

COMPLIANCE AWARENESS SERIES -
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Investors’ Grievances and Notice Board

<p>Requirements in Summary</p>	<p><u>Investors’ Grievances</u></p> <p>Members are required to maintain records of all written complaints of constituents showing the name and UCC of the client, date, particulars of the complaint, action taken by the Member and if the matter is referred for arbitration to the Exchange, the particulars thereof, etc. Members are also required to ensure that no complaint of any client is pending for more than 30 days.</p> <p>Members are also required to maintain a register of complaints.</p> <p><u>Notice Board</u></p> <p>Members are required to place board/plate of size of minimum 4’x3’, containing the details prescribed by the Exchange at the main/branch offices of the trading member and offices of the sub-brokers/franchises (where the trading terminal is located), in a prominently visible location.</p> <p>Members are also required to ensure that copy of registration certificate issued by the Exchange is displayed at the Head office and branches/sub-brokers offices.</p>
<p>Reference</p>	<ol style="list-style-type: none">1. Circular No. MCX/COMP/304/2007 dated September 01, 20072. Circular No. MCX/295/2006 dated July 26, 20063. Circular No. MCX/012/2006 dated January 10, 2006

The bye-laws, rules, business rules and circulars are available on our website www.mcxindia.com under the link Membership>Legal Framework. Members can also refer to all the volumes of the Compliance Awareness Series on our Website www.mcxindia.com under the link Membership>Compliance Awareness Series.

We also request members to read the FAQs available under the link Membership on our website.