

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

| Stock Broker/<br>Depository<br>Name              | Registration<br>Number   | Registered<br>Address   | Branch Address<br>(if any)   | Contact Number             | Email id   |
|--|--|---|--|----------------------------|--|
| Dalal &<br>Broacha Stock<br>Broking Pvt.<br>Ltd. | Stock Broker<br>SEBI REG. NO.<br>INZ000210337<br><br>DP SEBI REG.<br>NO. -<br>IN-DP-421-2019 | 506, Maker<br>Chambers V, 221<br>Nariman Point,<br>Mumbai – 400 021 | G/18, Kishore Plaza, Station Road, Anand-388 001   | 022- 22822992<br>/67141414 | <a href="mailto:db@dalal-broacha.com">db@dalal-broacha.com</a> |
|  |  |   | 101, Shree Aashray Residency, Behind Sanjivane Hall, Near Badlapur Railway Station, Badlapur East- 421 503 |                            |  |
|  |  |   | Aditi Plaza, Office No. 3, Bharat College Road, Chintamani Mandir Chowk, Badlapur West- 421 503            |                            |  |
|  |  |   | 2, Park View, 2nd Floor, 85, G.N. Chetty Road, T. Nagar, Chennai - 400 001                                 |                            |  |
|  |  |   | 21, Olympus, IIInd Floor, 179/181, Perin Nariman Street, Fort, Mumbai-400 001                              |                            |  |
|  |  |   | 111, Akshay Complex, 1st Floor, Off. Dhole Patil Road, Pune-411001   |                            |  |
|  |  |   | Shop No.12, Gr.Fl; Bhakti Plaza, Bremen Square, Aundh, Pune-411007   |                            |  |
|  |  |   | 2, Karishma, Utkarsh Mandal Chowk, Mahant Road, Vile Parle(East), Mumbai-400057                            |                            |  |
|  |  |   | 64/65, Paradise Complex, Gr.Fl, Sayaji Gunj, Vadodara-390005   |                            |  |

**Escalation Matrix:**

| Details of            | Contact Person                       | Address  | Contact No.    | Email Id   |
|-----------------------|--------------------------------------|--|----------------|--|
| Customer care         | Ms. Rajasi Sawant                    | 506, Maker<br>Chambers V, 221,<br>Nariman Point,<br>Mumbai – 400 021 | 022 - 67141441 | <a href="mailto:info@dalal-broacha.com">info@dalal-broacha.com</a>                             |
| Head of Customer care | Ms. Megha Lath                       |  | 022 - 67141422 | <a href="mailto:megha.lath@dalal-broacha.com">megha.lath@dalal-broacha.com</a>                 |
| Compliance Officer    | Mr. Praful Trivedi (Broking Service) |  | 022 - 67141468 | <a href="mailto:compliance.officer@dalal-broacha.com">compliance.officer@dalal-broacha.com</a> |
|                       | Mr. Shivram Masaye (DP)              |  | 022 - 67141423 | <a href="mailto:cds@dalal-broacha.com">cds@dalal-broacha.com</a>                               |
| CEO                   | Mr. Nailesh Dalal                    |  | 022- 67141410  | <a href="mailto:nailesh.dalal@dalal-broacha.com">nailesh.dalal@dalal-broacha.com</a>           |

**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       | Mr. Nailesh P. Dalal   | Whole-Time Director | 9820035900    | <a href="mailto:nailesh.dalal@dalal-broacha.com">nailesh.dalal@dalal-broacha.com</a>           |
| 2       | Mr. Vipul P. Dalal     | Whole-Time Director | 9821028229    | <a href="mailto:vipul.dalal@dalal-broacha.com">vipul.dalal@dalal-broacha.com</a>               |
| 3       | Mr. Yogesh Raja        | CFO                 | 9820112106    | <a href="mailto:yogesh.raja@dalal-broacha.com">yogesh.raja@dalal-broacha.com</a>               |
| 4       | Mr. Praful Trivedi     | Compliance Officer  | 9561804641    | <a href="mailto:compliance.officer@dalal-broacha.com">compliance.officer@dalal-broacha.com</a> |

### **iii. Procedure for filing a complaint :-**

#### **Step 1: Contact Customer Service**

If you have a complaint or grievance, call our helpline at 022-67141441 or write an email to [info@dalal-broacha.com](mailto:info@dalal-broacha.com)

#### **Step 2: Resolution within 30 Days**

We aim to resolve your concern within 30 days from the date of receipt.

