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

Stock Broker Name	Registration	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, 3RD FLOOR, BHAGWATI HOUSE, A/19, VEERA DESAI ROAD, ANDHERI (W), MUMBAI - 400 058	61154001	compliance@dolatcapital.com

ii. Escalation Matrix:

Details of	Contact Person	Address	Contact No.	Email Id
Compliance Officer	Pankaj D. Shah	301-308, 3RD FLOOR, BHAGWATI HOUSE, A/19, VEERA DESAI ROAD, ANDHERI (W), MUMBAI - 400 058	9870714557	pankaj@dolatcapital.com
Compliance Team Member	Sandeep Bhowad	A Wing -1203, Naman Midtown, Senapati Bapat Marg, Prabhadevi West, Mumbai -400013	9819842062	sandeepb@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.

"Attention Investors!

- Beware of fixed/guaranteed/regular returns/ capital protection schemes. Brokers or their authorized persons or any of their associates are not authorized to offer fixed/guaranteed/regular returns/ capital protection on your investment or authorized to enter into any loan agreement with you to pay interest on the funds offered by you. Please note that in case of default of a member claim for funds or securities given to the broker under any arrangement/ agreement of indicative return will not be accepted by the relevant Committee of the Exchange as per the approved norms.

- Do not keep funds idle with the Stock Broker. Please note that your stock broker has to return the credit balance lying with them, within three working days in case you have not done any transaction within last 30 calendar days. Please note that in case of default of a Member, claim for funds and securities, without any transaction on the exchange will not be accepted by the relevant Committee of the Exchange as per the approved norms. Check the frequency of accounts settlement opted for. If you have opted for running account, please ensure that your broker settles your account and, in any case, not later than once in 90 days (or 30 days if you have opted for 30 days settlement). In case of declaration of trading member as defaulter, the claims of clients against such defaulter member would be subject to norms for eligibility of claims for compensation from IPF to the clients of the defaulter member. These norms are available on Exchange website at following link: https://www.nseindia.com/invest/about-defaulter-section. Brokers are not permitted to accept transfer of securities as margin. Securities offered as margin/ collateral MUST remain in the account of the client and can be pledged to the broker only by way of 'margin pledge', created in the Depository system. Clients are not permitted to place any securities with the broker or associate of the broker or authorized person of the broker for any reason. Broker can take securities belonging to clients only for settlement of securities sold by the client.

- Always keep your contact details viz. Mobile number/Email ID updated with the stock broker. Email and mobile number is 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.

- Don't ignore any emails/SMSs received from the Exchange for trades done by you. Verify the same with the Contract notes/Statement of accounts received from your broker and report discrepancy, if any, to your broker in writing immediately and if the Stock Broker does not respond, please take this up with the Exchange/Depositories forthwith.

- Check messages sent by Exchanges on a weekly basis regarding funds and securities balances reported by the trading member, compare it with the weekly statement of account sent by broker and immediately raise a concern to the exchange if you notice a discrepancy.

- Please do not transfer funds, for the purposes of trading to anyone, including an authorized person or an associate of the broker, other than a SEBI registered Stock broker."

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 alongwith 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 Networth Certificate
  - Address Proof
  - Mobile Number and Email Address

  For Corporate / Firm / LLP

  - Self Certified copy of PAN
  - List of Directors / Partners alongwith 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 Networth Certificate
  - Address Proof
  - Mobile Number and Email Address

- 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

Download Blank KYC Form from our Website / Collect the Blank KYC form from our office

Fill up the form

Submit documents alongwith KYC Form as per above details

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