



National Stock Exchange of India Ltd.

User Manual for NICE *Plus*

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1. About This Guide

➤ PURPOSE OF THIS GUIDE

This document will guide an investor in filing a complaint / arbitration matter against the trading member using the enhanced web based portal of NSE viz. NSE Investor Centre (NICE *Plus*)

2. Getting Started

An investor having a complaint against trading member can file the same through NICE *Plus*. Investor can also file Arbitration and Appellate arbitration matters against trading members using NICE *Plus*.

STARTING

An investor can access NICE *Plus* by following the path: <http://www.nse-investorhelpline.com/NICEPLUS>

It is best viewed in Google Chrome.

➤ INVESTOR LOGIN SCREEN -

On clicking the above link, the below screen will be displayed :

Please enter your credentials to access the system.

Username

Password

Captcha : bzVZ4

[New User?](#) | [Forgot Username](#) | [Forgot Password](#) | [Change Password](#)

For complaints filed against Trading Members prior to December 15, 2018 or for Complaints against Companies [click here](#)


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Samajh kar
Invest kar

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First time investor will have to Register itself as “New User” as per the below process:

➤ REGISTRATION PROCESS:

For New User Registration the following is the link <http://www.nse-investorhelpline.com/NICEPLUS> click on New User.



Please enter your credentials to access the system.


Username

Password

Captcha : 

[New User?](#) [Forgot Username](#) | [Forgot Password](#) | [Change Password](#)

For complaints filed against Trading Members prior to December 15, 2018 or for Complaints against Companies [click here](#)



Soch kar

Samajh kar

Invest kar

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Click on New User, the following page will be rendered.

🏠 Back

New User Registration

PAN No.*
(Permanent Account Number)

Personal Information
🗲

First Name*	<input type="text"/>	Middle Name	<input type="text"/>
	<small>Note:- Please provide name as registered with the trading member.</small>		
Last Name*	<input type="text"/>	Gender	<input type="radio"/> Male <input type="radio"/> Female <input type="radio"/> Other
Date of Birth *	<input type="text"/>	Telephone No.	<input type="text"/>
Mobile No.*	<input type="text"/>	Fax No.	<input type="text"/>
Email Id*	<input type="text"/>	Aadhar No.	<input type="text"/>

Permanent Address

Flat No / Bldg. Name*	Street Name*
<input type="text"/>	<input type="text"/>
Locality	City*
<input type="text"/>	<input type="text" value="Select Cities"/>
District*	<input type="text"/>
<input type="text"/>	Nearest Regional Office*
<input type="text"/>	<input type="text"/>

The asterix (*) will guide on the mandatory fields, Enter PAN No., First Name, Last Name, DOB, Mobile, Email Id, Flat No, Street Name, City . On selecting the City the District, Nearest Regional office and State will be auto populated, the Pin code needs to be input. Please enter Email ID and Mobile Number correctly as the OTP and login credentials will be send on the same.

Permanent Address

Flat No / Bldg. Name*	<input type="text"/>	Street Name*	<input type="text"/>
Locality	<input type="text"/>	City*	<input type="text" value="Mumbai"/>
		<input type="checkbox"/> Outside India	
District*	<input type="text" value="Mumbai"/>	Nearest Regional Office*	<input type="text" value="Mumbai"/>
State*	<input type="text" value="MAHARASHTRA"/>	Pincode *	<input type="text"/>

Same as permanent address

KYC Address

Flat No / Bldg. Name*	<input type="text"/>	Street Name*	<input type="text"/>
Locality	<input type="text"/>	City*	<input type="text" value="Select Cities"/>
		<input type="checkbox"/> Outside India	
District*	<input type="text"/>	Nearest Regional Office*	<input type="text"/>
State*	<input type="text"/>	Pincode*	<input type="text"/>

KYC address also needs to be submitted, it may be noted that the complaint will be handled from the Nearest Regional Office to the KYC address and all the correspondence will be sent to this address.

State*	MAHARASHTRA	Pincode *	
KYC Address		<input type="checkbox"/> Same as permanent address	
Flat No / Bldg. Name*		Street Name*	
Locality		City*	Select Cities ▾
		<input type="checkbox"/> Outside India	
District*		Nearest Regional Office*	
State*		Pincode*	

Bank Account Details +

Bank Account Details 1
 (This account will be default account for payment of future order/award/claim, if any)

Bank A/C No.*		Type of Account*	Select ▾
Name of the Bank*		Name of A/C holder*	
IFSC Code*		Branch Name*	

Bank Account Details 2

Bank A/C No.		Type of Account	Select ▾
Name of the Bank		Name of A/C holder	

Failure to add any of the mandatory fields will be indicated by an error sign as shown below:

New User Registration

PAN No.* !
(Permanent Account Number)

Personal Information -

First Name*	<input type="text"/> !	Middle Name	<input type="text"/>
	<small>Note:- Please provide name as registered with the trading member.</small>	Gender	<input type="radio"/> Male <input type="radio"/> Female <input type="radio"/> Other
Last Name*	<input type="text"/> !	Telephone No.	<input type="text"/>
Date of Birth *	<input type="text"/> !	Fax No.	<input type="text"/>
Mobile No.*	<input type="text"/> !	Aadhar No.	<input type="text"/>
Email Id*	<input type="text"/>		

Permanent Address

Flat No / Bldg. Name*	<input type="text"/> !	Street Name*	<input type="text"/> !
Locality	<input type="text"/>	City*	Mumbai ▾
		<input type="checkbox"/> Outside India	
District*	Mumbai	Nearest Regional Office*	Mumbai
State*	MAHARASHTRA	Pincode *	<input type="text"/> !

KYC Address Same as permanent address

Flat No / Bldg. Name*	<input type="text"/> !	Street Name*	<input type="text"/> !
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On clicking submit, the following page will be shown. One Time Password will be sent to the Investor registered mobile / email id, the investor needs to enter OTP.

Thank you for registering with us
Your user ID and password will be sent to your email id after OTP validation

Kindly enter One Time Password sent to your mobile number/email [Re-send OTP](#)

On entering the OTP and clicking on either “Continue to File a Complaint” or “File a Complaint Later” an email will be sent to the registered email id providing the Login Credentials and the below screen shall appear:

NSE | NICE *Plus*

Please enter your credentials to access the system.

Username

Password

Captcha :

[New User?](#) | [Forgot Username](#) | [Forgot Password](#) | [Change Password](#)

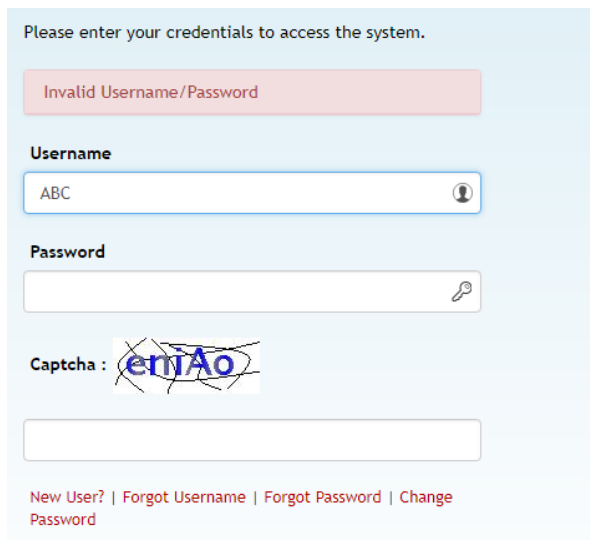
For complaints filed against Trading Members prior to December 15, 2018 or for Complaints against Companies [click here](#)

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➤ LOGIN PROCESS

1. The Login Page has the following three input fields:

- Username
 - Password
 - Captcha
2. Both the username as well as passwords can be alpha numeric.
 3. Along with this the login page also has the following two buttons:
 - Login
 - Reset
 4. Added to this, the page also has the following links:
 - Forgot Username
 - Forgot Password
 - Change Password
 5. In order to login into the NSE Investor Centre (NICE *Plus*) Interface, an Investor needs to have a valid Login Id & Password.
 6. Upon entering the invalid login, an alert message will be displayed as follows:



Please enter your credentials to access the system.

