

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

| Stock Broker | Registration Number | Registered Address | Branch Address (if any) | Contact Number | Email id |
|--------------------------------|---------------------|--|--|----------------|-----------------------------|
| Dolat Capital Market Pvt. Ltd. | INZ000274132 | 1401-1409, Dalal Street Commercial Co-op Soc Ltd, Block 53 (Bldg No.53E) Zone-5, Road-5E, Gift city, Gandhinagar - 382355, Gujarat | A Wing -1203, Naman Midtown, Senapati Bapat Marg, Prabhadevi West, Mumbai -400013 & 301-308, 3 RD FLOOR, BHAGWATI HOUSE, A/19, VEERA DESAI ROAD, ANDHERI (W), | 61154001 | compliance@dolatcapital.com |

ii. **Escalation Matrix:**

| Details of | Contact Person | Address | Contact No. | Email Id |
|------------------------|----------------|--|-------------|---------------------------|
| Compliance Team Member | Sandeep Bhowad | A Wing -1203, Naman Midtown, Senapati Bapat Marg, Prabhadevi West, Mumbai -400013 | 9819842062 | sandeepb@dolatcapital.com |
| Compliance Officer | Pankaj D. Shah | 301-308, 3 RD FLOOR, BHAGWATI HOUSE, A/19, VEERA DESAI ROAD, ANDHERI (W), MUMBAI - 400058 | 9870714557 | pankaj@dolatcapital.com |

iii. **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 | Pankaj D. Shah | Director & Compliance Officer | 9870714557 | pankaj@dolatcapital.com |
| 2 | Rajendra D. Shah | Director | 9870714558 | rdshah@dolatcapital.com |
| 3 | Harendra D. Shah | Director | 9870714559 | hdshah@dolatcapital.com |
| 4 | Shailesh D. Shah | Director | 9821066504 | sdshah@dolatcapital.com |

iv. Know Locate your Stock broker :

“Investors are requested to note that Stock broker (Dolat Capital Market Pvt. Ltd.) is permitted to receive/pay money from/to investor through designated bank accounts only named as USCNB / DSCNB bank accounts. Stock broker (Dolat Capital Market Pvt. Ltd.) is also required to disclose these client bank accounts to Stock Exchange. Hence, you are requested to use following client bank accounts only for the purpose of dealings in your trading account with us. The details of these client bank accounts are also displayed by Stock Exchanges on our website under “Know/ Locate your Stock Broker”.

Details of Client Account:

| Sr. No. | Bank Account Number | Bank | Name | IFSC Code |
|---------|---------------------|------------|--|-------------|
| 1 | 000405026661 | ICICI Bank | Dolat Capital Market Private Limited - USCNB Account | ICIC0000004 |
| 2 | 000405026663 | ICICI Bank | Dolat Capital Market Private Limited - DSCNB Account | ICIC0000004 |

In case of grievances please write to dolatcapgrievance@dolatcapital.com.

To lodge your complaints using SEBI SCORES, on <https://scores.gov.in/scores/Welcome.html>

Procedure to file a complaint on SEBI SCORES: Register on SCORES portal. Mandatory details for filing complaints on SCORES: Name, PAN, Address, Mobile Number, E-mail ID. Benefits: Effective Communication, Speedy redressal of the grievances

Disclaimer: Investment in the securities market are subject to market risks, read all the related documents carefully before investing. Brokerage will not exceed the SEBI prescribed limit

Attention investors:

1. Stock brokers can accept securities as margins from clients only by way of pledge in the depository system w.e.f September 01, 2020.
2. Update your e-mail and phone number with your stock broker / depository participant and receive OTP directly from depository on your e-mail and/or mobile number to create pledge.
3. Check your securities / MF / bonds in the consolidated account statement issued by NSDL/CDSL every month.

Note: As a policy we do not give stock tips or recommendations and have not authorized anyone to give this on behalf of us. If you know anyone claiming to be a part of Dolat Capital or our associate companies or partners and offering such services, please report us on dolatcapgrievance@dolatcapital.com.

Important Information for Investors: To prevent unauthorized transactions in your trading / demat account, do not share your account details, credentials or any personal details with anyone. Keep your mobile number updated with your Stock Broker, Depository Participant and ensure that the same is registered with Stock Exchanges, Depository and KRAs. You will receive alerts and information on your registered mobile number / email for debit and other important transactions in your demat account directly from CDSL / Exchange on the same day. KYC is one time exercise while dealing in securities markets - once KYC is done through a SEBI registered intermediary (Stock Broker, DP, Mutual Fund, etc.), you need not undergo the same process again when you approach another intermediary. No need to issue cheques by investors while subscribing to IPO. Just write the bank account number and sign in the application form to authorise your bank to make payment in case of allotment. No worries for refund as the money remains in investor's account. This is issued in the interest of investors.

v. Detailed write up on procedure for opening an account along with Flowchart

Please Note : Our Company do not have facility of opening client account or doing KYC through online. We only do KYC / Client Registration in the physical form.

Step by step procedures for opening an account :

- Download Blank KYC Form from our Website / Collect the Blank KYC form from our office.
- Fill up the form
- Submit following documents along with KYC Form:

For Individuals

- ❖ Recent Photograph
- ❖ Self-certified copy of PAN
- ❖ Self-certified copy of Aadhar
- ❖ Cancel Cheque Copy of Bank Account
- ❖ Self-certified copy of Client Master Report for Demat Account.
- ❖ 3 years ITR Copy / Balance Sheet
- ❖ Latest Net worth Certificate
- ❖ Address Proof
- ❖ Mobile Number and Email Address

For Corporate / Firm / LLP

- ❖ Self-Certified copy of PAN
 - ❖ List of Directors / Partners along with PAN and photograph
 - ❖ List of Shareholders / Partners
 - ❖ Beneficial ownership details
 - ❖ MOA/ AOA / Partnership Deed
 - ❖ Cancel Cheque Copy of Bank Account
 - ❖ Self-certified copy of Client Master Report for Demat Account.
 - ❖ 3 years ITR Copy / Balance Sheet
 - ❖ Latest Net worth Certificate
 - ❖ Address Proof
 - ❖ Mobile Number and Email Address
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- In Person Verification will be done along with all the physical verification of documents with the originals at our office.
 - KRA procedures
 - Allotment of Client Code
 - Activation of Client Code and mapping with PAN in our terminals
 - Submitting the acknowledged final set of documents to clients.

Flow Chart