#### **Step 3: Escalation**

If your issue remains unresolved after 30 days, you can escalate it to the next level(s).

#### **Escalation Levels:**

| <b>Level 1</b>  | <b>Level 2</b>  | <b>Level 3</b>   |
|---|---|--|
| Head of Customer Care<br>Contact No. 022-67141422/74<br>Email: <a href="mailto:megha.lath@dalal-broacha.com">megha.lath@dalal-broacha.com</a> | Compliance Officer<br>Contact No. 022-67141468<br>Email: <a href="mailto:compliance.officer@dalal-broacha.com">compliance.officer@dalal-broacha.com</a> | CFO<br>Contact No. 022-67141467<br>Email: <a href="mailto:accounts@dalal-broacha.com">accounts@dalal-broacha.com</a> |

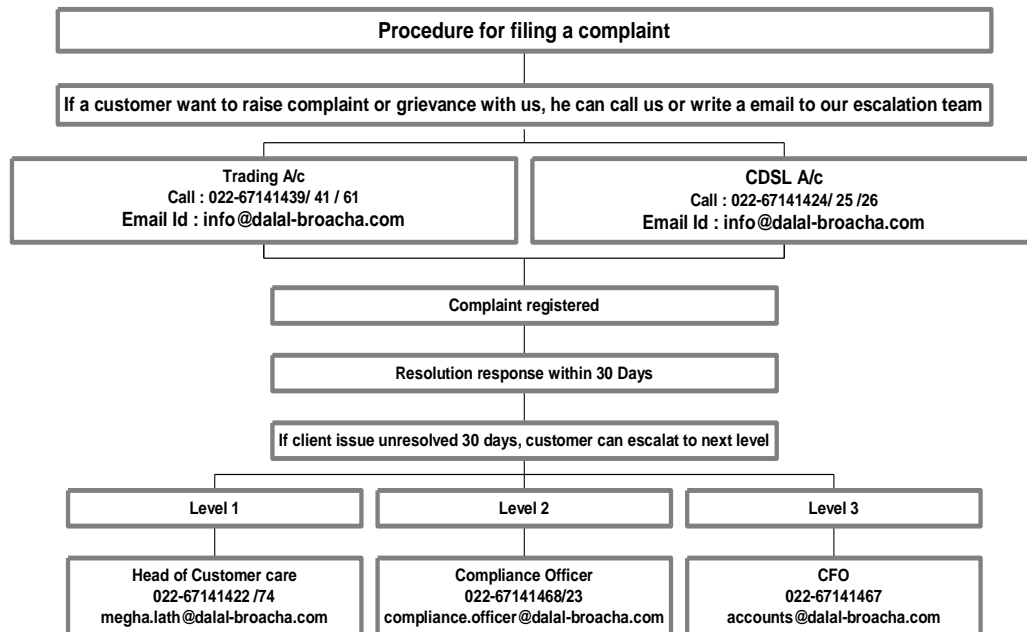
#### **Step 4: End of the Procedure**

If your concern is addressed and resolved to your satisfaction, the complaint process ends here.

#### **Step 5: Brief Escalation**

If you are not satisfied with the resolution at any level, you have the option to escalate the matter to the next level as per the defined matrix.

Please make sure to provide all necessary details and supporting documents when raising the complaint. At Dalal & Broacha Stock Broking Pvt Ltd, we are committed to addressing your concerns and providing the best possible assistance.



## ➤ How to Open Trading & Demat Account Offline:-

In today's digital era, the significance of a Trading & Demat account cannot be overstated. A Trading & Demat account, short form of a Trading & dematerialised account, is a crucial element in the world of investing and trading. It serves as a secure and convenient way to hold and manage various financial securities in electronic form, eliminating the need for physical certificates of the securities. With the advent of online trading platforms, the focus has shifted towards opening Trading & Demat accounts online. However, it is equally important to understand the process of opening a Trading & Demat account offline, ensuring accessibility for those who prefer traditional methods or face connectivity challenges.

This article explains how to open a Trading & Demat account offline. It is a comprehensive guide for investors who want to Trading & dematerialise their financial assets without using the internet.