Invalid Username/Password

Username

ABC

Password

Captcha : enjAo

[New User?](#) | [Forgot Username](#) | [Forgot Password](#) | [Change Password](#)

➤ **FORGOT USERNAME:**

On not being able to recollect the username, please click on Forgot Username link which will show the following pop-up.

Forgot Username

First Name *

AND enter anyone of the following

PAN No.

OR

Mobile No.

OR

Email Id

Out of the 4 input fields, First Name is mandatory. Added to this, the Investor needs to enter either PAN or Mobile No and Email Id or any combination of two or all three.

On clicking “Get Username”, the following message will appear on the pop-up window, and an email will be sent to the registered email id with the username.

Forgot Username

Username sent successfully in email

First Name *

AND enter anyone of the following

PAN No.

OR

Mobile No.

OR

Email Id

➤ FORGOT PASSWORD

On not being able to recollect the password, please click on “Forgot Password” Link which will show the following pop-up.

Forgot Password

Username

OR

PAN No.

The user needs to enter the valid username or PAN, otherwise the following message will be encountered.

Forgot Password

Invalid Username/PAN NO.

Username

OR

PAN No.

Upon entering the username, you need to check the radio button corresponding to your registered mobile no.

Forgot Password

Kindly Select Mobile No.

Username

OR

PAN No.

Select Mobile No 9XXXXXX138

Click on “Get Password” and the One-Time-Password will be sent to email or on your mobile no. Enter the received OTP and again click on “Get Password”

Forgot Password

OTP sent successfully on Email/Mobile

Username

OR

PAN No.

Enter OTP

Forgot Password

OTP sent successfully on Email/Mobile

Username

OR

PAN No.

Enter OTP

On Clicking “Get Password”, Change Password link will be sent to your registered email-id.

Forgot Password

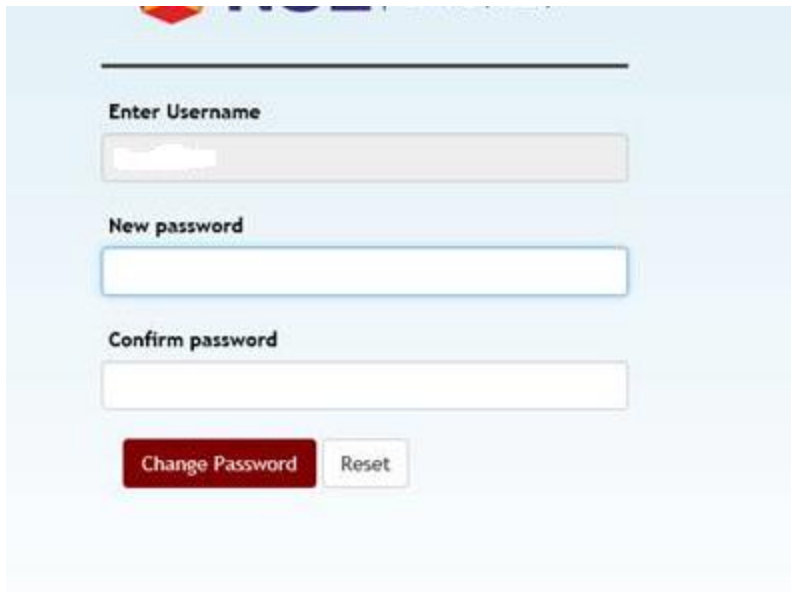
Change Password link sent successfully in email

Username

OR

PAN No.

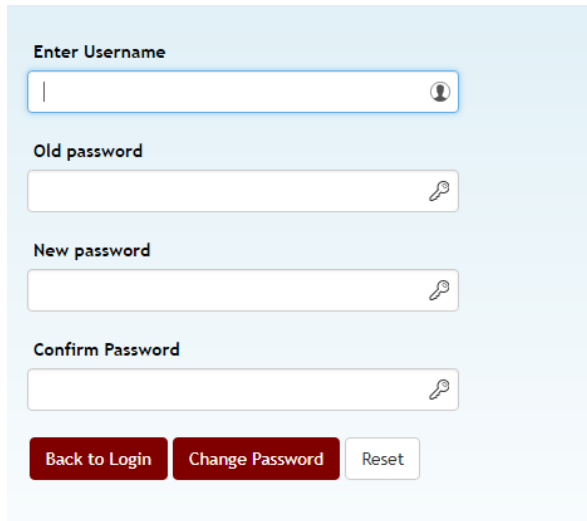
Upon clicking on the Change Password link sent on registered e-mail id, following screen will be opened. User can enter new password and login.



The screenshot shows a web interface for changing a password. It features three input fields: 'Enter Username', 'New password', and 'Confirm password'. Below the fields are two buttons: 'Change Password' (highlighted in red) and 'Reset'.

➤ CHANGE PASSWORD

In order to change the password, enter the password sent on your e-mail id in 'Old password' field and enter / confirm your new password and the click on Change Password.



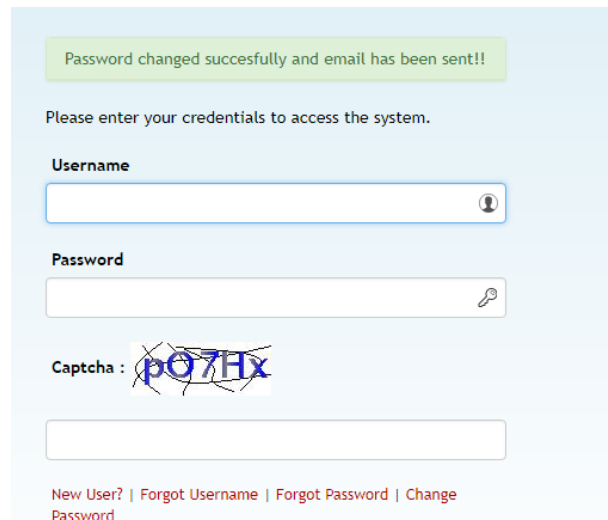
The screenshot shows a password change form with the following fields and buttons:

- Enter Username:** A text input field with a user icon on the right.
- Old password:** A text input field with a key icon on the right.
- New password:** A text input field with a key icon on the right.
- Confirm Password:** A text input field with a key icon on the right.
- Buttons:** Three buttons at the bottom: "Back to Login" (dark red), "Change Password" (dark red), and "Reset" (light gray).

In order to successfully change the password, all the fields in the snapshot are mandatory. The user needs to enter a valid username, old password. Added to this, the user needs to enter a new password of his/her own choice and confirm the same in the subsequent field.

Note: The New Password should adhere to the pattern: Minimum Length – 8 Characters, Maximum Length – 15, Alphanumeric, At least 1 upper case character, 1 lower case character and at least 1 special symbol (@,\$,=,!,,:,#,%). E.g. Abcd@1234.

Next, click on the change password button and the user will receive the following message.



