



**Securities and Exchange Commission of Pakistan**  
**Securities Market Division**  
**Investor Complaints Wing**

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**Instructions for filing of Complaints against Members/Brokers/Agents of the Stock Exchanges**

1. You can file all your complaints regarding stock brokers/agents only on the prescribed form, which is available, free of cost on the following:
  - a. Commissions' Head office and all Company Registration Offices (CRO)
  - b. All the Offices of exchanges
  - c. Commissions' website ([www.secp.gov.pk](http://www.secp.gov.pk))
  - d. Karachi Stock Exchange website ([www.kse.net.pk](http://www.kse.net.pk))
  - e. Lahore Stock Exchange website ([www.lse.brain.net.pk](http://www.lse.brain.net.pk))
  - f. Islamabad Stock Exchange website ([www.ise.com.pk](http://www.ise.com.pk))
2. All the complaints would only be acceptable on the given "Complaints Registration Form"
3. Incomplete/unsigned/illegible forms will not be entertained.
4. In case of companies, only the authorized representative (along with authority letter) of the company should sign the form on behalf of his/her company.
5. Required Documents: Please enclose all the documents listed below with your complaint. In case you are not able to provide any of the said documents kindly provide the reason for not submitting the same.

**List of Documents to be submitted**

- I. Copy of NIC (in case of companies NIC of the authorized representative)
  - II. Account opening form of the complainant
  - III. CDC sub-account opening form/Individual investor account
  - IV. Share Deposit receipts.
  - V. Trade confirmations slips/sale-purchase bills
  - VI. All cash receipts and payments made
  - VII. CDC reports and statements
  - VIII. Any other document signed by the complainant or member-broker during the course of business.
6. Complete forms along with all the required documents can be submitted at the following address

**Joint Director, Vigilance Cell,  
Securities and Exchange Commission of Pakistan,  
9<sup>th</sup> Floor, NIC Building,  
Jinnah Avenue, Blue Area  
Islamabad.  
Ph: 051-9207091-94  
Fax No: 051-9218595, 051-9204915**



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**Complaint Registration Form**

Mr/Miss/Mrs/M/s \_\_\_\_\_

Vs

Mr/Miss/Mrs/M/s \_\_\_\_\_

Member/Agent of \_\_\_\_\_ Stock Exchange (G) Limited

Complainants' Information (Individuals)	
Name:	
NIC No:	
Stock Market Experience	
Home Address:	
Telephone:	
Fax No:	
E-mail:	
Business Address:	
Telephone:	
Fax No:	
E-mail:	
Complainants' Information (Companies)	
Name of the company:	
Company Registration No:	
Nature of Business:	
Managing Director:	
Registered office Address:	
Telephone:	
Fax No:	
E-mail:	
Contact person:	
Office Address:	
Telephone:	
Fax No:	
E-mail:	



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Complaint Against		
Name of the Member/Agent		
Business Address of the member/agent		
Telephone:		
Fax No:		
E-mail:		
Were you involved in trading with a registered broker/agent of the Commission?	Yes	No
Whether you have consulted the concerned member/agent for the resolution of your complaint?	Yes	No
If "Yes" then please provide details of the actions taken by the member/agent along with documentary proof.	Use additional sheet if necessary	
Whether you have consulted the concerned stock exchange for the resolution of your complaint?	Yes	No



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<p>If "Yes" then please provide details of the action taken by the stock exchange along with documentary proof.</p>	<p>Use additional sheet if necessary</p>	
<p>If "No" please provide the reason for not consulting the concerned stock exchange.</p>	<p>Use additional sheet if necessary</p>	
<p>Has any other forum (such as courts) been approached regarding the complaint?</p>	<p>Yes</p>	<p>No</p>
<p>If "Yes" then please provide details of their action along with documentary proof.</p>	<p>Use additional sheet if necessary</p>	
<p>Since when you are working with the said member-broker/agent?</p>		
<p>Total Claim in terms of shares and amount (Rs). Please provide the break up of claim (Use additional sheet if necessary)</p>	<p>Shares (Quantity)</p>	<p>Amount (Rs)</p>



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Nature of claim/violation of any particular provision of law (if known)		



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Any additional Information related to your complaint (use additional sheet if necessary)

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I Mr/Miss/Mrs/M/s \_\_\_\_\_do hereby state that whatever is stated above is true to best of my knowledge and nothing is concealed.

<b><u>For Office Use Only</u></b>
Dealing Officer: _____
Remarks: _____
_____
_____
_____
_____

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

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