

Annexure B: - Formats of Mandatory display

i. Basic details of the SB such as registration number, registered address of Head Office and branches if any –

Stock Broker Name	Registration Number	Registered Address	Branch Address (if any)	Contact Number	Email id
Dalmia Securities Private Limited	INZ000181031	Ideal Plaza, Suite S401, 4 th Floor, 11/1 Sarat Bose Road, Kolkata-700020.	-	033-66120500	dspl@dalmiasec.com

Escalation Matrix:

Details of	Contact Person	Address	Contact No.	Email id
Customer care	Amit Bhadra	Same as above	+919836207979	amit.bhadra@dalmiasec.com
Customer care	Caroline Michael	Same as above	+919748239871	carol@dalmiasec.com
Head of Customer care	Sanjay Dalmia	Same as above	+919903993242	sanjay@dalmiasec.com
Compliance Officer	Sanjay Samvedi	Same as above	+918697983937	s.samvedi@dalmiasec.com
Director	Ashish Poddar	Same as above	+919903993226	ashishp@dalmiasec.com

ii. Names and contact details of all Key Managerial Personnel including the Compliance Officer:-

Sr. No.	Name of the individual	Designation	Mobile Number	Email id
1.	Sanjay Samvedi	Compliance Officer	+918697983937	sanjay@dalmiasec.com
2.	Rashmi Goyal	Company Secretary	+919836882000	rashmi.goyal@dalmiasec.com
3.	Vedant Dalmia	Director	+919830063000	vedant@dalmiasec.com
4.	Siddhant Dalmia	Director	+919830064000	siddhant@dalmiasec.com

iii. Step by step procedures for opening an account, filing a complaint on designated email id, and finding out the status of the complaint etc.

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

The detailed write up for opening an account is given as under:

- 1) An account opening book along with check list is given to the client.
- 2) Client then provides duly filed account opening book alongwith necessary documents required for the same.
- 3) The Operation Team authenticates the duly filed account opening book, signature of client and other relevant documents
- 4) Then after In Person Verification of client the account opening process gets start.
- 5) After complete verification by the operation team the account is being opened
- 6) Finally the Client details are uploaded in the exchange portal

- b) Detailed write up on procedure for filing a complaint on designated email id/ Toll-free number along with Flowchart and video if any (optional). Provisions are to be made for sharing Ticket Number once the complaint is lodged.

The clients need to send their grievances/complaint in the email id of our compliance officer i.e. s.samvedi@dalmiasec.com and necessary actions are to be taken by him accordingly.

- c) Detailed write up on procedure for finding out status of the complaint basis Ticket Number etc. along with Flowchart and video if any (optional).

The clients grievances/complaints are resolved on first come basis.

iv. Details of Authorized Persons:

List Of Authorised Persons (AP)										
Sr. No.	Authorized Person code (Exchange wise)	Constitution	Status (Approved/ Cancelled)	Registered Address				Terminals Details (Exchange Wise)		
				Add	City	State	Pin Code	Terminal Alloted (Y/S)	No. of Terminals	
1										
2										
3				Not Applicable						
4										



List of Authorised Persons (AP) Cancelled by Members on Account of Disciplinary Reasons				
Sr. No.	Authorised Person's Name	Status	Authorised Person Cancellation Details	
			Date	Reason
1				
2	Not Applicable			
3				
4				