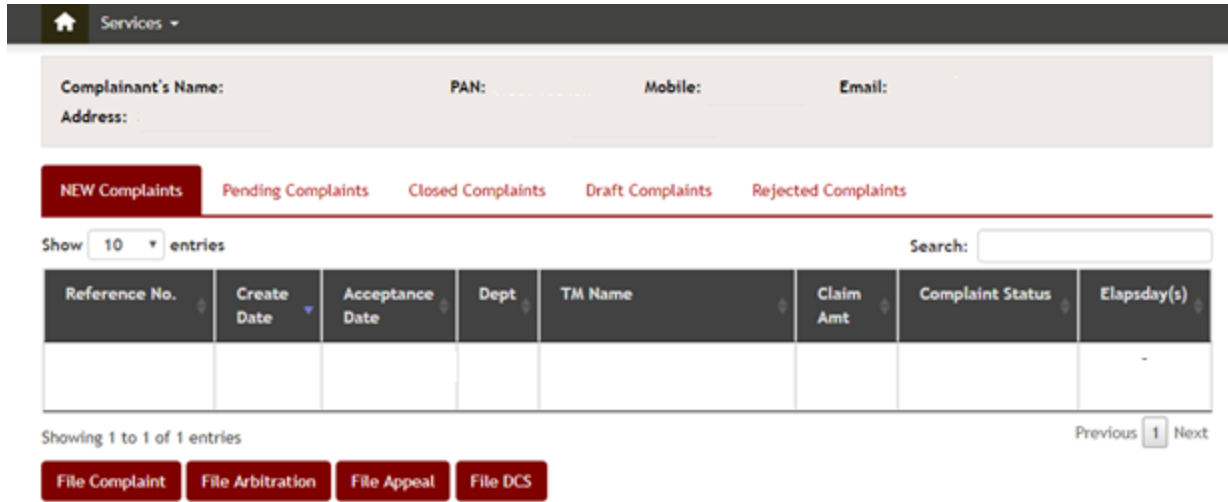
The screenshot shows a login page with the following elements:

- Message:** A green banner at the top stating "Password changed succesfully and email has been sent!!".
- Text:** "Please enter your credentials to access the system."
- Username:** A text input field with a user icon on the right.
- Password:** A text input field with a key icon on the right.
- Captcha:** A captcha image showing the text "p07HX" with a blue scribble over it, followed by a text input field for the user to enter the captcha.
- Links:** At the bottom, there are links: "New User?" (red), "Forgot Username" (red), "Forgot Password" (red), and "Change Password" (red).

3. DASHBOARD

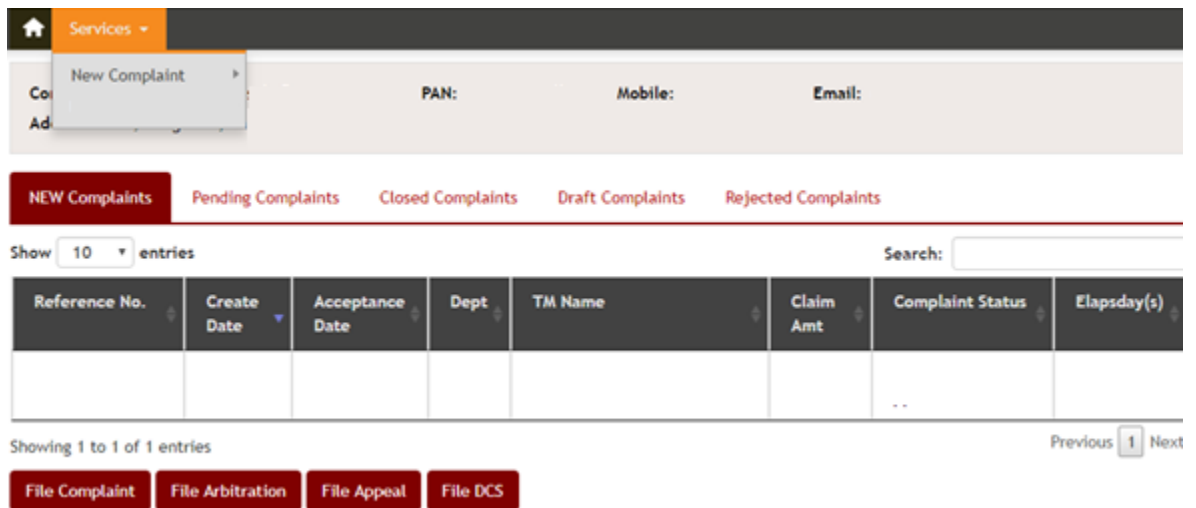
DASHBOARD

Upon successful login into the application (via Valid Username, Password & Captcha) the following dashboard screen will be displayed.

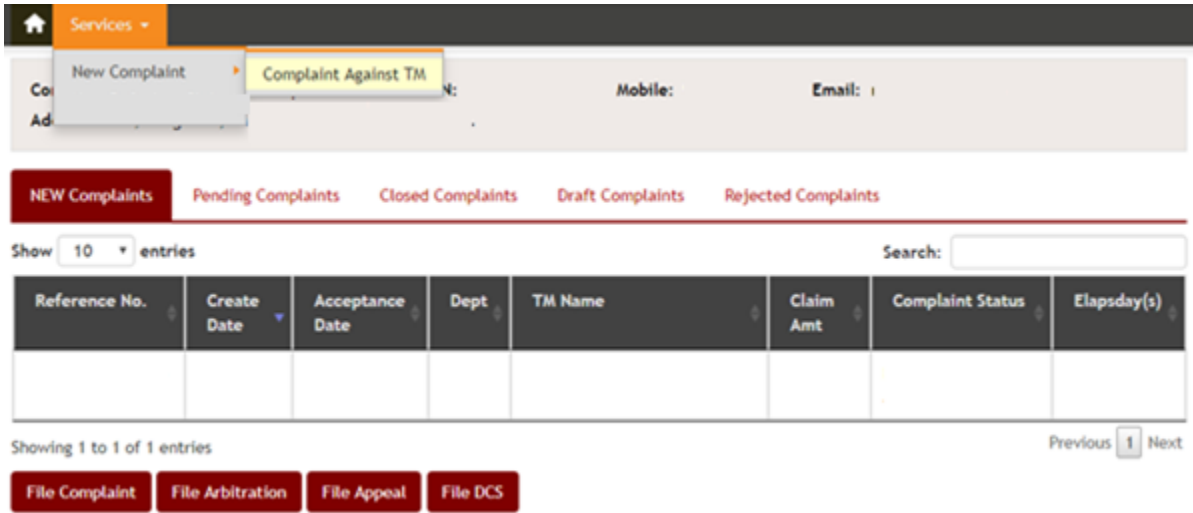


3.1 SERVICES

New Complaint can be filed through services tab.'



If a complaint needs to be lodged against the Trading Member, an Investor can go to Services >> New Complaint >> Complaint against TM or click the button “File Complaint” at the bottom of the Screen



➤ FILING ISC COMPLAINT

On clicking “Complaint against TM” the ISC Complaint form with three parts A, B & C will appear.

Services -

Dashboard » Services » New Complaint » Complaint Against TM » New

ISC Complaint Form

Application form consists of two parts

Part A: General Information

Applicant Details

Complainant's Name	<input type="text"/>	PAN Card Number	<input type="text"/>
Mobile Number	<input type="text"/>	Complainant's Details	
Bank Details for Payment :*	<input type="text" value="Select"/>		

Respondent Details

Respondent *	<input type="text"/>	Respondent Details	
Have you taken up your Complaint with the Respondent ?*	<input type="radio"/> Yes <input type="radio"/> No		
Relationship With TM *	<input type="text" value="Select"/>	Unique Client Code* *	<input type="text"/>

Save & Continue

Part B: Complaint Details

Part C: Reference/Source Details

Next, the Investor needs to enter the name of the trading member against whom, the complaint is to be lodged under the Respondent Details, drop down with possible names will appear.

