***Enforcement and Follow-Up Department***

***- Securities Disputes Resolution Section –***

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| --- | --- | --- | --- | --- |
| **Complainant details:** | | | | |
|  | | | | **Full name:** |
|  | | | | **Birth date:** |
|  | | | | **Nationality:** |
| **Landline:** | | **Mobile phone:** | | **Contact number:** |
|  | | | | **Email address:** |
|  | | | | **Fax number:** |
|  | | | | **ID card number:** |
|  | | | | **Street Address:** |
|  | | | | **City:** |
|  | | | | **Emirate:** |
|  | | | | **P.O. Box:** |
|  | | | | **Occupation:** |
| **Investor  Brokerage company**  **Public joint stock company  Other** | | | | **Capacity:** |
| **Dubai Financial Market (DFM):** | | **Abu Dhabi Securities Exchange (ADX):** | | **Investor number:** |
| **Respondent details:** | | | | |
|  | | | | **Full name:** |
|  | | | | **Nationality:** |
| **Landline:** | **Mobile phone:** | | | **Contact number:** |
|  | | | | **Email address:** |
|  | | | | **Fax number:** |
|  | | | | **Street address:** |
|  | | | | **City:** |
|  | | | | **Emirate:** |
|  | | | | **P.O. Box:** |
| **Cases where complaints are dismissed:** | | | | |
| *Complaints are dismissed if:*   1. *The complaint was filed against an entity not licensed by the Securities and Commodities Authority (SCA).* 2. *The subject matter of the complaint was brought to the attention of a judicial body or a judgment was issued in its regard.* 3. *The same complaint—filed by the same complainant and addresses the same subject matter—has already been considered by SCA and a decision was made in its regard, unless there were serious reasons that call for its reconsideration, as SCA deems necessary.* 4. *A year has elapsed since the last disputed transaction or from the date of the incident the complainant is complaining about.* 5. *The complaint was involving a work relationship.* 6. *No documents were attached as an evidence of an initial complaint filed against the respondent, except for urgent cases, as SCA deems necessary.* 7. *One or more fields in this form are not completed.* | | | | |
| **Subject matter and details of the complaint:** | | | | |
|  | | | | |
| **Complainant demands:** | | | | |
|  | | | | |
| **Documents that should be submitted along with the complaint:** | | | | |
| **Receipt of payment of the fees imposed by SCA for considering the complaint** (Payment at the SCA’s financial department or transfer of the amount to the SCA’s bank account IBAN:AE740500000000010344468)  C**opy of the initial complaint sent to the respondent and the response received.** | | | | |
| **Documents attached with the complaint (if any):** | | | | |
| Open Account Agreement form  Margin Trading Agreement.  statement copy.  ID card copy.  Passport and residency copies.  Mandate (if any).  Translate the complaint and the documents (if any).  Other (specify): | | | | |
| **Complainant Signature:** | | | | |
| Date: | | |  | |
| **Please note that:** | | | | |
| 1. *The fees paid for considering the complaint are non-refundable.* 2. *The system used in SCA for considering complaints requires the complainant to file an initial complaint against the respondent. If no settlement was reached within five workdays from the date of filing the complaint, the complainant may then file the complaint with SCA and attach the documents indicating that an initial complaint was previously made.* | | | | |