

FORMAT FOR INVESTOR COMPLAINT AGAINST SECURITY ISSUER

(Use separate form for each company / complaint)

(Please tick (?) the appropriate item and complete all columns in capital letters)

To
Bangladesh Securities & Exchange Commission
(Complaint Desk)
Securities Commission Bhaban, E-6/C, Agargaon,
Sher-e-Bangla Nagar Administrative Area,
Dhaka-1207, Bangladesh.

FOR BSEC USE ONLY			
Acknowledgement	Case Ref. No.	File No.	Status
Ref. No.			
Date			

Dear Sirs ,

Please take up the matter with the company for immediate redressal of my complaint particulars of which are as under:

A. Name & Address with phone No. of the Investor:

.....

B. Folio No:

.....

C. Name & Address of the Company complained against:

D. Name of the Registrar/Transfer Agent (if any) :

E. BSEC acknowledgement Reference No. :

(In case of reminder)

F. Nature of complaint :

Type / Category:

(i) **Issue/ Offer** **non-receipt of:**

- (a) Refund Warrant/ Allotment Advice
- (b) Revalidation of Refund Warrant (RW)
- (c) Duplicate RW for correct amount
- (d) Duplicate RW after Indemnity (against lost RW)
- (e) Duplicate RW on correct bank (give details)
- (f) Short Refund
- (g) Others (specify)

(ii) Dividend.....non receipt of

- (a) Final (at % of the FY
- (b) Interim (at % of the FY)

(iii) Shares non receipt of certificates in/after:

- (a) Allotment letter/Exchange of AL
- (b) Conversion
- (c) Splitting
- (d) Transfer
- (e) Endorsement
- (f) Bonus (at % of the FY)
- (g) Transmission
- (h) Consolidation
- (i) Duplicate on submission of Indemnity Bond

(iv) Debenture/Bondnon-receipt of:

- (a) Interest
- (b)Transfer
- (c) Consolidation certificate
- (d) Conversion certificate
- (e) Redemption Amount
- (f) Transmission
- (g) Splitting certificate
- (h) Delay in payment of interest/ redemption amount
- (i) Exchange of allotment letter
- (j) Endorsement
- (k) Duplicate on submission of indemnity bond

(v) Miscellaneous non-receipt of:

- (a) Annual Report
- (b) Interest on delayed refund payment
- (c) Brokerage/Commission payment
- (d) Offer for Rights
- (e) Registration of change in address
- (f) Half yearly account
- (g) Any other (specify)

G. Particulars of the application/security held

- (a) No. of security applied for/held
- (b) Kind of security :

(i) Share

(ii) Debenture

(iii) Others

(c) Mode of payment (details) :

(i) Cash

(ii) Cheque/ D. D/P.O : No. _____ Dated _____ Amount Tk. _____: Drawn on _____

(d) Application deposited at :

(e) Bank serial No. :

(f) Photocopy of Bank Certificate enclosed

(i) Yes (ii) No

(g) Photocopy of acknowledgement slip enclosed :

(i) Yes (ii) No

(h) Original Refund Warrant No. :

(in case of revalidation/duplicate)

(i) Period on/for which dividend/interest/ maturity amount/redemption amount due

(j) Date on which security was forwarded to the Company/Registrar/Transfer Agent

(k) Indemnity Bond sent for issue of duplicate :

(l) Yes, Date: _____ (ii) No.

H. Other details, if any, in brief

I. Dates of earlier correspondence with the Company/ Registrar/Transfer Agent

J. Enclosure, if any (specify)

Place

Date

Signature of the security holder

NOTE: It would be advisable to address the complaint to BSEC only if the Company / Registrar/Transfer Agent has not responded inspite of having sent two reminders over a period of at least one month.

Bangladesh Securities and Exchange Commission

Dhaka

ACKNOWLEDGEMENT

Received the complaint reference No. _____ dated _____ for examination and necessary action (if applicable).

Official seal

Signature & date