Dashboard » Services » New Complaint » Complaint Against TM » New

ISC Complaint Form

Application form consists of two parts

Part A: General Information

Applicant Details

Complainant's Name	<input type="text"/>	PAN Card Number	<input type="text"/>
Mobile Number	<input type="text"/>	Complainant's Details	
Bank Details for Payment :*	<input type="text" value="Select"/>		

Respondent Details

Respondent*	<input type="text" value="ANGEL BROKING PRIVATE LIMITED"/> <input type="text" value="ANGEL SECURITIES LTD"/>	Respondent Details	
Have you taken up your Co	<input type="text"/>		
Relationship With TM	<input type="text" value="Select"/>	Unique Client Code*	<input type="text"/>

Save & Continue

Part B: Complaint Details

Next, the Investor needs to mention, whether the complaint has been taken up with the Trading Member. On clicking “Yes”, additional two input fields for Contact Officer Name and Contact Officer Number will appear which are mandatory.

ISC Complaint Form

Application form consists of two parts

Part A: General Information

Applicant Details

Complainant's Name	<input type="text"/>	PAN Card Number	<input type="text"/>
Mobile Number	<input type="text"/>	Complainant's Details	
Bank Details for Payment :*	<input type="text" value="Select"/>		

Respondent Details

Respondent*	<input type="text"/>	Respondent Details	
Have you taken up your Complaint with the Respondent ?*	<input checked="" type="radio"/> Yes <input type="radio"/> No		
Contact Officer's Name	<input type="text"/>	Contact No. of the Officer	<input type="text"/>
Relationship With TM	<input type="text" value="Select"/>	Unique Client Code*	<input type="text"/>

Save & Continue

Next, the investor needs to select the relevant relationship with the TM and enter the UCC, both of which are mandatory fields.

A Complainant can have following relationship with the TM.

- **Investor:** A Complainant can be an investor who holds a trading account with the Trading Member of NSE.
- **Sub Broker:** A Complainant can be a Sub Broker of a Trading member.
- **Authorized Person:** A Complainant can be an Authorized person.

Based on the selected relationship, the complainant needs to add either the Unique Client Code (UCC), Sub broker code or Authorized Person code.

Next, the investor needs to click on "Save & Continue".

Dashboard » Services » New Complaint » Complaint Against TM » New

ISC Complaint Form

Application form consists of two parts

Part A: General Information

Applicant Details

Complainant's Name <input type="text"/>	PAN Card Number <input type="text"/>
Mobile Number <input type="text"/>	Complainant's Details
Bank Details for Payment :* <input type="text" value="Select"/>	

Respondent Details

Respondent* <input type="text"/>	Respondent Details
Have you taken up your Complaint with the Respondent ?* <input checked="" type="radio"/> Yes <input type="radio"/> No	
Contact Officer's Name <input type="text"/>	Contact No. of the Officer <input type="text"/>
Relationship With TM <input type="text" value="Select"/> <input type="text" value="Select"/> AUTHORIZED PERSON INVESTOR SUB BROKER	Unique Client Code* <input type="text"/>

Save & Continue

In 'Part B: Complaint Details' investor needs to enter the details of the complaint.

ISC Complaint Form

Application form consists of two parts

Part A: General Information

Part B: Complaint Details

Non Receipt / Delay	Trade related	Charges	Order Execution	Primary Market	Others
<input type="checkbox"/> Funds <input type="checkbox"/> Securities <input type="checkbox"/> Corporate Benefit <input type="checkbox"/> Contract Notes <input type="checkbox"/> Account Statement <input type="checkbox"/> Agreement Copies <input type="checkbox"/> Bills	<input type="checkbox"/> Un authorised Trades <input type="checkbox"/> Closing off/Square up of positions without consent <input type="checkbox"/> Non-Settlement of Accounts	<input type="checkbox"/> Brokerage/Charges	<input type="checkbox"/> Non-Execution <input type="checkbox"/> Wrong Execution <input type="checkbox"/> Technology	<input type="checkbox"/> Non-Bidding <input type="checkbox"/> Wrong Bidding	<input type="checkbox"/> Shifting/closure of branch without intimation <input type="checkbox"/> Others

Save & Continue

Part C: Reference/Source Details

Back

Investor will identify and select the nature or type under his/her complaints belongs to. On selecting the same, separate window will be provided to enter the details.

Investor while entering the details in a particular nature of complaint can either add more rows pertaining to the same or delete a row or rows by checking the corresponding check boxes. Thereafter, the investor needs to click on “Save”.

The screenshot displays a 'Funds' window with the following structure:

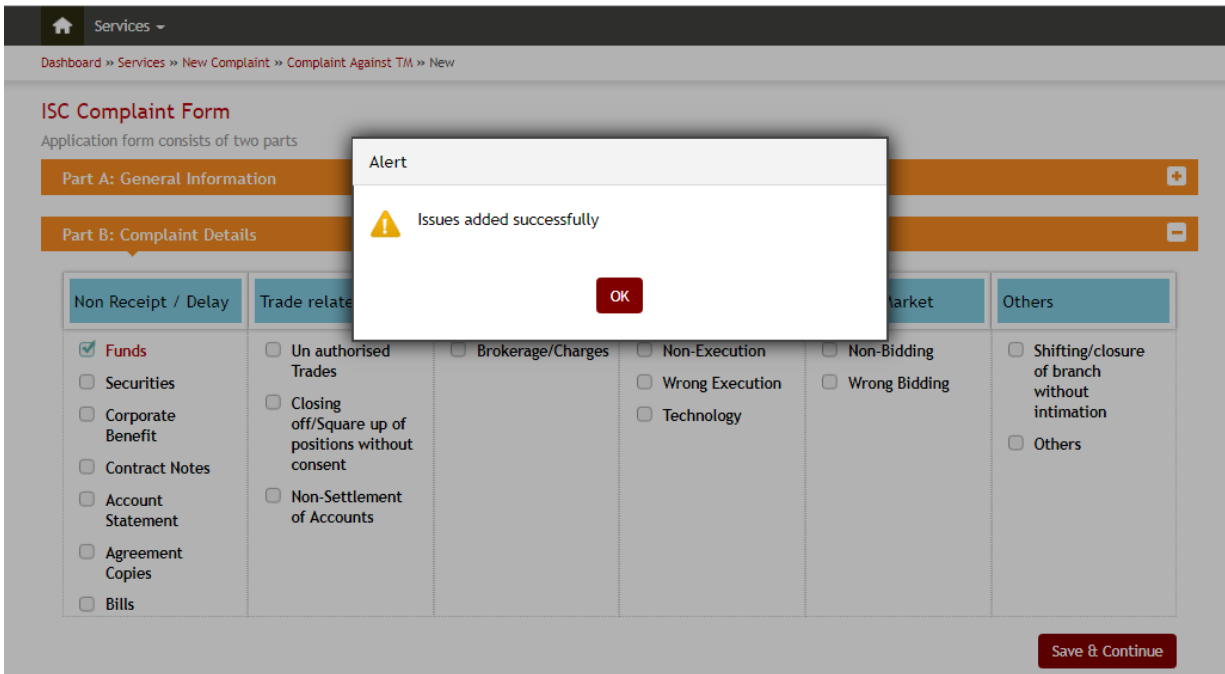
Security Name*	Date of Contract Note*	Qty (A)*	Price (B) (₹)*	Amount (C = A*B) (₹)
<input type="checkbox"/>				

