

Details of pending complaints against brokers of the Exchange as on 31.08.2010

SI No.	Name of the complainant	Name of the Member & Ref	Nature of complaint	Receiving date	Type of action	Status of complaint	Remarks
1	SK Anwar Hossain	A.Malik & Co. 1303	Non receipt of payment of Rs.29,000/-	23/8/2001	Declared Defaulter		----
2	Runa laila	A.Malik & Co. 1302	Non receipt of payment of Rs.61,000/-	23/8/2001	Declared Defaulter		----
3	Vyapaar P Limited	Bafna Securities Pvt. Ltd.1259	Non-payment of 5200 shares of RIL	21/5/2001		Matter Subjudice	----
4	Priyajit Kumar Sett	Bimal Kumar Seal 975	Non delivery of shares	17/8/1998	Declared Defaulter		----
5	Sanjay Kumar Sett	Bimal Kumar Seal 974	Non delivery of shares	17/8/1998	Declared Defaulter		----
6	Fortune Investors & traders Ltd.	C.K.Tibrewalla & Co. 1282	Non payment of Rs. 27,00,000/-	07/06/2001		Matter Subjudice	----
7	Madhuri Jaipuria SEBI	C.K.Tibrewalla & Co. 1341	Loan Rs.10 Lacs against Badla	01/01/2002		Matter Subjudice	----
8	S.C.Das	Chunilal T Mehta 1225	Non-delivery of 200 tudor india 400 cauverly software & 400 srg	03/08/2001			----
9	Balaji Investment	Daga & Sons 1352	Non-receipt of 1600 shares of TELCO	02/09/2002	Declared Defaulter		----
10	Vaibhai Trade & Services Pvt Ltd.	Daga & Sons 1218	Due Rs.33,80,000/-	25/1/2001	Declared Defaulter		----
11	Rajvir Commercial Pvt Ltd. SEBI	Daga & Sons 1217	Due Rs.17,85,000/-	25/1/2001	Declared Defaulter		----
12	Empee Finvest Pvt. Ltd. SEBI	Daga & Sons 1216	Due Rs.33,20,000/-	25/1/2001	Declared Defaulter		----
13	Arun Kumar Sureka	Dinesh Kumar Singhanian 1168	Non-payment of Rs.2,03,28,374/-	07/11/2000	Defaulter,Expelled		----
14	GPI Investment Pvt. Ltd.	Harish Chandra Biyani 1343	Non-payment of Rs. 4,09,786/-	14/1/2002	Defaulter,Expelled		----
15	Hindusthan Equity Fund	Harish Chandra Biyani 1229	Non-receipt of payment of Rs77,32,690/-	18/3/2001	Defaulter,Expelled		----
16	Shyam Sunder Kukreja	Jwala Prasad Saraf 1081	Non-receipt of payment for different share transactions	08/05/1999		Matter Subjudice	----
17	Murali Lal Lhila	Jwala Prasad Saraf 991	Non-payment of 300 shares of ITC	10/06/1998		Matter Subjudice	----
18	MSV Securities Limited	Kiran ParasramPuria 1170	Non-receipt of 13,12,955/-	19/7/2000	Declared Defaulter		----
19	Badri Das Chamana	Kunj Behari Kejriwal 1111	Non-payment of 3000 shares of ITC	14/2/2000		Matter Subjudice	----
20	Jasraj Singh	Mahabir Prasad Lohia 839	Fradulence of share certificate of 100 Shares of ITC Hotel 843	18/11/1997	Declared Defaulter		----
21	Sobhagya Holdings Pvt Ltd. SEBI	Mukesh Dokania & Co. 1374	Non-refund of Rs 10,00,000/-	30/7/2002		Matter Subjudice	----
22	Sudha Singhanian	Mukul Bhattacharjee 1357	Non-payment of Rs. 15,939/-	15/3/2002			Suspended
23	Tarak Nath Paul	Mukul Bhattacharjee 1308	Nonpaymentof700RPL300bata50RIL25castrol50satyam100usha	30/8/2001			Suspended
24	Jyotsna Nath	Mukul Bhattacharjee 1300	Non payment of Rs. 2,26,410/-	14/8/2001			Suspended
25	Kaberi Das	Mukul Bhattacharjee 1093	Non-payment of 600 Rolta	10/08/1999			Suspended
26	Suman Kumar Bandhu	Mukul Bhattacharjee 1362	Return of cheque against sale proceed	18/4/2002			Suspended
27	Umesh Kumar Mohta	Murali M Chandak & Co 1200	Non-receipt of Rs.82,178.70/-	23/10/2000	Declared Defaulter		----
28	Subroto Das SEBI	Platinum Stock Broking 1254	Non-payment of Rs.10,000/-	15/5/2001			Expelled
29	Amit Ganguly	Platinum Stock Broking 1087	Non-receipt of 50 Ranraxylab	09/08/1999			Expelled
30	Parimal Sarkar	Platinum Stock Broking 1071	Nondeliveryofsharesof1000IFCI500IDBI1000BOI1000DenaBank	07/01/1999			Expelled
31	AKG Associates	Pradeep Kayan & Co. 1173	Non return of 50 shares of Brook Bond Lipton	08/05/2000			
32	Raylon Industries Ltd. SEBI	Pradeep Kayan & Co. 1237	Rs.1,89,00,000 + 55,54,310.50 + Margin Money due	04/02/2001		Matter Subjudice	----
33	Mayur Industries Ltd. SEBI	Pradeep Kayan & Co. 1236	Rs,61,00,000 + Margin Money due	04/02/2001		Matter Subjudice	----
34	Rajat Polypack Pvt. Ltd SEBI	Pradeep Kayan & Co. 1235	Rs.2,74,268 + 14,00,000 + Margin Shares Due	04/02/2001		Matter Subjudice	----
35	West Port Export Pvt. Ltd. SEBI	Pradeep Kayan & Co. 1234	Rs. 18,79,843 + Margin Shares Due	04/02/2001		Matter Subjudice	----
36	R.K. Bhattacharya	Prem Lal Roy 1375	Non-payment of Rs.74,000/-	26/8/2002	Defaulter		----
37	Santosh Kumar Banerjee	Prem Lal Roy 1376	Non-payment of 27,500/-	26/8/2002	Defaulter		----

