

## Points for Stock Broker Website

1. Publishing of Investor Charter as per Exchange circular no- NSE/ISC/50597 dated December 14, 2021 and NSE/ISC/52484 dated June 01, 2022

### Data attached as Annexure - A

2. Display of Investor Grievance Escalation Matix as per Exchange circular no- NSE/ISC/52517 dated June 03, 2022 and NSE/ISC/54332 dated November 09, 2022.

| Details of            | Contact Person         | Address   | Contact No.  | Email Id                 |
|-----------------------|------------------------|---|--------------|--------------------------|
| Customer care         | TRUPTI D PATIL         | 165 B SONAWALA ESTATE , N M REF. BUILD., TARDEO , MUMBAI 400007 | 022-23837112 | mukulsonawala@gmail.com  |
| Head of Customer care | ANSHUL MUKUL SONAWALA  | 165 B SONAWALA ESTATE , N M REF. BUILD., TARDEO , MUMBAI 400007 | 022-23837103 | anshulsonawala@gmail.com |
| Compliance Officer    | JAYANT AMRUTLAL PANDYA | 165 B SONAWALA ESTATE , N M REF. BUILD., TARDEO , MUMBAI 400007 | 022-23837116 | Jap1compliance@gmail.com |
| CEO                   | GOKUL R BISTA          | 165 B SONAWALA ESTATE , N M REF. BUILD., TARDEO , MUMBAI 400007 | 022-23837121 | Rgbista1969@gmail.com    |

3. Basic details of the Trading Member such as registration number, registered address of Head office and branches along with Contact Number and Email id.

| Stock Broker            | Registration No. | Registered Address  | Branch Address (if any) | Contact Number | Email id                |
|-------------------------|------------------|---|-------------------------|----------------|-------------------------|
| MUKUL AMRATLAL SONAWALA | INZ 000279713    | 165 B SONAWALA ESTATE , N M REF. BUILD., TARDEO , MUMBAI 400007 | NA                      | 022-23837100   | mukulsonawala@gmail.com |

4. Names, Contact number, Email id etc. of all Key Managerial Personnels provided under sec. 2(51) of the Companies Act, 2013-
  - a. The Chief Executive Officer or the Managing Director or the Manager
  - b. The Company Secretary
  - c. The Whole-Time Director
  - d. The Chief Financial Officer
  - e. Such other officer as may be prescribed.
  - f. The Compliance Officer
  - g. Further, the Trading Member can also identify and declare any one or more personnel as their KMP(s) from the given list as per their constitution: Directors, Proprietor, Partners, or any other competent personnel as identified by the Trading member.

| Sr. No. | Name of the Individual  | Designation        | Contact Numbers | Email Id                 |
|---------|-------------------------|--------------------|-----------------|--------------------------|
| 1       | JAYANT AMRUTLAL PANDYA  | Compliance Officer | 022-23837116    | Jap1compliance@gmail.com |
| 2       | ARVIND KUMAR PANCHAL    | PRINCIPAL OFFICER  | 022-23837112    | mukulsonawala@gmail.com  |
| 3       | MUKUL AMRATLAL SONAWALA | PROPRIETOR         | 022-23837100    | mukulsonawala@gmail.com  |

5. Step-by-step procedures for below -

- a. Detailed write up on procedure for opening an account along with Flowchart and video (optional) if any with link.

- **To be update by member**

- b. Detailed write up on procedure for filing a complaint on a designated email id & finding out status of the complaint etc. along with Flowchart and video (optional) if any.

- **a. Register on SCORES portal**

**b. Mandatory details for filing complaints on SCORES: (Name, PAN, Address, Mobile Number, Email ID)**

**c. Benefits: i. Effective Communication & ii. Speedy redressal of the grievances**

**Member has also included procedure for filing of complaints on SCORES and benefits of the same in the welcome kit given to investors at the time of registration.**

6. Details of Authorized Persons –

- a. List of Active Authorised persons to be displayed

| List Of Authorised Persons (AP) |                          |  |              |        |                      |      |       |        |                                  |                         |
|---------------------------------|--------------------------|--|--------------|--------|----------------------|------|-------|--------|----------------------------------|-------------------------|
| Sr. No.                         | Authorised Person's Name | Authorised Person Code (Exchange wise) | Constitution | Status | Registered Address   |      |       |        | Terminal Details (Exchange Wise) |                         |
|                                 |                          |  |              |        | (Approved/Cancelled) | Ad d | Cit y | Stat e | Pin code                         | Terminal Allotted (Y/N) |
| 1                               | NA                       | NA                                     | NA           | NA     | NA                   | NA   | NA    | NA     | NA                               | NA                      |
| 2                               | NA                       | NA                                     | NA           | NA     | NA                   | NA   | NA    | NA     | NA                               | NA                      |