Total

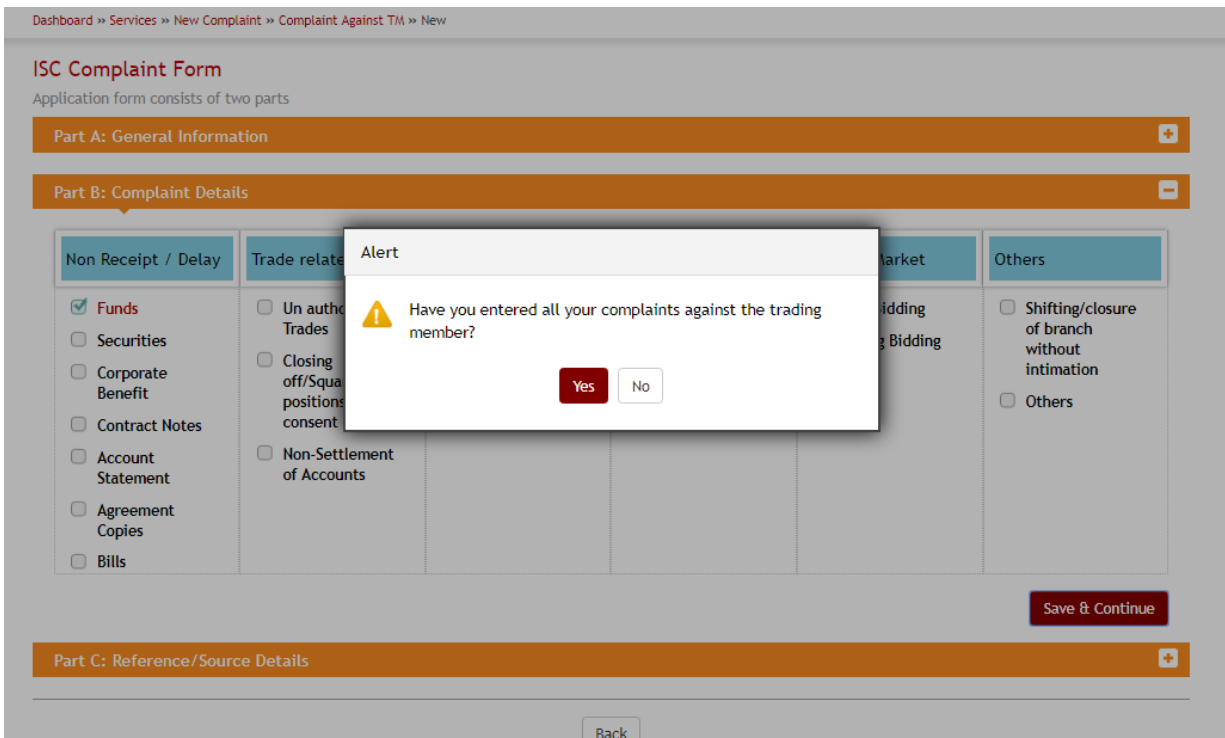
Details of shares delivered

Security Name*	Date of Delivery*	Quantity Delivered*
<input type="checkbox"/>		

On saving each nature of complaint, investor will get the following alert.



On clicking “Save & Continue” at the bottom-right of the page, the following alert will appear.



The investor needs to click on “yes” after which Part C i.e. Reference/Source details will appear as follows:

Services

Dashboard » Services » New Complaint » Complaint Against TM » New

ISC Complaint Form

Application form consists of two parts

- Part A: General Information
- Part B: Complaint Details
- Part C: Reference/Source Details

Total Claim Amount: 25000.00 Amount Claim by Applicant: 25000.00

Comments:

Save & Continue

Back

In case, investor’s claim/loss does not match with the Total Claim Amount (auto computed value) then the investor can put his/her claim value in the field ‘Amount Claimed by Applicant’ and put comments mentioning about the valuation of amount claimed.

The investor needs to click on “Save & Continue” after which a “Verify” button will appear as follows:

Services

Dashboard » Services » New Complaint » Complaint Against TM » New

ISC Complaint Form

Application form consists of two parts

- Part A: General Information
- Part B: Complaint Details
- Part C: Reference/Source Details

Total Claim Amount: 200000.00 Amount Claim by Applicant: 200000.00

Comments:

Save & Continue

Verify Back

On clicking the “Verify” button, the investor will be directed to the Complaint Form Summary page as follows:

Applicant Details

Complainant's Name		PAN	
Mobile		Email ID	
Address	301, Bangalore, Bangalore. KARNATAKA - 421001.	Aadhaar Card No.	
Mode of Submission		Date of Application	01-12-2018 16:43:56
Application Received Date	01-12-2018 16:43:56		
Bank Details for Payment :	NOT PROVIDED		

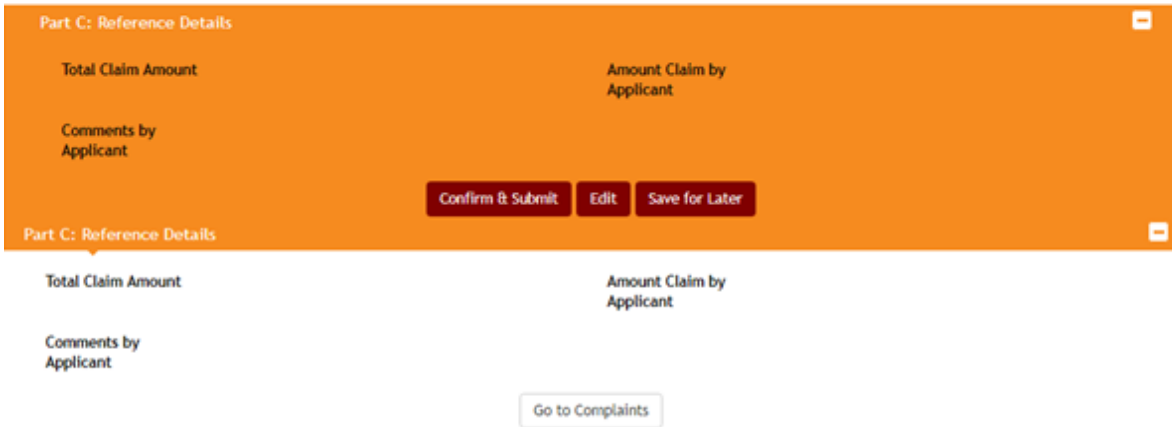
Respondent Details

Respondent*			
Email Id		TM Code	
Address	FLOOR, MIDC ROAD, NO 7, ANDHERI (E), , MUMBAI , MAHARASHTRA - 400093		
Nearest Regional Office			
Member Status	Conversion-WDM, Disabled-FO (CM), Enabled-CF (CM), Enabled-CF (TM), Enabled-CM, Enabled-FO (TM), Enabled-IF (CM), Enabled-IF (TM), Enabled-MFSS		

