



SECURITIES INDUSTRY DISPUTE RESOLUTION CENTER DISPUTE/ CLAIM FORM

NOTICE:

- This form must be fully completed. If you need any assistance, please contact us.
- The Securities Industry Dispute Resolution Center (SIDREC) will only act upon monetary claims/disputes involving capital market products or services offered by a Member of SIDREC.

A. Claimant(s) particulars			
	Your particulars	Claimant 1	Claimant 2 (for joint account only)
1.	Name:		
2.	NRIC / Passport No.:		
3.	Address:		
4.	Telephone No.	Home:	
		Office:	
		Mobile:	
5.	Fax No.:		
6.	E-mail:		

7.	Occupation:		
B. Particulars of the Member Whom You are Complaining Against			
1.	Name & address of Member:		
2.	Name of person you wish to complain against (if applicable):		
3.	Telephone No.	Office:	
		Handphone:	
		Fax:	
C. Details of the dispute			
1.	Describe the nature of the capital market product(s) or service(s) in relation to which the dispute arises including details of the event(s) or issues that are the subject matter of your complaint. <i>Note: In the event that the space is not sufficient, please attach a separate sheet of paper.</i>		

2.	Name and type of the capital market product(s) and/or service(s) involved:	
3.	Reference or account no.:	

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D. Actions taken in respect of the dispute																
1.	<table border="1"> <tr> <td>Have you lodged a complaint with the Member concerned?</td> <td><input type="checkbox"/> Yes. The date:</td> </tr> <tr> <td></td> <td><input type="checkbox"/> No</td> </tr> </table>	Have you lodged a complaint with the Member concerned?	<input type="checkbox"/> Yes. The date:		<input type="checkbox"/> No											
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	<input type="checkbox"/> No															
<i>Note: SIDREC does not accept a claim which has not been first submitted to the Member concerned.</i>																
2.	<table border="1"> <tr> <td>Has the Member concerned responded to your complaint in writing?</td> <td><input type="checkbox"/> Yes. The date:</td> </tr> <tr> <td></td> <td><input type="checkbox"/> No</td> </tr> </table>	Has the Member concerned responded to your complaint in writing?	<input type="checkbox"/> Yes. The date:		<input type="checkbox"/> No											
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	<input type="checkbox"/> No															
3.	<table border="1"> <tr> <td>Has the Member concerned offered any settlement/redress for your claim?</td> <td><input type="checkbox"/> Yes. The details:</td> </tr> <tr> <td></td> <td><input type="checkbox"/> No</td> </tr> </table>	Has the Member concerned offered any settlement/redress for your claim?	<input type="checkbox"/> Yes. The details:		<input type="checkbox"/> No											
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	<input type="checkbox"/> No															
4.	Have you lodged your complaint with other regulatory authorities?															
	<input type="radio"/> No <input type="radio"/> Yes, I have lodged a complaint / report with:															
	<table border="1"> <tr> <td><input type="checkbox"/> Securities Commission Malaysia</td> <td>Date:</td> <td>Report ref. no.:</td> </tr> <tr> <td><input type="checkbox"/> Bank Negara Malaysia</td> <td>Date:</td> <td>Report ref. no.:</td> </tr> <tr> <td><input type="checkbox"/> Royal Malaysian Police</td> <td>Date:</td> <td>Report ref. no.:</td> </tr> <tr> <td><input type="checkbox"/> Ombudsman for Financial Services (formerly known as the Financial Mediation Bureau)</td> <td>Date:</td> <td>Report ref. no.:</td> </tr> <tr> <td><input type="checkbox"/> Others:</td> <td>Date:</td> <td>Report ref. no.:</td> </tr> </table>	<input type="checkbox"/> Securities Commission Malaysia	Date:	Report ref. no.:	<input type="checkbox"/> Bank Negara Malaysia	Date:	Report ref. no.:	<input type="checkbox"/> Royal Malaysian Police	Date:	Report ref. no.:	<input type="checkbox"/> Ombudsman for Financial Services (formerly known as the Financial Mediation Bureau)	Date:	Report ref. no.:	<input type="checkbox"/> Others:	Date:	Report ref. no.:
<input type="checkbox"/> Securities Commission Malaysia	Date:	Report ref. no.:														
<input type="checkbox"/> Bank Negara Malaysia	Date:	Report ref. no.:														
<input type="checkbox"/> Royal Malaysian Police	Date:	Report ref. no.:														
<input type="checkbox"/> Ombudsman for Financial Services (formerly known as the Financial Mediation Bureau)	Date:	Report ref. no.:														
<input type="checkbox"/> Others:	Date:	Report ref. no.:														
E. Do you have any documents or letters in support of your complaint/claim?																
	<input type="radio"/> No															
	<input type="radio"/> Yes, I am attaching the following documents for SIDREC:															

