execution	
Non-Execution	
<p>If order placed and not executed due to any reason- proof of the same</p> <ol style="list-style-type: none"> 1. Order cum trade log for the disputed trade 2. Ledger statement / margin statement (to check funds are sufficient) 3. KYC document 4. Reason for non-execution of order 	<ol style="list-style-type: none"> 1. Proof of order placement 2. Break Up of claim amount
Wrong Execution	
<ol style="list-style-type: none"> 1. Voice recording 2. Proof that the order was placed correctly 3. Order cum trade log for the disputed trade 4. Contract Note 5. Proof of delivery of contract note - Physical POD or ECN log 6. SMS log for trade confirmations 7. Contract Note for the disputed trades 8. KYC document 	<ol style="list-style-type: none"> 1. Proof of order placement 2. Contract notes 3. Break Up of claim amount