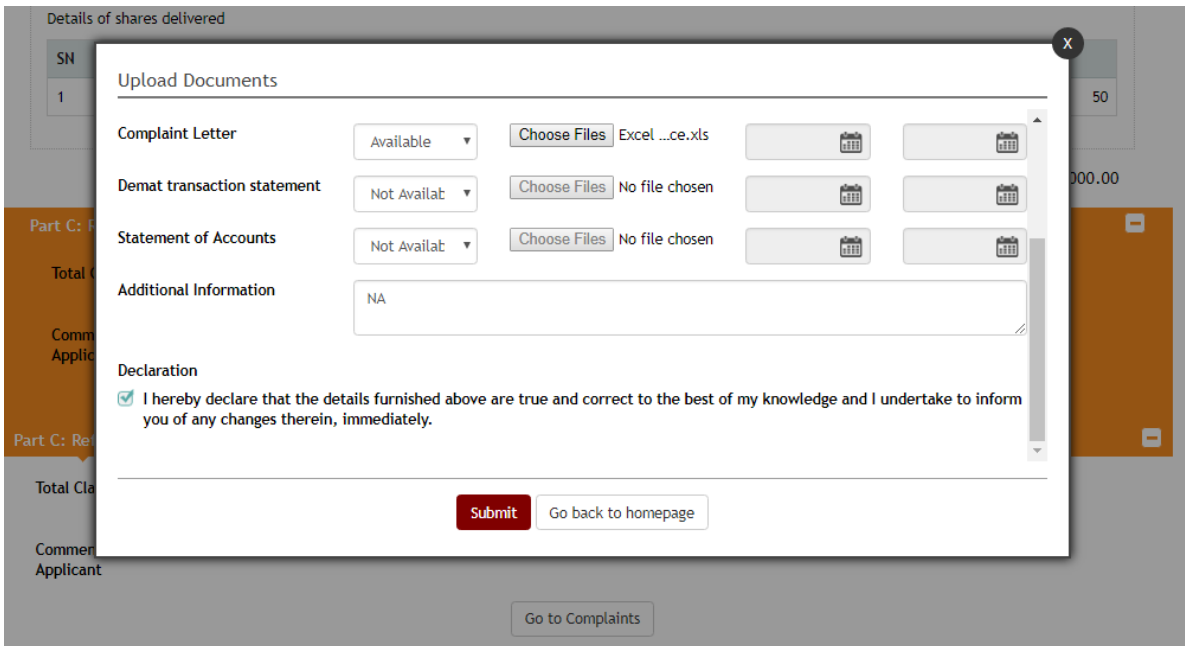
Have you taken up your Complaint with the Respondent ?* Yes

On the complaint form summary page, the investor has 3 options i.e. to “Confirm & Submit”, “Edit” & “Save for Later”.

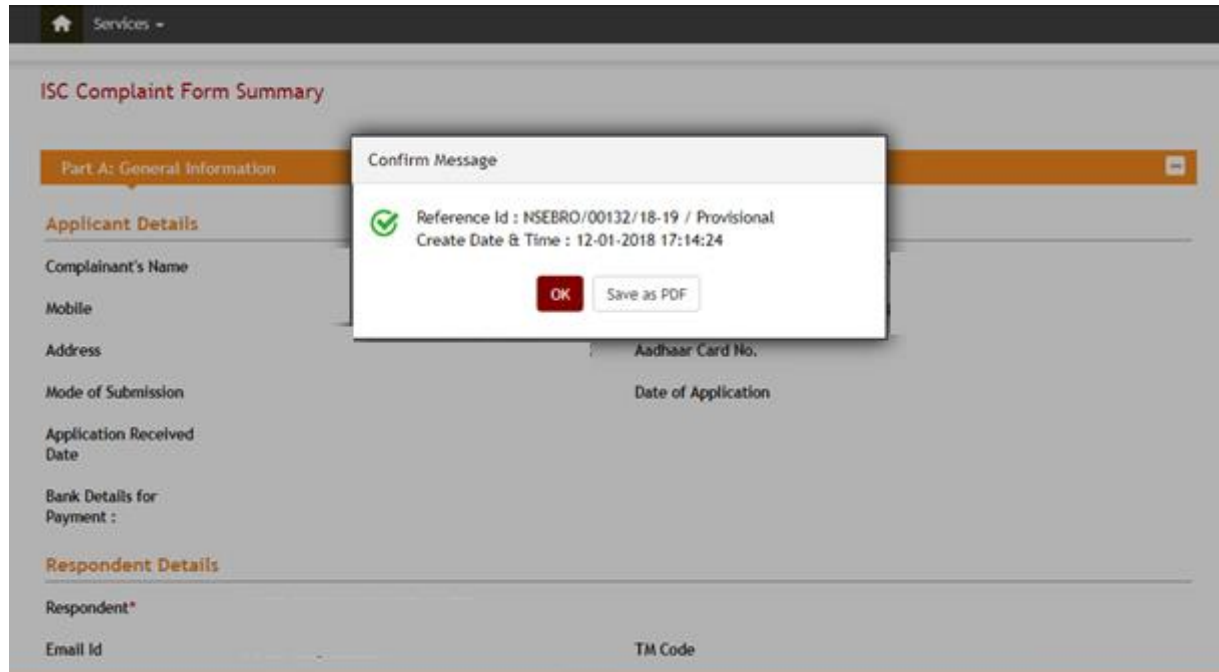
- The “Confirm & Submit” button will result in the final submission of the complaint
- The “Edit” button will direct the investor to the complaint form wherein the investor can edit the details of the complaint.
- The “Save for Later” option will save the complaint in the draft mode that can be submitted later as per the convenience of the investor.



On clicking the “Submit & Confirm” button, the following window will appear for uploading document, the investor needs to upload the documents pertaining to complaint. In addition, the investor needs to check the declaration statement and click on “Submit” button.



Upon final submission, a unique reference number will be generated and displayed on the confirm message alert for the further perusal of the investor. The investor then needs to click on “OK” button which will direct him/her to dashboard. Additionally, clicking on the “Save as PDF” button saves the entire complaint summary page in the PDF format.



The screenshot shows a web application interface for the 'ISC Complaint Form Summary'. The page is titled 'ISC Complaint Form Summary' and has a navigation bar with a home icon and the text 'Services'. Below the title, there is a section for 'Part A: General Information' which is currently expanded. Under this section, there are two sub-sections: 'Applicant Details' and 'Respondent Details'. The 'Applicant Details' section includes fields for 'Complainant's Name', 'Mobile', 'Address', 'Mode of Submission', 'Application Received Date', and 'Bank Details for Payment'. The 'Respondent Details' section includes a field for 'Respondent*' and 'Email Id'. A 'TM Code' field is also visible at the bottom right. A modal dialog box titled 'Confirm Message' is overlaid on the page, displaying a green checkmark icon and the text: 'Reference Id : NSEBRO/00132/18-19 / Provisional' and 'Create Date & Time : 12-01-2018 17:14:24'. The dialog box has two buttons: 'OK' and 'Save as PDF'.

On successful submission, a unique reference number will be generated and the complaint will be taken up for appropriate action by the Exchange, every action taken by the Exchange, investor and trading member shall be reflected in the dashboard.

➤ FILING ARBITRATION MATTER

The process to file a complaint with the Arbitration is also the same as described above except for Arbitration the complaint form has an additional arbitration part which is explained as follows:

Investor can file an arbitration complaint only for those complaints which have been resolved or closed in NICE *Plus*.

The screenshot shows the 'Closed Complaints' tab in the NSEIL system. At the top, there are input fields for 'Complainant's Name', 'PAN', 'Mobile', 'Email', and 'Address'. Below these are navigation tabs for 'NEW Complaints', 'Pending Complaints', 'Closed Complaints', 'Draft Complaints', and 'Rejected Complaints'. A search bar and a 'Show 10 entries' dropdown are present. The main table lists one entry with the following details:

Select	Reference No.	Create Date	Acceptance Date	Dept	TM Name	Claim Amt	Complaint Status
<input checked="" type="radio"/>	NSEWRO/00111/18-19/ISC/IGRP	01-12-2018	01-12-2018				Matter resolved

Below the table, it says 'Showing 1 to 1 of 1 entries' and includes 'Previous' and 'Next' navigation buttons. At the bottom, there are four red buttons: 'File Complaint', 'File Arbitration', 'File Appeal', and 'File DCS'.

Part A and Part B for filing an arbitration complaint are same as filing an ISC Complaint except that part B has additional 2 issues i.e. Legal Cost & Mental Harassment.

