

## Mandatory Display

- i. Basic details of the SB / DP such as registration number, registered address of HeadOffice and branches if any -

Stock Broker Name	Registration Number	Registered Address	Branch Address (if any)	Contact Number	Email id
HASMUKH LALBHAI SHARE BROKERS PVT.LTD.	BSE and NSE- <b>INZ000251236</b>  CDSL- <b>IN-DP-442-2019</b>	PS-23, ROTUNDA, 2 <sup>ND</sup> FLOOR, MUMBAI SAMACHAR MARG, FORT, MUMBAI-400001	N.A.	2272-2814/15 2272-3068	<a href="mailto:hasmukhlalbhai@gmail.com">hasmukhlalbhai@gmail.com</a>

### Escalation Matrix:

Details of	Contact Person	Address	Contact No.	Email Id	Working Hours
Client Servicing	JAYESH M. PANCHAL  DEEPA H. TRIVEDI	PS- 23, ROTUNDA, 2ND.FLOOR, STOCK EXCHANGE, MUMBAI SAMACHAR MARG, M-400001.	2272-2815	hasmukhlalbhai@gmail.com	Monday to Friday 9.00 A.M. to 1.30 P.M. 2.00 to 6.00 P.M.
Head of Client Servicing	JIGNESH H. JOSHI	PS- 23, ROTUNDA, 2ND.FLOOR, STOCK EXCHANGE, MUMBAI SAMACHAR MARG, M-400001.	2272-2814  2272-3068	hasmukhlalbhai@gmail.com	Monday to Friday 9.00 A.M. to 1.30 P.M. 2.00 to 6.00 P.M.
Compliance Officer	TEJAS ULHAS CHITHARIA	PS- 23, ROTUNDA, 2ND.FLOOR, STOCK EXCHANGE, MUMBAI SAMACHAR MARG, M-400001.	2272-2814  2272-3068	tchitharia@gmail.com	Monday to Friday 9.00 A.M. to 1.30 P.M. 2.00 to 6.00 P.M.
CEO	ULHAS H. CHITHARIA	PS- 23, ROTUNDA, 2ND.FLOOR, STOCK EXCHANGE, MUMBAI SAMACHAR MARG, M-400001.	2272-2814  2272-3068	uchitharia@hotmail.com	Monday to Friday 9.00 A.M. to 1.30 P.M. 2.00 to 6.00 P.M.

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

<b>Sr. No.</b>	<b>Name of the Individual</b>	<b>Designation</b>	<b>Mobile Number</b>	<b>Email Id</b>
1	ULHAS H. CHITHARIA	Managing Director	9323739493	<a href="mailto:uchitharia@hotmail.com">uchitharia@hotmail.com</a>
2	JIGNESH H. JOSHI	Whole time Director (WTM)	9920408473	<a href="mailto:jigneshjoshi28@hotmail.com">jigneshjoshi28@hotmail.com</a>
3	TEJAS U. CHITHARIA	Designated Director	9987031773	<a href="mailto:tchitharia@hotmail.com">tchitharia@hotmail.com</a>
4	TEJAS U. CHITHARIA	Compliance Officer	9987031773	<a href="mailto:tchitharia@gmail.com">tchitharia@gmail.com</a>

**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**

1. Clients are accepted by reference only.
2. Register the clients after strictly following and monitoring all the compliances required by the regulatory and Exchanges & DP.
3. Photocopies of identification proof & address proof of clients are verified with the originals. We see that all details are properly filled up and verification of all the supporting documents required for opening an account. After verifying & checking all the details and documents, in person verification is carried out by our employee himself and also verified from KRA & CKYC.
4. DP Open the demat Account of the client in Back office & then UCC is allotted and uploaded to the Exchanges & updated the same in our back office software.
5. Once the Client is registered then we provided acknowledgement copies of CML along with the welcome letter.
6. We keep the records of all the documents in our office.
7. We do not outsource client registration modalities & also do not entertain walk in clients.

# Flow Chart for Account Opening

Clients are accepted by reference only



Register the clients after strictly following and monitoring all the compliances required by the regulatory and Exchanges & DP



Photocopies of identification proof & address proof of clients are verified with the originals. We see that all details are properly filled up and verification of all the supporting documents required for opening an account. After verifying & checking all the details and documents, in person verification is carried out by our employee himself and also verified from KRA & CKDC.



DP Open the demat Account of the client in Back office & then UCC is allotted and uploaded to the Exchanges & updated the same in our back office software.



Once the Client is registered then we provided acknowledgement copies of CAM along with the welcome letter



We keep the records of all the documents in our office



We do not outsource client registration modalities & also do not entertain walk in clients

**b) Detailed write up on procedure for filing a complaint on designated email id/ Toll-free number. Provisions are to be made for sharing Ticket Number once the complaint is lodged.**

1. Investor can login on our website [www.hasmukhlalbhai.com](http://www.hasmukhlalbhai.com)
  2. On our Contact Page, investor can file complaint with HASMUKH LALBHAI SHARE BROKERS PVT LTD under investors guide or through any mode of communication, Phone, Email, Post.
  3. If the client lodges the complaint, ticket number will be generated and have to quote the said ticket Number for all the further correspondence till their complaint is resolve.
  4. Publishing of investor grievances Escalation Matrix on the website so that investor can contact the concern officer.
  5. Investors, in case of any grievances, approach stock broker on designated email ID [hasmukhlalbhai@gmail.com](mailto:hasmukhlalbhai@gmail.com) for getting the same resolve immediately, but not later than 30 days of the receipt of the grievances.
- Investor complaint has been monitoring by the compliance officer on the regular basis.
  - As per the complaint reference number/ticket number of the investors, compliance officer look into this immediately to resolve it but not later than 30 days of the receipt of the grievances.
  - Additionally, the complaint details also entered into the Investor Grievances Register.
  - Action taken if any, for the redressal of the grievances of the investors has been informed to the Stock Exchanges/DP/investor.

**iv Details of Authorized Persons**

<https://hasmukhlalbhai.com/sub-brokers/>