

**Table 1A**  
**For Report 1A**

<b>* Type of Complaints</b>	
<b>Type</b>	<b>Description</b>
<b>I</b>	<b>Non-receipt / delay in payment:</b>
I a	Delay in Payment
I b	Non-receipt of Payment
I c	Delay in refund of margin payment
I d	Non settlement of accounts
<b>II</b>	<b>Non-receipt / delay in securities</b>
II a	Delay in delivery
II b	Non-receipt of delivery
II c	Delay in refund of margin deposit
II d	Non settlement of accounts
<b>III</b>	<b>Non-receipt of documents:</b>
III a	Contract notes
III b	Bills
III c	Account Statements
III d	Agreement copies
<b>IV</b>	<b>Unauthorized trades / misappropriation:</b>
IV a	Unauthorized trades in client account
IV b	Misappropriation of client's funds / securities
<b>V</b>	<b>Service related:</b>
V a	Excess brokerage
V b	Non-execution of order
V c	Wrong execution of order
V d	Connectivity / system related problem
V e	Non-receipt of corporate benefits
V f	Other service defaults
<b>VI</b>	<b>Closing out / squaring up:</b>
VI a	Closing off / squaring up without consent
VI b	Dispute in Auction value / close out value
<b>VII</b>	<b>Non implementation of arbitration award</b>
<b>VIII</b>	<b>IPO related</b>
<b>IX</b>	<b>Others</b>

<b>** Status</b>	
<b>Type</b>	<b>Description</b>
<b>I</b>	<b>Non actionable</b>
I a	Complaints incomplete
I b	Outside the scope of stock exchange
<b>II</b>	<b>Resolved</b>
<b>III</b>	<b>Under Process</b>
<b>IV</b>	<b>Referred to Arbitration</b>