38	Anjana Sarkar	Ramesh Kumar Kabra & Co.	Non-receipt of Rs.134135.89/- (Ref No. 1298)	18/6/2001			
39	Jagmohan Khemani	Sanjay Khemani 1274	Vyaj Badla of Rs.25,00,000	22/6/2001			Suspended
40	Unit Trust of India	Shamlal Laha & Co. 854	Non-receipt of payment of different share transactions	11/11/1997			----
41	Syam Sunder Kukreja	Sharad Agarwala & Co. 1080	Delivery in forged T.D	08/05/1999		Matter Subjudice	----
42	Alok Kr. Mitra	Prem Lal Roy 1410	Non-delivery of Shares of 18,215/-	17/10/2003			Suspended
43	Ratan Kumar Shaw	Prem Lal Roy 1417	Non-receipt of 400 Penta Media 100 Tisco 500 Silver Line	22/1/2004			Suspended
44	B.N.Roy	Sewkaran Dhelia 1445	Non-payment of Rs. 2,40,962/-	07/04/2006			
45	Gouri Sharan Sharma SEBI	Shyam Sunder Dalmia 1449	Non-delivery of 50 SBI	09/12/2006			
46	Shri Krishna Muchhal	Luxmi & Co. 1452	Non return of 1000 shares of Reliance Petroleum				
47	Sushil Kumar Jhunjhunwala SEBI	KCGP Securities 1453	Violation of SEBI Contract	07/10/2007		Matter Subjudice	----
48	Harinder K Singh SEBI	J.Thomas Investment 1455	Non-payment after sale procedds				
49	Subir Kar Chowdhury	R.K.Mishra & Co. 1457	Non-trasfer of 100 shares of J.K.Corporation	22/11/2007			
50	Aloke Kumar chatterjee SEBI	N.K.Tiwary 1458	Non-tranfer of 100 shares	12/07/2007		Matter Subjudice	
51	Nilkanta Datta SEBI	M/s G.M.Pyne 1462		28.04.2008			
52	Rajlaksmi Tradelink P Ltd.	N.M.Lohia & Co. 1463	Fradulence of 4,00,000/-	21.05.2008			
53	Mitesh R Shah	Vikash Somani Sec Pvt. Ltd.	Fradulence of Jaiparakash Industries shares	17.09.2008			
54	B.R.Associates(p) Ltd.	M/s P.K.Agarwal & Co.	Non-Compliance with Investor requirements	9.02.2009			
55	Magnum Steels Ltd.	M/s P.K.Agarwal & Co.	Non-Compliance with Investor requirements	9.02.2009			
56	IRS Industries Pvt. Ltd.	M/s P.K.Agarwal & Co.	Non-Compliance with Investor requirements	9.02.2009			
57	Shri Jyotirup Chandra	Laksmi Stock BrokingPvt Ltd.	Non-receipt of shares	18.02.2009			
58	Smt. Suvra Dey	J Thomas Investment Co. Ltd.	Non-delivery of shares of ITC Limited	27.03.2009			