## ➤ Need for Trading & Demat accounts:-

A Trading & Demat account is necessary for trading and holding stocks, securities, and other capital market-related investments. It allows individuals to convert physical shares into electronic format and securely store them. The Securities and Exchange Board of India (SEBI) has mandated the use of Trading & Demat accounts for investing in capital markets.

Depositories such as CDSL and NSDL are responsible for holding all Trading & Demat accounts and maintaining shareholding details. Authorised depository participants (DPs) act on behalf of clients to open Trading & Demat accounts. Investors can conveniently manage their Trading & Demat accounts, view their portfolio, and engage in transactions in the capital markets.

## ➤ A step-by-step guide to account opening offline:-

Opening a Trading & Demat account offline is a simple process that requires certain eligibility documents. Similar to opening a bank account, the documents required for a Trading & Demat account include proof of identity, address, income, bank account, PAN card, and photographs. Additionally, if you want to enter into certain specific segments, like futures, options, and derivatives, you may be asked to submit proof of recent income tax returns, salary Slip, cancelled cheque leaf, latest 6 month bank account statements etc.

## ❖ Here is a step-by-step guide to opening a Trading & Demat account offline:

- **Required Documents:** Ensure you have the necessary documents for opening a Trading & Demat account, including proof of identity (such as PAN card), proof of address (recent utility bills), proof of income (if applicable), proof of bank account, PAN card, and photographs.
- **Select Depository Participant (DP):** Select a DP of your choice, which can be a bank or a brokerage firm. Research and compare the services and charges offered by different DPs before making a decision.
- **Account Opening Form:** Obtain the account opening form from the chosen DP by physically visiting the branch or downloading from their website.
- **Filling the Form:** Carefully filling the account opening form with accurate information. Double-check all the details before submitting the form.
- **Attach Required Documents:** Attach all the necessary documents as mentioned in the form, including proof of identity, Proof of address, income, bank account details, PAN card, and photographs. Make sure to provide photocopies as per the DP's requirements.
- **Visit the DP's Office:** Visit the DP's office in person and submit the filled-out form along with the required documents. Hand over the photocopies for verification and keep the original documents with you for verification purposes.
- **Personal Verification:** The DP will conduct a personal verification process to confirm your identity and other details. This may involve a face-to-face meeting or video verification.
- **Application Processing:** Once the personal verification is completed, the DP will process your application for opening a Trading & Demat account.
- **Trading & Demat Account Number/Customer ID:** After the application is processed successfully, you will receive a unique Trading & Demat account number or customer ID from the DP. This will serve as your identification for future transactions.
- **Start Trading:** With your Trading & Demat account successfully opened, you can now link it with a trading account and start trading/ investing in the capital market-related instruments. Don't forget to include funds in your trading account before trading/ investing.
- **In conclusion,** a Trading & Demat account not only facilitates investing and trading, but also serves as a secure and convenient way to hold and manage various financial securities in electronic form. While the focus has now shifted towards online Trading & Demat account opening, the offline process provides much-needed accessibility for those who prefer traditional methods or face connectivity challenges.