	i)	
	ii)	
	iii)	
	iv)	
	v)	
	vi)	
	vii)	
	viii)	
	ix)	

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F. DECLARATION AND UNDERTAKING BY THE CLAIMANT(S):

1. I/We, hereby declare that, to the best of my/our knowledge:
 - i) My/our complaint is not the subject of court or arbitration proceedings; and
 - ii) My/our claim has not been decided in court or arbitration.
2. I/We confirm that I/we have received a copy of SIDREC's Terms of Reference and I/we confirm that I/we understand the rules stated therein that are binding on me/us.
3. I/We hereby agree and understand that all communications made in SIDREC's Dispute Resolution Process, either verbally or in writing, including correspondence, information disclosed, matters discussed, views expressed and the grounds for the decision reached by SIDREC, with the exception of the Award and the Settlement Agreement entered into by the parties for the purpose of enforcement of the Award or Settlement Agreement, are strictly confidential, and made on a strictly 'without prejudice' basis, save and except for disclosures permitted under the Capital Markets and Services (Dispute Resolution) Regulations 2010.
4. I/We agree that in the event I/we reduce my/our claim amount in order to satisfy SIDREC's monetary limit, I/we will not have any course of action to reclaim the remainder amount after successfully obtaining the initial claim.
5. I/We undertake to inform SIDREC, if, after this application has been made, I/we have lodged a claim with other bodies, and/or commenced legal proceedings, against the Member concerned and/or their agents.
6. I/We agree that the personal data I/we have voluntarily provided in this form is for the purpose of processing my/our application and the dispute resolution process set out in SIDREC's Terms of Reference. The information and personal data provided will be handled by or revealed only to the personnel/authorised representatives/agents of SIDREC or as may be required by any written law or by order of a court of law. I/We understand that the information may be used for research, evaluation and educational purposes, provided that SIDREC shall not use information in a manner which reveals, or is likely to reveal, directly or indirectly, my/our identity.
7. I/We agree that SIDREC may request for my/our personal data and other relevant information and materials from the Member concerned, for the purpose of processing my/our application and the dispute resolution process set out in SIDREC's Terms of Reference. For the avoidance of doubt, this constitutes my/our consent in respect of any disclosure of personal data and other relevant information and materials from the Member concerned.
8. The information and personal data obtained will be handled by or revealed only to the personnel/authorised representatives/agents of SIDREC or as may be required by any written law or by order of a court of law. I/We understand that the information may be used for research, evaluation and educational purposes, provided that SIDREC shall not use information in a manner which reveals, or is likely to reveal, directly or indirectly, my/our identity.

9. I/We am aware that I/we have the right to request access to and correction of my/our personal data submitted for this application. Formal requests should be submitted in writing to SIDREC.
10. I/we agree that I have read and understood the above terms, and agree to SIDREC processing my/our application and the dispute resolution process set out in SIDREC's Terms of Reference. I/we confirm that all information provided in this application form is true, complete and accurate.

Signature of Claimant 1 : _____

Signature of Claimant 2 : _____

Date of complaint : _____

Please forward this form and any additional information to:

Securities Industry Dispute Resolution Center (SIDREC)
Unit A-9-1, Level 9, Tower A
Menara UOA Bangsar
No. 5, Jalan Bangsar Utama 1
59000 Kuala Lumpur

Fax: +60-3-22823855
Email: info@sidrec.com.my

FOR SIDREC USE

Received by: _____ Date of receipt: _____

Reviewed by: _____ Date of review: _____