Legal Cost:

The screenshot shows a modal window titled 'Legal Cost' overlaid on the 'Part B: Complaint Details' page. The modal contains a text area for notes and a text input field labeled 'Amount (₹)*'. At the bottom of the modal are 'Save' and 'Close' buttons. The background page shows a sidebar with various checkboxes and a 'Back' button at the bottom.

Mental Harassment:

Part C for Arbitration has mandatory fields i.e. Case From to be selected as “New Case”, Dispute Date, Amount Claimed by Applicant (in case the amount calculated as per details provided in is different from the claim amount), and Representation of Case which needs to be entered by the Investor. Along with this, a choice of Arbitrators is also required which is mandatory.

Entity wise Fees bifurcation

Entity	Fees Applicable
Investor	

Choice of Arbitrators*

Preference No	Arbitrator Name
1	Select
2	Select
3	Select

On submission of the complaint page, a summary page will appear which is same as the one which appears for the ISC Complaint. On the final submission, a Unique Reference Number will be generated. Arbitration cost is automatically computed. The Arbitration Cost payable by Investor needs to be remitted by way of Cheque / Demand Draft in favour of “National Stock Exchange of India Ltd.”

➤ **FILING an APPELLATE ARBITRATION**

An Appeal can be filed only on the Arbitration Case that has been closed by Exchange in NICE *Plus*. Investor should select the radio button adjacent to the closed Arbitration Case for which he/she desires to file an Appeal.

Services ▾

Complainant's Name: PAN: Mobile: Email:
Address:

NEW Complaints Pending Complaints **Closed Complaints** Draft Complaints Rejected Complaints

Show 10 entries Search:

Select	Reference No.	Create Date	Acceptance Date	Dept	TM Name	Claim Amt	Complaint Status
<input checked="" type="radio"/>	NSEWRO/00125/18-19/ISC/IGRP	01-12-2018	01-12-2018	ISC			
<input type="radio"/>	NSEWRO/00111/18-19/ISC/IGRP	01-12-2018	01-12-2018	ISC			

Showing 1 to 2 of 2 entries Previous 1 Next

File Complaint File Arbitration File Appeal File DCS

An Appeal Application Form will be shown comprising 3 parts: General Information, Complaint Details & Arbitration Details. Out of the 3 parts, General Information Part is non-editable.

+
Part A: General Information

Applicant Details

Complainant's Name <input style="width: 95%;" type="text"/>	PAN Card Number <input style="width: 95%;" type="text"/>
Mobile Number <input style="width: 95%;" type="text"/>	Complainant's Details
Bank Details for Payment :* <input style="width: 95%;" type="text"/>	

Respondent Details

Respondent* <input style="width: 95%;" type="text"/>	Respondent Details
Have you taken up your Complaint with the Respondent ?* <input checked="" type="radio"/> Yes <input type="radio"/> No	
Contact Officer's Name <input style="width: 95%;" type="text"/>	Contact No. of the Officer <input style="width: 95%;" type="text"/>
Relationship With TM <input style="width: 95%;" type="text"/>	Unique Client Code* <input style="width: 95%;" type="text"/>

Status : ISC --> IGRP

Add Respondent
Remove Respondent
Save & Continue

+
Part B: Complaint Details

+
Part C: Arbitration Details

The Complaint Details section shall populate data from Arbitration and investor is free to add "Legal Cost" or "Mental Harassment". Once all the nature of complaints have been entered, investor needs to click on Save & Continue.

+
Part A: General Information

-
Part B: Complaint Details

Non Receipt / Delay	Trade related	Charges	Order Execution	Primary Market	Others
<input checked="" type="checkbox"/> Funds <input type="checkbox"/> Securities <input type="checkbox"/> Corporate Benefit <input type="checkbox"/> Contract Notes <input type="checkbox"/> Account Statement <input type="checkbox"/> Agreement Copies <input type="checkbox"/> Bills	<input type="checkbox"/> Un authorised Trades <input type="checkbox"/> Closing off/Square up of positions without consent <input type="checkbox"/> Non-Settlement of Accounts	<input type="checkbox"/> Brokerage/Charges	<input type="checkbox"/> Non-Execution <input type="checkbox"/> Wrong Execution <input type="checkbox"/> Technology	<input type="checkbox"/> Non-Bidding <input type="checkbox"/> Wrong Bidding	<input type="checkbox"/> Shifting/closure of branch without intimation <input type="checkbox"/> Others <input type="checkbox"/> Mental Harassment <input type="checkbox"/> Legal Cost

Save & Continue

+
Part C: Arbitration Details

Back

Part C: Arbitration Details needs to be filled out by the investor wherein the Representation of case, Total Amount Claimed by Applicant, Choice of Arbitrators is mandatory has to be filled out by the investor. Appellate Arbitration cost is automatically computed.

✖
Part C: Arbitration Details

Case From *	FROM NICE	Complaint for mapping	Select
Arbitration Matter	SOLE <input type="radio"/> PANEL <input type="radio"/>	Total Claim Amount	<input type="text"/>
Dispute Date*	<input type="text"/>	Amount Claim by Applicant	<input type="text"/>
Arbitration Cost	<input type="text"/>	CASE within 6 Month	<input checked="" type="radio"/> Yes <input type="radio"/> No
Amount of Fees	<input type="text"/>	Representation of Case*	<input type="text"/>
Stamp Charges	<input type="text"/>	Fees Applicable To	Exchange & Trading Member

Entity wise Fees bifurcation

Entity	Fees Applicable
Investor	0.00

Choice of Arbitrators*

Preference No	Arbitrator Name
1	<input type="text"/>
2	<input type="text"/>
3	<input type="text"/>

Save & Continue

Back

The investor needs to click on “Save & Continue” after which a “Verify” button will appear as follows:

Application form consists of two parts

✖
Part A: General Information

✖
Part B: Complaint Details

✖
Part C: Arbitration Details

Verify
Back

The investor needs to click on “Verify” after which, the following complaint summary page will be rendered.

Complaint Form Summary

Kindly verify the below details and confirm.

Part A: General Information

Applicant Details

Complainant's Name	PAN
Mobile	Email ID
Address	Aadhaar Card No.
Mode of Submission	Date of Application
Application Received Date	
Bank Details for Payment :	

Respondent Details

Respondent*

Email Id	TM Code
Address	WESTERN EXPRESS HIGHWAY, GENERAL A K VADYA MARG, HALAD (EAST) , MUMBAI , MAHARASHTRA - 400097
Nearest Regional Office	
Member Status	Enabled-CF (CM), Enabled-CF (TM), Enabled-CH, Enabled-DEBT (CM), Enabled-DEBT (TM), Enabled-FO (CM), Enabled-FO (TM), Enabled-IF (CM), Enabled-IF (TM), Enabled-MFSS
Have you taken up your Complaint with the Respondent ?*	Yes
Contact Officer's Name	Contact No. of the Officer
Relationship With TM	Investor
	Unique Client Code*

Part A: General Information

Part B: Complaint Details

Segment selected

Non Receipt/Delay

Funds

Sale of Securities

SN.	Security Name	Date of Trade	Qty (A)*	Price (B) (₹)*	Amount (C = A*B) (₹)
1					
Total					

Details of shares delivered

SN	Security Name	Date of Delivery	Quantity Delivered
1			

Total Claim Amount

Part C: Arbitration Details

Case From	Complaint for mapping
Arbitration matter	Total Claim Amount
Dispute Date	Amount Claim by Applicant
CASE within a month	Arbitration Cost
Representation of Case	Amount of Fees
Fees applicable to	Stamp Charges

Entity wise Fees bifurcation

Entity	Fees Applicable
Investor	

Choice of Arbitrators

Applicant		Respondent	
Preference No	Arbitrator Name	Preference No	Arbitrator Name
1			
2			
3			

Part C: Reference Details

Total Claim amount	Amount Claim by Applicant
Comments by Applicant	

Form | Confirm & Submit | Edit | Save for Later

On clicking “Confirm & Submit”, user needs to upload documents and check the declaration and click on “Submit”.