#### iv. Details of Authorized Persons:-

| List Of Authorised Persons (AP) |                              |  |              |                               |  |           |             |          |                                  |                    |
|---------------------------------|------------------------------|--|--------------|-------------------------------|--|-----------|-------------|----------|----------------------------------|--------------------|
| Sr. No                          | Authorised Person's Name     | Authorised Person Code (Exchange wise) | Constitution | Status (Approved / Cancelled) | Registered Address   |           |             |          | Terminal Details (Exchange Wise) |                    |
|                                 |                              |  |              |                               | Add  | City      | State       | Pin code | Terminal Allotted (Y/N)          | No. of Terminals   |
| 1                               | Jasvant Chimmnalal Shah      | AP006100241                            | Individual   | Approved                      | A/601, Rite Galaxy, Sodawala Lane, Borivali (W)  | Mumbai    | Maharashtra | 400 092  | Y                                | 1 at Head Office   |
| 2                               | Virendra Harilal Shah        | AP006100221                            | Individual   | Approved                      | 203, Chandra Apartment, Nahur Road, Sarvodaya Pashwnath Nagar, Mulund (W),   | Mumbai    | Maharashtra | 400 080  | N                                | -                  |
| 3                               | Nilesh Yashvant Gavali       | AP0061000591                           | Individual   | Approved                      | C/17, Smruti Park, Near Devendra Industrial, Yashodhan Nagar, Jekegram ,   | Thane     | Maharashtra | 400 606  | Y                                | 1 at Branch Office |
| 4                               | Prabodh Meghji Joshi         | AP0061000581                           | Individual   | Approved                      | A-11, New Shrenik Chs, Ashish Nagar, Nahur Road, Mulund (W)  | Mumbai    | Maharashtra | 400 080  | Y                                | 1 at Branch Office |
| 5                               | Mamta Rajesh Sheth           | AP006100521                            | Individual   | Approved                      | A/303, Indira Complex, Building No. 5, 60th Feet Road, Bhayander West  | Mumbai    | Maharashtra | 410101   | N                                | -                  |
| 6                               | Sheshmani Parasnath Dubey    | AP00611000611                          | Individual   | Approved                      | Room No. 2, Arjun Vasantu Yadav Chawl, Jija Mata Marg, Pump House, Andheri (E),                                    | Mumbai    | Maharashtra | 400 093  | N                                | -                  |
| 7                               | Ashish Ashok Phadnis         | AP006100321                            | Individual   | Approved                      | 1/13 Parleshwar Society, Shahaji Raje Road, Suncity Cinema, Vileparle (E)  | Mumbai    | Maharashtra | 400 057  | N                                | -                  |
| 8                               | Kirit Babulal Shah           | AP0061000571                           | Individual   | Approved                      | 12/27, Mahavir Kutir, Garodia Nagar, Near Satikrupa Shopping Centre, Ghatkopar (E)                                 | Mumbai    | Maharashtra | 400 077  | N                                | -                  |
| 9                               | Raksha Ashvin Mehta          | AP006100461                            | Individual   | Approved                      | B/25, Ambica Estate, Vallabhbaug Cross Lane, Ghatkopar (E)   | Mumbai    | Maharashtra | 400 077  | N                                | -                  |
| 10                              | Anish Mahendra Sheth         | AP006100171                            | Individual   | Approved                      | Plot No. 353/ B/3, 19 Jay Arihant Chs Ltd., 90 Feet Forad, Ghatkopar (E)   | Mumbai    | Maharashtra | 400 077  | Y                                | 1 at Head Office   |
| 11                              | Dinshaw Darabshaw Siganporia | AP006100181                            | Individual   | Approved                      | Jijibhoy Building No. 7/1, Tardeo, Gamadia Colony  | Mumbai    | Maharashtra | 400 007  | N                                | -                  |
| 12                              | Pareen Dwarkadas Thakkar     | AP0061000601                           | Individual   | Approved                      | 11, Vardhman Society, Kharkar Lane, Jambli Naka,   | Thane     | Maharashtra | 400 601  | N                                | -                  |
| 13                              | Kunal Ramesh Merchant        | AP006100141                            | Individual   | Approved                      | 5/1, Jethabhai Building, 1st Floor, Kemp's Corner, Bomanji Petit Street, Near Gangar Optician Cumballa Hill, S.O., | Mumbai    | Maharashtra | 400 026  | N                                | -                  |
| 14                              | Sanjay Ashok Parekh          | AP006100311                            | Individual   | Approved                      | 201, Aangan, 28, Lajpatrai Road, Vile Parle (W)  | Mumbai    | Maharashtra | 400 056  | N                                | -                  |
| 15                              | Sudhir Nayansukhrai Vaidya   | AP006100121                            | Individual   | Approved                      | B-104, Green Woods Chs., Andheri Kurla Road, Near W.E.H. Metro Station, Chakala, Andheri (E)                       | Mumbai    | Maharashtra | 400 093  | N                                | -                  |
| 16                              | Himanshu Dineshchandra Jani  | AP0061000561                           | Individual   | Approved                      | B-34, Swapnalok Flats Opp. Bob., Near Muktanand Soc., Kareli Baug,   | Vadodara  | Gujarat     | 390 018  | N                                | -                  |
| 17                              | Geetha Subramani             | AP0061000681                           | Individual   | Approved                      | #223, Vidyanarayapura, 2nd A Main Road, B.E.L, 1st Block, Byatarayanapura,   | Bangalore | Karnataka   | 560 097  | N                                | -                  |
| 18                              | Mayur Kishor Kholiya         | AP0061000671                           | Individual   | Approved                      | 2, A/6, Misquitta Chawl, Paya Wadi, Nanda Patkar Road, Near Rane Hospital Vile Parle (East)                        | Mumbai    | Maharashtra | 400 057  | N                                | -                  |
| 19                              | Naimish Naresh Godiawala     | AP006100351                            | Individual   | Approved                      | 6, Laxmi Nivas, N. S. Road No.5, Juhu Scheme, Vile Parle (W)   | Mumbai    | Maharashtra | 400 056  | N                                | -                  |
| 20                              | Sharmila Vinay Karve         | AP006100361                            | Individual   | Approved                      | 34, Haji Habib Bldg., 1st Floor, Ambedkar Road, Behind Kohinoor Electronics, Dadar (E)                             | Mumbai    | Maharashtra | 400 014  | Y                                | 1                  |
| 21                              | Ruchi Rakesh Mhatre          | AP0061000731                           | Individual   | Approved                      | A2-303, Ekatmata Nagar Road, Pioneer Daffodils, Jaitala, Nagpur (Urban)  | Nagpur    | Maharashtra | 440 036  | N                                | -                  |

