Form No. I: Arbitration Application

To,
Investor Service Department - Arbitration Section,
Multi Commodity Exchange of India Limited
Regional Arbitration Center - _____ (Location where application is being filed)

I/We hereby apply for adjudication by arbitration of the claim, difference and dispute within the meaning of the Bye laws, Rules and Regulations of the Exchange which has arisen and is now pending as per following:

I. Details of Parties:

Particulars	Applicant (Entity filing the matter)	Respondent (Entity against whom matter filed)
Name*		
Address* (office/residence)		
City *		
Pincode*		
State*		
Tel: Office/Residence		
Mobile No.		
Email*		
Status#		
Client Code/ Member ID		
PAN (Mandatory)*		

#*Constituent Client/ Trading Member/ Authorised Person/ Clearing Member*

II. Nature of claim and amount*:

Sr. no.	Nature of claim	Claim Amount (Rs.)
1	Application made against a GRC Order. Please mention the IG complaint number: _____	
2	Non-receipt of funds / Commodity (name of commodity _____) after sale/ on a settlement of a contract	
3	Non receipt of commodity (name of commodity _____) after purchase on a settlement of a contract	
4	Non-receipt of credit balance as per the statement of account	
5	Execution of trades without consent of client	

6	Issues pertaining to brokerage / interest / penalty / commission / other charges	
7	Non Execution of Trades	
8	Outstanding Debit Balance unpaid	
9	Others* - Please specify	
	Total	
	Disputed Trade Date*	

Claim Amount in words: _____

III. List of documents / copy enclosed with the claim (Tick the documents enclosed)

I/ We enclose herewith **three / six** copies of following documents

	Statement of Case* (mandatory – containing all the relevant facts about the dispute and relied sought along with Index and page numbering)
	Statement of Accounts in proof of claim
	Copies of Member - Constituent Agreement (MCA)/ Know Your Client (KYC)/ Risk Disclosure Document (RDD)
	Copies of relevant - Contract Notes/Bills, Invoice and Delivery Challan
	Other, please specify: _____

(Please provide a brief statement of the calculation/ break up of claim value, separate sheet may be attached, if required):

IV. Details of payment of cost of arbitration

Payment to be made in favour of Multi Commodity Exchange of India Ltd.

Cheque / DD / Pay Order No/ NEFT	
Instrument Issue/ Transaction Date	
Amount (Rs)	
Bank Name	

V. Hearing in the matter:

I/We state that,

	I ***do not*** want a hearing from the arbitrator
	I ***do*** want a hearing from the Arbitrator

Note: For cases having claim amount below Rs.1,00,000/-, hearing is not compulsory but arbitrator may call for hearing, if required.

VI. Representation of Case:

a. I will personally represent the case.
b. I would represent the case along with my representative _____ in his/her capacity as_____.
c. On my behalf _____ will represent in his/her capacity as _____.

(Constituent Client/ Investor * may attend the Arbitration proceedings and defend the matter on his own or appoint Authorized Representative to defend the matter by executing a notarized Power of Attorney. In case investor has appointed a Laywer/Advocate to represent his case, then a duly signed Vakalatnama will be required.)

Yours faithfully,

Date*: _____
Place*: _____

_____
(Signature of Applicant/ Authorized Person*)

Note: **General Instructions**

1. Kindly fill the application in a legible manner.
2. Refer the Exchange website for details of Regional Arbitration centers on https://www.mcxindia.com/Investor-Services/arbitration/list-of-arbitrators
3. Refer the fees structure on the Exchange website for cost of arbitration on https://www.mcxindia.com/Investor-Services/arbitration/arbitration-fees)
4. The Applicant shall submit three sets of documents, if claim value up to Rs.25 lakh and six sets if claim is above Rs.25 lakhs.
5. The Applicant shall put his/her signature on all the pages of the documents submitted alongwith this form and if the Applicant is a firm/company, the rubber stamp of the firm/company shall be affixed on all the pages.
6. If the Applicant is a firm/company then the authorized representative of the Applicant has to submit the authority letter/board resolution as the case may be alongwith this form.

*** Mandatory Details** **(Strike out what is not mandatory)**

Form No- II: Preference of Arbitrators

In the matter of an Arbitration under the Bye laws, Rules and Business Rules of Multi Commodity Exchange Of India Limited

Details*	Applicant	Respondent
Name: Mr./ Ms./ M/s.		
Address Office/Residential		
Telephone No.		
Mobile No.		
Email id		
Client Code/ Member ID		
PAN (Mandatory)*		

To,
The Investor Services Department - Arbitration Section
Multi Commodity Exchange of India Ltd.,
Regional Arbitration Center - _____ (Location where application is being filed)

I/We, the Applicant / Respondent, do hereby propose the following Arbitrators in order of preference,from the panel of Arbitrators of the Exchange, for appointment as Sole Arbitrator/ Arbitral Tribunal in thematter.

