

15/09/2014

BSE Limited
25th Floor, P. J. Towers, Dalal Street, Mumbai - 400 001
Tel. No. 22721233 / 34 Fax No. 22721003 www.bseindia.com
CIN No.: U57120MH2005PLC155168



PUBLIC NOTICE

Inviting claims against M/s. Unicon Securities Pvt. Ltd., expelled and declared defaulter

Pursuant to expulsion of Unicon Securities Pvt. Ltd. by National Stock Exchange of India Ltd. vide its circular no. 162/2014 dated September 5, 2014, the Exchange has expelled M/s. Unicon Securities Pvt. Ltd. (Clg. No. 3063), a corporate Trading Member of the Exchange from the membership of the Exchange, as required under the provisions of circular No.F.No.1/26/SE/91 dated August 12, 1991 issued by Ministry of Finance, (Department of Economic Affairs), Government of India and also declared the said member as defaulter under Rules, Bye-laws and Regulations of the Exchange w.e.f. September 10th, 2014

Investors who have any outstanding claims against M/s. Unicon Securities Pvt. Ltd., including those whose claim value have been decided in IGRC, are advised to file arbitration reference/s with the Exchange, if they so desire, within 120 days from the date of declaration of M/s. Unicon Securities Pvt. Ltd as defaulter, as provided under SEBI circular No. MRD/DoP/SE/Cir-38/2004 dated October 28, 2004 and circular No. MRD/DP/06/2011 dated June 16, 2011 and any other modifications/circulars as may be issued by SEBI in this regard, from time to time.

The clients filing their arbitration claims within the aforesaid period and thereafter obtaining arbitration awards in their favour against the trading member, would only be eligible for receiving compensation from the Investor Protection fund (IPF), as provided under SEBI circular No. MRD/DoP/SE/Cir-38/2004 dated October 28, 2004 and circular No. MRD/DP/06/2011 dated June 16, 2011 and any other modifications/circulars as may be issued by SEBI in this regard, from time to time and as per the provisions of the Trust deed and Rules of IPF.

The maximum compensation limit per investor, if payable out of Investor Protection Fund under the Rules, Bye-laws and Regulations of the Exchange is Rs. 15 lacs.

The claims in respect of the above should be filed with the Department of Investor Services, 1st Floor, Cama Bldg., Dalal Street, Fort, Mumbai - 400001.

Sr. General Manager

15th September, 2014