



# COMPLAINT FORM

THIS FORM IS NOT FOR SALE

**Notes**

1. Before submitting a complaint, the complainant is requested to report to the relevant market intermediary at the first instance and subsequently to the Nairobi Securities Exchange Limited if the matter remains unresolved.
2. The complainant is requested to obtain the reference numbers used and action taken by the capital market intermediaries or the Nairobi Securities Exchange Limited and note it the complaint form.
3. The complainant is required to provide copies (not originals) of the supporting documentation to the claim.
4. The complainant is required to note that provision of false information to the Authority constitutes an offence under the Capital Market Act.

|   |                              |                                       |
|---|------------------------------|---------------------------------------|
| <b>Date:</b>  |                              |                                       |
| <b>CONTACT DETAILS</b>  |                              |                                       |
| <b>Full Names:</b>  |                              |                                       |
| <b>Phone:</b>   | <b>Email:</b>                | <b>Postal &amp; Physical Address:</b> |
| <b>ID Number:</b>   | <b>CDSC Account No:</b>      | <b>Share Certificate Number:</b>      |
| <b>Contact Person:</b>  | <b>Internal client code:</b> | <b>Signature:</b>                     |
| <b>DATE AND NATURE OF COMPLAINT(ATTACH SUPPORTING DOCUMENTS IF AVAILABLE)</b> |                              |                                       |
|   |                              |                                       |

**NAME OF THE CAPITAL MARKETS INTERMEDIARY/ISSUER(i.e. Listed companies, Investment Banks, Stock Brokers, Investment Advisors, Fund Managers)**

**HAVE YOU LODGED YOUR COMPLAINT WITH THE CAPITAL MARKETS INTERMEDIARY/ISSUERS? IF YES, PLEASE PROVIDE THE REFERENCE NUMBER AND THE DETAILS OF THE ACTION TAKEN.**

**HAVE YOU LODGED YOUR COMPLAINT WITH THE NSE OR CDSC, IF YES, PLEASE PROVIDE THE REFERENCE NUMBER DETAILS OF THE ACTION TAKEN.**

**NATURE OF THE RESOLUTION SOUGHT**

Send the completed form to:

| <b>By Post</b>                     | <b>Hand Delivery</b>  | <b>Email</b>         | <b>Fax+254 (0)20</b> |
|------------------------------------|---|----------------------|----------------------|
| P.O. Box 74800<br>00200<br>Nairobi | Embankment Plaza<br>3 <sup>rd</sup> Floor, Longonot<br>Road, Upper Hill,<br>Nairobi | complaints@cma.or.ke | 342825               |

Or call us for more information on: +254 (0) 20 2264900/2221869/2221910/2710789 or visit [www.cma.or.ke](http://www.cma.or.ke)

DISCLAIMER: This complaint form provides a format for communicating complaints to the Capital Markets Authority and shall not obtain, provide or in any way bestow any rights or obligations against the Capital Markets Authority for any statements, information or communication therein. The form is confidential and is intended only for the use of the Capital Markets Authority, unless otherwise authorised by the Capital Markets Authority. It may contain information covered by legal, professional or other privilege, which privilege is not lost or waived by reason of mistaken transmission thereof. Unless you are the intended recipient (or authorised to receive for the intended recipient), you may not read, print, retain, use, copy, distribute or disclose to anyone the message (including any attachments) or any information contained in the message. Any representation or opinions expressed are those of the individual sender and not necessarily those of the Capital Markets Authority.