1. _____
2. _____
3. _____
4. _____
5. _____

Yours faithfully,

_____
(Signature of Applicant/Respondent /Authorized Person)*

Date*: _____
Place*: _____

*** Mandatory Details**

1) In case of Claim less than Rs.25 Lakhs the matter will be heard by Sole Arbitrator, in view of the same **three** names to be submitted from the list of persons eligible to act as arbitrators.
2) In case of Claim above Rs.25 Lakhs the matter will be referred to a Panel with 3 Arbitrator's, in view of the same **minimum three and maximum five** names are to be suggested from the list of persons eligible to act as arbitrators.
3) Refer the list of Arbitrators on the Exchange website on https://www.mcxindia.com/Investor-Services/arbitration/list-of-arbitrators

Form No. III: Reply by the Respondent in the Arbitration matter

To,
Investor Service Department - Arbitration Section,
Multi Commodity Exchange of India Limited
Regional Arbitration Center - _____ (Location where application is being filed)

I/We with reference to the application of arbitration submitted within the meaning of the Bye laws, Rules and Regulations of the Exchange submit as per following:

I. Details of Parties:

Particulars	Applicant (Entity filing the matter)	Respondent (Entity against whom matter filed)
Name*: Mr./ Ms./ M/s.		
Address* (office/residence)		
City *		
Pincode*		
State*		
Tel: Office/Residence		
Mobile No.		
Email*		
Status#		
Client Code/ Member ID		
PAN (Mandatory)*		

#*Constituent Client/ Trading Member/ Authorised Person/ Clearing Member*

II. List of documents / copy enclosed with the claim (Tick the documents enclosed)

I/We enclose herewith **three / six** copies of following documents

- ☐ Statement of defense to the arbitration case * (mandatory along with Index and numbering)
- ☐ Enclosure of documents to support defense.
- ☐ Other, please specify: _____

III. Details of payment of cost of arbitration

Payment to be made in favour of Multi Commodity Exchange of India Ltd.

Cheque / DD / Pay Order No/ NEFT	
Instrument Issue/ Transaction Date	
Amount (Rs)	
Bank Name	

IV. Hearing in the matter:

I/We state that,

☐ I ***do not*** want a hearing from the arbitrator

☐ I ***do*** want a hearing from the Arbitrator

Note: For cases having claim amount below Rs.100,000/-, hearing is not compulsory but arbitrator may call for hearing, if required.

V. Representation of Case:

a. I will personally represent the case.

b. I would represent the case along with my representative _____ in his/her capacity as_____.

c. On my behalf _____ will represent in his/her capacity as _____.

(Constituent Client/ Investor * may attend the Arbitration proceedings and defend the matter on his own or appoint Authorized Representative to defend the matter by executing a notarized Power of Attorney. In case investor has appointed a Laywer/Advocate to represent his case, then a duly signed Vakalatnama will be required.)

Yours faithfully,

Date*: _____

Place*: _____

_____

(Signature of Respondent/ Authorized Person*)

Note: **General Instructions**

1. Kindly fill the application in a legible manner.
2. Refer the Exchange website for details of Regional Arbitration centers on https://www.mcxindia.com/Investor-Services/arbitration/list-of-arbitrators
3. Refer the fees structure on the Exchange website for cost of arbitration on https://www.mcxindia.com/Investor-Services/arbitration/arbitration-fees)
4. The Respondent shall put his/her signature on all the pages of the documents submitted alongwith this form and if the Respondent is a firm/company, the rubber stamp of the firm/company shall be affixed on all the pages.
5. If the Respondent is a firm/company then the authorized representative of the Respondent has to submit the authority letter/board resolution as the case may be alongwith this form.

*** Mandatory Details** **Strike out what is not mandatory**

Form – IV: Appellate Arbitration Application

Arbitration Matter No.: MCX/ARB/_____/20_____

To,

Investor Service Department - Arbitration Section,
Multi Commodity Exchange of India Limited
Regional Arbitration Center - _____ (Location where application is being filed)

In the matter of appeal against the Award passed on _____ under the Rules, Bye- laws and Business Rules of Multi Commodity Exchange of India Limited.

_____

Name of Appellant ……. (Original Applicant/ Respondent*)

Versus

_____

Name of Respondent ……. (Original Applicant/ Respondent*)

I. Details

Details	Appellant	Respondent
Name*: Mr. /Ms. / M/s.		
Address*: (Office/ Residence)		
Telephone No.*		
Mobile No.		
Email ID*		
Client Code/ Member ID		
PAN (Mandatory)*		

II. Limitation

The Appellant further declares that the appeal is within the limitation, as prescribed under the Rules, Bye-laws and Business Rules of the Exchange.

III. Declaration that the matter is not pending before Court, etc.

The Appellant further declares that the matter regarding which this appeal has been made is not pending before any Court of Law or with any other authority.

IV. List of documents enclosed with the application: (Tick the documents enclosed)

I/ We enclose herewith **six** copies of following documents

	Statement of claim of appeal (Mandatory along with Index and page numbering)
	Copy of Award appealed against (Mandatory)
	Cheque/DD/Pay Order towards Appellate Arbitration Deposit (Mandatory)
	List of documents in support of appeal claim
	Other, Please specify _____

V. Details of payment of cost of arbitration

Payment to be made in favour of Multi Commodity Exchange of India Ltd.

