

Filing of Complaint

A complaint filed by a person other than a referral by the Commission (Securities and Exchange Commission) or by an internal unit of PDEX against an Issuer and/or Trading Participant and their respective personnel shall be:

- 1) In writing;
- 2) Signed by the complainant;
- 3) Verified;
- 4) Addressed to the Compliance and Surveillance Department of PDEX;
- 5) State the following:
 - a. Personal circumstances of the complainant
 - i. Legal name
 - ii. Nationality
 - iii. Civil status
 - iv. Address (indicating if this is the preferred address for the purpose of receiving notices from PDEX)
 - b. Legal capacity in which the complaint is being filed (i.e., personal or on behalf of an entity). If filed on behalf of an entity:
 - i. Name and address of the entity
 - ii. Position of affiant in the entity
 - iii. Legal capacity of the affiant and entity relevant to the complaint (e.g., Trading Participant, Issuer, Investor, Customer, representative of either)
 - iv. If filed by a customer against a Trading Participant in connection with the services of the TP rendered, an attestation that he has first sought relief from the Trading Participant concerned but no relief has been given by the TP;
 - c. Personal and legal circumstances of the person/entity complained of
 - i. If a natural person: name, nationality, address
 - ii. If a juridical person: name, form of business organization, address
 - iii. Legal capacity in which the person/entity is being complained of (e.g., Trading Participant, Issuer, employee of either)
 - iv. If filed by a TP against another TP arising out of or in connection with trading and/or settlement of securities or instruments in the PDEX Trading System or any transaction in any PDEX program, whether mediation has been availed of under Rule 11 of the PDEX Rules;
 - d. Nature and cause of the complaint
 - i. Full account of the incident or condition giving rise to the complaint
 - ii. Summary of documentary or other evidence supporting the claim (with the documentary or other evidence attached to the complaint);
 - e. Remedy/relief sought from PDEX; and
- 6) With all the relevant documentary evidence and support.