

CHAPTER V
IMPLEMENTATION OF THE AWARD

30. Implementation of the award.-(1) The award shall be implemented by the party so directed within thirty days of receipt of the award from the Ombudsman or an order of the designated member of the Authority passed in confirmation or revision, as the case may be, or within such period as specified in the award or order of the Authority.

(2) If any person fails to implement the award or order of the designated member of the Authority passed in the revision petition, without reasonable cause -

(a) he shall be deemed to have failed to redress subscribers' grievances and shall be liable to a penalty under sub-section (3) of section 28 of the Act;

(b) he shall also be liable for -

(i) an action for suspension or cancellation of certificate of registration; or

(ii) such other action permissible which may be deemed appropriate in the facts and circumstances of the case:

Provided that no such order shall be passed without following the procedure laid down under the relevant rules or regulations.

31. Display of the particulars of the ombudsman in office premises and documents.-(1) Every intermediary under the National Pension System and any other pension scheme regulated by the Authority shall display the name and address of the Ombudsman as specified by the Authority to whom the complaints are to be made by any aggrieved person in its office premises in such manner and at such place, so that it is put to notice of the subscribers visiting their office premises

(2) The intermediary or entity under the National Pension System and any other pension scheme regulated by the Authority in its offer document or subscriber's agreements or notifications, office memorandum or circulars shall give full disclosure about the grievance redressal mechanism through the Ombudsman under these regulations.

(3) Any failure to disclose the grievance redressal mechanism through the Ombudsman under sub-regulation (2) or any failure to display the particulars as per sub-regulation (1) may attract the penal provisions contained in sub-section (3) of section 28 of the Act.

CHAPTER VI
MISCELLANEOUS

32. Removal of difficulties.-If any difficulty arises in giving effect to the provisions of these regulations, the Authority may issue such directions or clarifications as it may deem necessary or expedient for removing the difficulty.

33. Appeal to the Securities Appellate Tribunal.-Any appeal against the order passed by the designated member of the Authority under this regulation shall lie with the Securities Appellate Tribunal, as provided in section 36 of the Act.

HEMANT G. CONTRACTOR, Chairperson

[ADVT.-III/4/Exty./203/14]

Annexure

I. Key details to be captured for filing of grievances with the Ombudsman

1. Name, address, contact number and e-mail address of the complainant
2. Permanent Retirement Account Number (PRAN), if available
3. CRA/POP/Other Intermediary/Other Pension Scheme Acknowledgement Reference Number (in case of reminder)
4. Nature of complaint type/category
 - a. Registration
 - b. Contributions
 - c. Investment option (Tier I/II)
 - d. Subscriber Account
 - e. Investment management
 - i. Disclosures
 - ii. Unit allocation
 - iii. Performance

- f. Portability of investments
 - i. Change in location
 - ii. Change in fund manager
 - iii. Change in scheme
 - g. Charges and fees
 - h. Annuity and commutation at retirement
 - i. Process
 - ii. Valuation
 - i. Premature Withdrawals
 - i. Process
 - ii. Valuations
 - j. Service quality
 - i. Intermediary
 - ii. Website
 - iii. Key comments
 - k. Any other grievance not listed above.
5. Dates and details of earlier correspondence with the intermediary under National Pension System or any other pension scheme.
 6. Dates and details of correspondence of escalation of grievance with the National Pension System Trust
 7. Enclosures, if any

SCHEDULE

[See regulation 22 (2)]

FORM

(FOR OFFICE USE ONLY)

Complaint Number	Year	Date of Receipt

(TO BE FILLED UP BY THE COMPLAINANT)

To

The Ombudsman /Pension Fund Regulatory and Development Authority

(* give address of the office of the Authority or the address of the Ombudsman having jurisdiction)

Dear Sir/Madam,

Sub: Complaint against(Name of the intermediary or entity under National Pension System or any other pension scheme)

1. DETAILS OF THE COMPLAINANT:

Sr. No.	Particulars	Details
1	Name (s)	
2	Full Address	
3	Contact No. Tel. No. Mobile No	
4	Email ID	

2. DETAILS OF THE COMPLAINT:

Sr. No.	Particulars	Details	Remarks
1	Subject Matter/Grounds of the complaint		
2	Details of the complaint		<i>If space is not sufficient, please enclose separate sheet</i>
3	Name of the intermediary/entity against which complaint has been made		Please enclose a copy of the complaint
4	Address and contact details of the intermediary/entity		
5	Date of the Complaint made to the intermediary/entity		
6	Unique Grievance Number provided by intermediary		
7	Whether any reminder was sent by the complainant	YES/NO	If yes, please enclose a copy of the reminder
8.	Whether any reply has been received by the complainant	YES/NO	<i>If yes, please enclose a copy of the reply of the intermediary under National Pension System or any other pension scheme</i>
9.	If yes, whether the complainant is satisfied with the reply	YES/NO	
10	Date of representation by the complainant to the National Pension System Trust		Please enclose a copy of the representation
11	Whether any reminder was sent by the complainant to the National Pension System Trust	YES/NO	If yes, please enclose a copy of the reminder
12	Whether the complainant has received any reply of the intermediary or National Pension System Trust after representation with National Pension System Trust	YES/ NO	<i>If yes, please enclose a copy of the reply of the intermediary or National Pension System Trust</i>

3. NATURE OF RELIEF SOUGHT FROM THE OMBUDSMAN/AUTHORITY.....
 (Please enclose - a copy of documentary proof, if any, in support of your claim)

4. DECLARATION

1. I/ We, the complainant/s herein declare that:
 - (a) the information furnished herein above is true and correct; and
 - (b) I/ We have not concealed or misrepresented any fact stated in aforesaid columns and the documents submitted herewith.
2. The complaint is filed before expiry of prescribed period reckoned in accordance with the provisions of these regulations.

3. (i) The subject matter of the present complaint has never been brought before the Office of the Pension Fund Regulatory and Development Authority/Ombudsman by me/or by any one of us or by any of the parties concerned with the subject matter to the best of my/our knowledge.
- (a) The subject matter of the present complaint is not in respect of the same which was settled through the Office of the Pension Fund Regulatory and Development Authority/Ombudsman in any previous proceedings.
- (b) The subject matter of the present complaint has not been decided by any forum/court.

OR

- (ii) The subject matter of the present complaint is pending since..... *(please mention the date when the matter was filed)* before *(*Please mention the name of the forum/court/ before whom pending)* and the proceedings are likely to take longer time in its final adjudication as contemplated in the regulations.
4. I/We authorise the intermediary or entity under National Pension System or any other pension scheme provider to disclose any such information/ documents furnished by us to the Pension Fund Regulatory and Development Authority/Ombudsman and disclosure whereof in the opinion of the Pension Fund Regulatory and Development Authority/Ombudsman is necessary and is required for redressal of any other complaint or our complaint.
5. I/We have carefully gone through the provisions of the Pension Fund Regulatory and Development Authority (Redressal of subscriber Grievance) Regulations, 2015.

Yours faithfully

(Signature)

(Complainant)

NOMINATION/AUTHORISATION – (If the complainant wants to nominate/authorise his representative, not being a legal practitioner, to appear and make submissions on his behalf before the Ombudsman, the following declaration should also be submitted.)

I/We the above named complainant/s hereby nominate Shri/Smt..... who is not a legal practitioner and whose address isas my/our REPRESENTATIVE in all proceedings of this complaint and confirm that any statement, acceptance or rejection made by him/her shall be binding on me/us. He/She has signed below in my presence.

ACCEPTED

(Signature of Representative)

(Signature of Complainant)