|    |                              |  |                  |          |   |             |             |         |   |                  |
|----|------------------------------|--|------------------|----------|---|-------------|-------------|---------|---|------------------|
| 22 | Ankit Bharat Dalal           | AP0061000741                                 | Individual       | Approved | Flat No. 13, New Silver Chsl., Kastur Park, Silver Lane, Near Gokhale School, Borivali (West)             | Mumbai      | Maharashtra | 400 092 | N |                  |
| 23 | Esha Shares & Securities LLP | AP006100072 – NSE<br>AP01016201105104 - BSE  | LLP              | Approved | 129, Cosmos, Atlantic Plaza, Kakasaheb Gadgil Marg, Near Tilak Bhavan, Dadar (W)                          | Mumbai      | Maharashtra | 400 023 | N |                  |
| 24 | Zarine Kersi Commissariat    | AP0061000711                                 | Individual       | Approved | 11, Suleman Chambers, Battery Street, Behind Regal Cinema, Council Hal                                    | Mumbai      | Maharashtra | 400 039 | N |                  |
| 25 | Zubin Khurshed Broacha       | AP006100041                                  | Individual       | Approved | A/8, Shapur Baug, 2nd Floor, V. P. Road, Opp. Saidham Mandir, Girgaon                                     | Mumbai      | Maharashtra | 400 004 | N |                  |
| 26 | Vaishali Paresh Dave         | AP006100111                                  | Individual       | Approved | 33/2, Pushpa Park , Daftary Road, Near Ganpati Temple, Malad €  | Mumbai      | Maharashtra | 400 097 | N |                  |
| 27 | Padma Shiv Mirchandani       | AP0061000651 – NSE<br>AP01016201107262 - BSE | Individual       | Approved | 17, Souvenir, 1st Pasta Lane, Colaba,   | Mumbai      | Maharashtra | 400 005 | N |                  |
| 28 | Amit Sudhir Parekh           | AP0061000701                                 | Individual       | Approved | A/8, Jawan Nagar, S. V. Road, Borivali (W)  | Mumbai      | Maharashtra | 400 092 | Y | 1 at Head Office |
| 29 | Naxita Parimal Merchant      | AP006100531                                  | Individual       | Approved | C-501, Bldg. No. 2, Prathmesh Residency Chs. Ltd., Dadabhai Road No. 1. Near Bhavans College, Andheri (W) | Mumbai      | Maharashtra | 400 058 | N |                  |
| 30 | Priyan Jayantilal Shah       | AP006100531                                  | Individual       | Approved | A/21, Nebula, M.G. Cross Road No. 4, Kandivali (W)  | Mumbai      | Maharashtra | 400 067 | N |                  |
| 31 | Vikas Vasant Khare           | AP006100291                                  | Individual       | Approved | 7. Suruchi Dixit Road, Near Utkarsh Mandal, Vile Parle (E)  | Mumbai      | Maharashtra | 400 057 | N |                  |
| 32 | Atul Manhar Jadia            | APOO61000621                                 | Individual       | Approved | Flat No. 4, Shyamsadan, A Wing 48 Bajaj Road, Vile Parle (W)  | Mumbai      | Maharashtra | 400 056 | N |                  |
| 33 | Bhavesh Kantilal Gandhi      | AP0061000631                                 | Individual       | Approved | Flat No. 801-A, High Land Park, Lokhandwala Complex, New Link Road,                                       | Mumbai      | Maharashtra | 400 053 | N |                  |
