

Report 1B: Redressal of Complaints lodged by clients against Trading Members (TMs) during 2008-09: Updated on 1st January,2009 to 31st March, 2009 (to be updated every quarter) (In excel sheet)

Sl. No.	Name of the TM	Defaulter (Yes/No)	No. of UCCs at the beginning of the year	No. of Complaints received against the TM*	Of the Complaints received during 2008-09							
					No. of Complaints							
					Resolved through the Exchange /IGRC	Non actionable**	Arbitration Advised	Pending for redressal with Exchange	No. of Arbitration filed by Clients	Decided by the Arbitrators	Decided by Arbitrators in favour of the clients	Pending for Redressal with Arbitrators
1	P. K.. Agarwal & Company	No	N.A	3	Pending	Action has been taken	Yes	Yes	Nil	N.A.	N.A.	N.A.
2	Lakshmi Stock Broking Pvt Ltd	No	N.A	1	-Do-	-Do-	Yes	Yes	Nil	N.A.	N.A.	N.A.
3	Rajib Boyed	No	N.A	1	-Do-	-Do-	Yes	Yes	Nil	N.A.	N.A.	N.A.
4	J. Thomas & Investment Co. Ltd	No	N.A	1	-Do-	-Do-	Yes	Yes	Nil	N.A.	N.A.	N.A.
5												
6												
7												
N												
Total				6								

*including against its sub-brokers, authorized persons, employees, etc.

****Non actionable** means the complaint that are incomplete / outside the scope of stock exchange

(Arrange the Trading members in descending number of complaints filed against them during the period)

**Reports 3A: Disposal of Arbitration Proceedings (where client is a party) during 2008-09: Updated on mm dd yyyy
(to be updated every quarter) (In excel sheet)**

Sl. No.	Name of Arbitrator	No. of Awards Passed	No. of Awards in favor of Clients		No. of Awards implemented	No. of Awards appealed	No. of cases pending for redressal at the end of period		
			Filed by TM	Filed by Clients			Pending	For more than 6 months	For more than 3 months, but less than 6 months
1	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
2									
3									
4									
5									
6									
7									
8									
9									
N									
Total									

(In case of panel of arbitrators, the cases / awards would appear against every member of the panel)
(Arrange the arbitrators in descending number of awards passed by them during the period)

Reports 3B: Disposal of Arbitration Proceedings (where client is a party) during 2009-10: Updated on 1st April,2009 to 30th June,2009 (to be updated every quarter) (In excel sheet)

Sl. No.	Name of Arbitrator	No. of Awards Passed	No. of Awards in favor of Clients		No. of Awards implemented	No. of Awards appealed	No. of cases pending for redressal at the end of period		
			Filed by TM	Filed by Clients			Pending	For more than 6 months	For more than 3 months, but less than 6 months
1	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
2									
3									
N									
Total									

(In case of panel of arbitrators, the cases / awards would appear against every member of the panel)
 (Arrange the arbitrators in descending number of awards passed by them during the period)

Reports 3B: Disposal of Arbitration Proceedings (where client is a party) during 2009-10: Updated on 1st July,2009 to 30th September,2009 (to be updated every quarter) (In excel sheet)

Sl. No.	Name of Arbitrator	No. of Awards Passed	No. of Awards in favor of Clients		No. of Awards implemented	No. of Awards appealed	No. of cases pending for redressal at the end of period		
			Filed by TM	Filed by Clients			Pending	For more than 6 months	For more than 3 months, but less than 6 months
1	Retd. Justice Shri Prabuddha Shankar Banerjee	Nil	M/s SLA Securities Ltd**	N.A	Nil	Nil	1	Nil	1
2	Retd. Justice Shri Manik Mohan Sarkar								
3	Shri Bishnu Priya Dasgupta (W.B.H.J.S)								
N									
Total							1		

(In case of panel of arbitrators, the cases / awards would appear against every member of the panel)
(Arrange the arbitrators in descending number of awards passed by them during the period)

**The above mentioned case is currently under consideration of the present Arbitration Committee.

Reports 3B: Disposal of Arbitration Proceedings (where client is a party) during 2009-10: Updated on 1st November,2009 to 31st December,2009 (to be updated every quarter) (In excel sheet)

Sl. No.	Name of Arbitrator	No. of Awards Passed	No. of Awards in favor of Clients		No. of Awards implemented	No. of Awards appealed	No. of cases pending for redressal at the end of period		
			Filed by TM	Filed by Clients			Pending	For more than 6 months	For more than 3 months, but less than 6 months
1	Retd. Justice Shri Prabuddha Shankar Banerjee	Nil	M/s SLA Securities Ltd**	N.A	Nil	Nil	1	Nil	1
2	Retd. Justice Shri Manik Mohan Sarkar								
3	Shri Bishnu Priya Dasgupta (W.B.H.J.S)								
N									
Total							1		

(In case of panel of arbitrators, the cases / awards would appear against every member of the panel)
(Arrange the arbitrators in descending number of awards passed by them during the period)

**The above mentioned case is currently under consideration of the present Arbitration Committee.

