



**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.**

<b>A Claimant(s) particulars</b>			
	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.	Email:			
7.	Occupation:			
<b>B Particulars of the Company Whom You are Complaining Against</b>				
.				
1.	Name & address of company:			
2.	Name of person you wish to complain against (if applicable):			
3.	Telephone no.	Office:		
		Handphone:		
		Fax:		
<b>C. Details of the dispute</b>				

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.

Note: In the event that the space is not sufficient, please attach a separate sheet of paper.

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2.	Name and type of the capital market product(s) and/or service(s) involved:	
3.	Reference or account no.:	
4.	Date of purchase of the capital market product or rendering of the service/ advice:	
5.	Amount claimed:	<p>MYR:</p> <p>Other currency:</p> <p>Note: In the event that the sum claimed by the Eligible Claimant is quoted in a foreign currency, SIDREC will convert the amount claimed in to Ringgit Malaysia. The applicable conversion rate shall be the last applicable "Middle Rate" from the Interbank Foreign Exchange Market as published on Bank Negara Malaysia's website as at the date of lodgment of the dispute with SIDREC.</p>

6.	Breakdown of amount claimed and basis of claim:  Note: Please furnish a detailed breakdown of the losses claimed.	
<b>D. Actions taken in respect of the dispute</b>		
1.	Have you lodged a complaint with the company concerned?	Yes. The date:  No
Note: SIDREC does not accept a claim which has not been first submitted to the company concerned.		
2.	Has the company concerned responded to your complaint in writing?	Yes. The date:

		No
3.	Has the company concerned offered any settlement/redress for your claim?	Yes. The details:
		No
4.	Have you lodged your complaint with other regulatory authorities?	
	<ul style="list-style-type: none"> <li>▪ No</li> <li>▪ Yes, I have lodged a complaint / report with:</li> </ul>	
	Securities Commission Malaysia	Date: Report ref. no.:
	Bank Negara Malaysia	Date: Report ref. no.:
	Royal Malaysian Police	Date: Report ref. no.:
	Ombudsman for Financial Services (formerly known as the Financial Mediation Bureau)	Date: Report ref. no.:
	Others:	Date: Report ref. no.:
<b>E.</b>	<b>Do you have any documents or letters in support of your complaint/claim?</b>	
	No	
	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 agree to inform SIDREC, if, after this application has been made, a claim against the company concerned has been lodged with other bodies and/or legal proceedings against the company concerned has commenced by me/us.
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 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.



Claimant 1		Claimant 2	
Agree		Agree	
Disagree		Disagree	

- Please sign at the relevant column

7. 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.

Claimant 1		Claimant 2	
Agree		Agree	
Disagree		Disagree	

- Please sign at the relevant column

8. I/we confirm that the 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](mailto:info@sidrec.com.my)

**FOR SIDREC USE**

Received by: \_\_\_\_\_ Date of receipt: \_\_\_\_\_

Reviewed by: \_\_\_\_\_ Date of review: \_\_\_\_\_