| 34 | Kartik Jayraj Toprani        | AP0061000761                                 | Individual       | Approved | 703, Prince Apt. Chs., Opp Corporation Bank, Plot No. 163, Karani Lane,                                   | Mumbai      | Maharashtra | 400 086 | N |                  |
| 35 | Sanjay Narayanrao Mahatpure  | AP0061000751                                 | Individual       | Approved | B Wing, 203, Mohini Sadan, Behind Hanuman Temple, Mudre, Karjat,  | Karjat      | Maharashtra | 410 201 | N |                  |
| 36 | Sanjay Hariram Jobanputra    | AP0061000771                                 | Individual       | Approved | Plot No. 320, 3, Vithal Chs Ltd., 1st Floor, Road No. 6, Retti Bunder Road, Chembur,                      | Mumbai      | Maharashtra | 400 089 | N |                  |
| 37 | Sanjay Ramkrishna Joshi      | AP0061000781                                 | Individual       | Approved | B-91, Roop Darshan, Juhu Cross Lane, New India Insurance Coloy, Andheri (W),                              | Mumbai      | Maharashtra | 400 058 | N |                  |
| 38 | Arti Santosh Salunke         | AP0061000791                                 | Individual       | Approved | 627, Jai Shree Siddhivinayak, Sahar Road, Sambhaji Nagar, Andheri (East)                                  | Mumbai      | Maharashtra | 400 069 | N |                  |
| 39 | Savepro Financial Services   | AP0061000802 – NSE<br>AP01016201121257 - BSE | Partnership Firm | Approved | 18/17, W.E.A., Ground Floor , Dakha House, Pusa Lane, Karol Bagh  | New Delhi   | Delhi       | 110 005 | Y | 1                |
| 40 | Kinjal Devang Doshi          | AP0061000811 – NSE<br>AP01016201121536 - BSE | Individual       | Approved | A-903, Aaradhya Residency, 9th Floor, Cama Lane, Ghatkopar (W)  | Mumbai      | Maharashtra | 400086  | N |                  |
| 41 | Ask Investment Services      | AP0061000822 – NSE<br>AP01016201122896 - BSE | Partnership Firm | Approved | 2/B, Moiz Apartment, Ground Floor, Behind Krystal Blue Building, Near Reliance Energy, Santacruz East,    | Mumbai      | Maharashtra | 400 055 | N |                  |
| 42 | Ila Ramesh Muchhala          | AP0061000831 – NSE<br>APO1016201126751 - BSE | Individual       | Approved | 1301, Sky Flama, A Dosti Flamingos, T.J. Road, Sewri Naka, Sewri  | Mumbai      | Maharashtra | 400 015 | N |                  |
| 43 | Monthu Valerian Dsouza       | AP0061000841                                 | Individual       | Approved | Om Palace, Flat No. 201, Plot No. B/44, Sector 23, Seawoods, Nerul,                                       | Navi Mumbai | Maharashtra | 400 706 | N |                  |

|    |                           |  |                  |          |  |           |             |         |   |   |
|----|---------------------------|--|------------------|----------|--|-----------|-------------|---------|---|---|
| 44 | Snowball Capital Services | AP0061000852 - NSE<br>AP01016201143910 - BSE | Partnership Firm | Approved | House No. 326, Sector 21-A, East Wing,                         | Faridabad | Haryana     | 121001  | Y | 1 |
| 45 | Vaishali Hemant Sheth     | AP01016201124174 - BSE                       | Individual       | Approved | Flat 305 3rd Flr Harganga Mahal Annexe Dr Ambedkar Rd Dadar Tt | Mumbai    | Maharashtra | 400 014 | Y | 1 |

| 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   | NIL                      |        |  |        |
| 2   |                          |        |  |        |
| 3   |                          |        |  |        |
| 4   |                          |        |  |        |