Cheque / DD / Pay Order No/ NEFT	
Instrument Issue/ Transaction Date	
Amount (Rs)	
Bank Name	

VI. Representation of Case:

a) I will personally represent the case.
b) I would represent the case along with my representative _____ in his/her capacity as_____.
c) On my behalf _____ will represent in his/her capacity as _____.

(Constituent Client/ Investor * may attend the Arbitration proceedings and defend the matter on his own or appoint Authorized Representative to defend the matter by executing a notarized Power of Attorney. In case investor has appointed a Laywer/Advocate to represent his case, then a duly signed Vakalatnama will be required.)

Place*:
Date:*

_____
(Signature of Appellant/ Authorized Representative*)

GUIDELINES

Note:

- Kindly fill the application in a legible manner.
- Refer the Exchange website for details of Regional Arbitration centers on https://www.mcxindia.com/Investor-Services/arbitration/list-of-arbitrators
- Refer the fees structure on the Exchange website for cost of arbitration on https://www.mcxindia.com/Investor-Services/arbitration/arbitration-fees)
- The Appellant shall put his/her signature on all the pages of the documents submitted along with this form, and if the Appellant is a firm/company, the rubber stamp of the firm/company shall be affixed on all the pages.
- If the Appellant is a firm/company then the authorized representative of the Appellant has to submit the authority letter/board resolution as the case may be along with this memorandum of appeal.

*** Mandatory Details** **(Strike out what is not mandatory)**

Form No- V: Intimation of preference of Appellate Arbitrators

Arbitration Matter No.: MCX/ARB/_____/20_____,

To,
Investor Service Department - Arbitration Section,
Multi Commodity Exchange of India Limited
Regional Arbitration Center - _____ (Location where application is being filed)

In the matter of appeal against the Award passed on _____ under the Rules, Bye- laws and Business Rules of Multi Commodity Exchange of India Limited.

_____
Name of Appellant ……. (Original Applicant/ Respondent*)

Versus

_____
Name of Respondent ……. (Original Applicant/ Respondent*)

Sirs,

I/We, the Appellant / Respondent, in the said matter, the names of persons chosen by me/us as Arbitrators from the list of eligible persons to act as Appellate Arbitrators (who shall be different from the ones who passed the arbitral award appealed against) are given below in descending order of preference:

1. _____
2. _____
3. _____
4. _____
5. _____

Yours faithfully,

_____ Date*: _____

(Signature of Applicant/Respondent /Authorized Person)* Place*: _____

*** Mandatory Details**

1) **Minimum three and maximum five** names are to be suggested from the list of persons eligible to act as arbitrators.
2) Refer the list of Arbitrators on the Exchange website on https://www.mcxindia.com/Investor-Services/arbitration/list-of-arbitrators. Please select the arbitrators from the regional list of arbitrators where the case is filed.

Form No. VI: Reply by the Respondent in Appellate Arbitration matter

Arbitration Matter No.: MCX/ARB/_____/20_____

To,
Investor Service Department - Arbitration Section,
Multi Commodity Exchange of India Limited
Regional Arbitration Center - _____ (Location where application is being filed)

In the matter of appeal against the Award passed on _____ under the Rules, Bye- laws and Business Rules of Multi Commodity Exchange of India Limited.

_____

Name of Appellant ……. (Original Applicant/ Respondent*)

Versus

_____

Name of Respondent ……. (Original Applicant/ Respondent*)

I. Details

Details	Appellant	Respondent
Name*: Mr. /Ms. / M/s.		
Address*: (Office/ Residence)		
Telephone No.*		
Mobile No.		
Email ID*		
Client Code/ Member ID		
PAN (Mandatory)*		

II. List of documents / copy enclosed with the claim (Tick the documents enclosed)

I/We enclose herewith **six** copies of following documents (with Index and page numbering)

- ☐ Statement of reply/defense to the arbitration case* (Mandatory)
- ☐ Copy of Award appealed against (Mandatory)
- ☐ List of documents in support of reply/ defence
- ☐ Other, please specify: _____

III. Representation of Case#:

a. I will personally represent the case.
b. I would represent the case along with my representative _____ in his/her capacity as_____.
c. On my behalf _____ will represent in his/her capacity as _____.

(Constituent Client/ Investor * may attend the Arbitration proceedings and defend the matter on his own or appoint Authorized Representative to defend the matter by executing a notarized Power of Attorney. In case investor has appointed a Laywer/Advocate to represent his case, then a duly signed Vakalatnama will be required.)

Yours faithfully,

Date*: _____ _____

Place*: _____ **(Signature of Respondent/ Authorized Person*)**

Note: **General Instructions**

1. Kindly fill the application in a legible manner.
2. The Respondent shall put his/her signature on all the pages of the documents submitted alongwith this form and if the Respondent is a firm/company, the rubber stamp of the firm/company shall be affixed on all the pages.
3. If the Respondent is a firm/company then the authorized representative of the Applicant has to submit the authority letter/board resolution as the case may be alongwith this form.

*** Mandatory Details** **Strike out what is not mandatory**