- b. List of Authorised persons cancelled by the Trading Members on account of Disciplinary grounds

| Sr. No. | Authorised Person's Name | Status | Authorised Person Cancellation Details |        |
|---------|--------------------------|--------|--|--------|
|         |                          |        | Date                                   | Reason |
| 1       | NA                       | NA     | NA                                     | NA     |

|   |    |    |    |    |
|---|----|----|----|----|
| 2 | NA | NA | NA | NA |
|---|----|----|----|----|

7. Member has displayed details of all their active Upstream client bank accounts on their website which are reported to Exchange.

| Sr. No. | Bank Account No. | IFSC        | Name of Bank  |
|---------|------------------|-------------|---------------|
| 1       | 00010140000010   | HDFC0000001 | HDFC BANK LTD |

8. Risk disclosure with respect to trading by individual traders in Equity Futures & Options Segment

| (RISK DISCLOSURES ON DERIVATIVES)  |
|--|
| <ul style="list-style-type: none"> <li>●9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.</li> <li>●On an average, loss makers registered net trading loss close to ₹ 50,000.</li> <li>●Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs.</li> <li>●Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost</li> </ul> |

9. Trading members had displayed the set of standard documents/policies on their own website for information.
- **Scan KYC**
  - **Scan Policies**
  - **Other Relevant Documents**
10. Members have displayed the documents relating to rights & obligations, uniform risk disclosure document, do's & don't in vernacular languages on their own website (if any) and copy of the same is provided to clients on request.
- **From SEBI Master Circular – (Annexure C)**
11. Filing Complaints on SCORES- Easy & quick

**a. Register on SCORES portal**

**b. Mandatory details for filing complaints on SCORES: (Name, PAN, Address, Mobile Number, Email ID)**

**c. Benefits: i. Effective Communication & ii. Speedy redressal of the grievances**

**Member has also included procedure for filing of complaints on SCORES and benefits of the same in the welcome kit given to investors at the time of registration.**

12. Member having websites have prominently displayed a message on their websites informing their clients to update their E mail IDs & Mobile numbers with the member.

**Always keep your contact details viz. Mobile number/Email ID updated with the stock broker. Email and mobile number are mandatory and you must provide the same to your broker for updation in Exchange records. You must immediately take up the matter with Stock Broker/Exchange if you are not receiving the messages from Exchange/Depositories regularly.**

13. Member has framed a policy regarding treatment of inactive accounts which should, inter-alia, cover aspects of time period, return of client assets and procedure for reactivation of the same and has also displayed the same on its website, (if any) in accordance with the guidelines issued by the Exchange.

**Please refer Annexure - D**

14. "Member has displayed the following message at a prominent place on the homepage of their website (if any).

**"Attention Investors**

**1. Stock Brokers can accept securities as margin from clients only by way of pledge in the depository system w.e.f. September 01, 2020.**

**2. Update your email id and mobile number with your stock broker / depository participant and receive OTP directly from depository on your email id and/or mobile number to create pledge.**

**3. Check your securities / MF / bonds in the consolidated account statement issued by NSDL/CDSL every month.**

..... Issued in the interest of Investors"

Please refer <https://www.nseindia.com/invest/advisory-for-investors> for the content

15. Members has cautioned and created awareness amongst their clients/investors to abstain them from dealing in any schemes of unauthorised collective investments/portfolio management, indicative/ guaranteed/fixed returns / payments etc. Further Member has also displayed the messages on their respective websites under a separate banner "Advisory for investors" as per Exchange circular.

**Please refer Annexure - E**

16. "Trading Members having a website have provided the link to voting URLs on voting on motions moved by Listed Companies, which will redirect the investor to the webpage of the respective Depository who in turn will enable access to the e- voting portals of various ESPs. In case, trading Members not having website have sent the link to voting URLs by the way of SMS/e- mails/any other media."

CDSL e-voting - <https://evoting.cdslindia.com/Evoting/EvotingLogin>

NDSL e-voting - <https://www.evoting.nsdl.com/>

17. The member has disclosed on their website (if any), the data on complaints received against them or against issues dealt by them and redressal thereof, latest by 7th of succeeding month as per the format prescribed by SEBI vide Circular No.SEBI/HO/MIRSD/DOP/P/CIR/2021/676 dated December 02, 2021.

**Please refer Annexure - F**