Preference No | Arbitrator Name | Preference No | Arbitrator Name

1 | | 2 | | 3 | |

Upload Documents

Proof of Payment	Not Availab	Choose Files	No file chosen		
Statement of Accounts	Available	Choose Files	Alloca....docx		
Demat transaction statement	Not Availab	Choose Files	No file chosen		

Additional Information

Declaration

I hereby declare that the details furnished above are true and correct to the best of my knowledge and I undertake to inform you of any changes therein, immediately.

Submit | Go back to homepage

Go to Complaints

Next, a unique reference number will be generated as follows:

The screenshot shows a web application interface for an 'Arbitration Complaint Form Summary'. The page is titled 'Part A: General Information' and is divided into two main sections: 'Applicant Details' and 'Respondent Details'. A modal dialog box titled 'Confirm Message' is overlaid on the page, displaying a green checkmark icon and the following text: 'Reference Id : NSEWRD/00125/18-19/ISC/IGRP/ARB' and 'Create Date & Time : 12-01-2018 19:11:47'. Below the text are two buttons: a red 'OK' button and a white 'Save as PDF' button. The background page shows fields for 'Complainant's Name', 'Mobile', 'Address', 'Aadhaar Card No.', 'Mode of Submission', 'Date of Application', 'Application Received Date', 'Bank Details for Payment', 'Respondent*', and 'Email Id'.

3.2 NEW COMPLAINTS

The investor dashboard consists of 5 Tabs:

New Complaints: This tab shows all the new complaints which have been filed by the investor.

The screenshot shows the 'NEW COMPLAINTS' tab selected. At the top, there are input fields for 'Complainant's Name', 'Address', 'PAN', 'Mobile', and 'Email'. Below these are tabs for 'NEW Complaints', 'Pending Complaints', 'Closed Complaints', 'Draft Complaints', and 'Rejected Complaints'. A 'Show 10 entries' dropdown and a search bar are present. A table lists one entry with the following data:

Reference No.	Create Date	Acceptance Date	Dept	TM Name	Claim Amt	Complaint Status	Elapseday(s)
NSEWRO/00141/18-19 / Provisional		01-12-2018	ISC				

Below the table, it says 'Showing 1 to 1 of 1 entries' and 'Previous 1 Next'. At the bottom, there are buttons for 'File Complaint', 'File Arbitration', 'File Appeal', and 'File DCS'.

Clicking on the Reference Number takes the investor to the summary page of the complaint that has been filed by the investor

The screenshot shows the 'ISC Complaint Form Summary' page. It has a header 'ISC Complaint Form Summary' and a sub-section 'Part A: General Information'. The details are as follows:

Reference Id	NSEWRO/00141/18-19 / Provisional	Submission Date & Time	01-12-2018 19:16:00
Registration Date		Handled By	

Below this is the 'Applicant Details' section:

Complainant's Name		PAN	
Mobile		Email ID	
Address	420, 420, Mumbai, Mumbai. MAHARASHTRA - 400356.	Aadhaar Card No.	
Mode of Submission		Date of Application	01-12-2018 19:14:29
Application Received Date			
Bank Details for			

3.3 PENDING COMPLAINTS

Pending Complaints: This tab shows complaints filed by the investor which have been registered and are pending to be resolved at the Exchange end. Further this tab will also show new Arbitration cases filed by investor against the trading member:

Complainant's Name: PAN: Mobile: Email:
Address:

NEW Complaints **Pending Complaints** Closed Complaints Draft Complaints Rejected Complaints

Show 10 entries Search:

Reference No.	Create Date	Acceptance Date	Dept	TM Name	Claim Amt	Complaint Status	Elapsday(s)
NSEWRO/00125/18-19/ISC/IGRP/ARB	01-12-2018	01-12-2018	Arbitration				

Showing 1 to 1 of 1 entries Previous 1 Next

File Complaint File Arbitration File Appeal File DCS

3.4 CLOSED COMPLAINTS

Closed Complaints: This tab shows all the complaints which have been closed from the exchange end. In addition to this, investor can also file an arbitration for the complaint closed in IGRP or an appeal for the complaint closed in Arbitration.

Complainant's Name: PAN: Mobile: Email:
Address:

NEW Complaints Pending Complaints **Closed Complaints** Draft Complaints Rejected Complaints

Show 10 entries Search:

Select	Reference No.	Create Date	Acceptance Date	Dept	TM Name	Claim Amt	Complaint Status
<input type="radio"/>	NSEWRO/00125/18-19/ISC/IGRP	01-12-2018	01-12-2018	ISC			
<input type="radio"/>	NSEWRO/00111/18-19/ISC/IGRP	01-12-2018	01-12-2018	ISC			

Showing 1 to 2 of 2 entries Previous 1 Next

File Complaint File Arbitration File Appeal File DCS

3.5 DRAFT COMPLAINTS

Draft Complaints: Draft complaints are those wherein the investor has filled the complaint form but not submitted the same to the Exchange.

Services ▾

Complainant's Name: PAN: Mobile: Email:
Address:

[NEW Complaints](#)
[Pending Complaints](#)
[Closed Complaints](#)
[Draft Complaints](#)
[Rejected Complaints](#)

Show entries Search:

Draft No.	Create Date	Acceptance Date	Dept.	TM Name	Claim Amt.	Complaint Status	Delete
Draft/206	01-12-2018	01-12-2018	Arbitration				
Draft/203			ISC		---		

Showing 1 to 2 of 2 entries Previous Next

File Complaint
File Arbitration
File Appeal
File DCS

3.6 REJECTED COMPLAINTS

Rejected Complaints: This tab shows all the complaints which have been rejected from the Exchange end.

Services ▾

Complainant's Name: PAN: Mobile: Email:
Address:

[NEW Complaints](#)
[Pending Complaints](#)
[Closed Complaints](#)
[Draft Complaints](#)
[Rejected Complaints](#)

Show entries Search:

Reference No.	Create Date	Acceptance Date	Dept.	TM Name	Claim Amt.	Complaint Status	Elapsday(s)
NSEWRD/00151/18-19 / Provisional		03-12-2018	ISC				

Showing 1 to 1 of 1 entries Previous Next

File Complaint
File Arbitration
File Appeal
File DCS

4 COMMUNICATION BETWEEN PARTIES AND EXCHANGE

During the course of complaint, there will be communication between different entities or stakeholders pertaining to the complaint. For e.g. if the Exchange Officer decides to seek additional documents from the investor then the same will be communicated to the investor which will be displayed on the Complaint Summary Page under “Complaint Resolution”. The Investor shall provide the details sought by the Exchange from the “Communication between Applicant and Respondent” tab. The parties will be able to communicate with each other through the “Communication between Applicant and Respondent” tab as shown below:

☰
Complaint Resolution

Interaction

Select Action	SN	Date Time	Complaint Status	Complaint LOV	Sub LOV 1	Sub LOV 2	Action Remarks	Files	Forwarded Documents
	1.	03-12-2018	Complaint taken up with respondent	Complaint taken up with respondent. Response awaited.	-	-	Documents sent to Respondent		-
	2.	03-12-2018	Received Documents from respondent are being Analysed	Received Documents from respondent are being Analysed	-	-	Documents received from Respondent		-
	3.	03-12-2018	Response forwarded to applicant	Additional Documents Sought from applicant	-	-	additional documents required		-

☰
Communication between Applicant and Respondent

Response

Document Name asdf Document Upload No file chosen