



TRUSTED SHARES & INVESTMENTS LIMITED

112,CHURCHGATE CHAMBERS , 5 NEW MARINE LINES,MUMBAI 400020
(Stock Broker INZ000270035 and Depository Participant IN-DP-547-2021)

Details of Mandatory Display

i) Basic Details of the Stock Broker and Depository Participants:-

Stock Broker Name	Registration Number	Registered Office	Branches Address (if any)	Contact Numbers	Email ID
Trusted Shares & Investments Limited	INZ000270035 SEBI Registration No Stock Broker	112,Churchgate Chambers, 5 New marine Lines, Mumbai PIN-400 020	No Branches	022-22644636 022-22666507 022-22626785 +91-9324029483 +91-8369515293	info@trustedshares.com trusted.shares@gmail.com
Trusted Shares & Investments Limited	IN-DP-547-2021 SEBI Registration No as Depository Participant	112,Churchgate Chambers, 5 New marine Lines, Mumbai PIN-400 020	No Branches	022-22644636 022-22666507 022-22626785 +91-9324029483 +91-8369515293	info@trustedshares.com trusted.shares@gmail.com

Escalation Matrix: - Stock Broker

Details of	Contact Person	Address	Contact No	Email ID
Customer Care	Manjiri Kelkar Ulka Bendre Jainal Patel	112,Churchgate Chambers,5 New marine Lines, Mumbai 400020	8850300382 9987208610 8879123028	trusted.shares@gmail.com ulka.b@trustedshares.in jainal.p@trustedshares.in
Head of Customer Care	Kanchan Sharma	112,Churchgate Chambers,5 New marine Lines, Mumbai 400020	8369515293	info@trustedshares.com
Compliance Officer	Manisha Sawant	112,Churchgate Chambers,5 New marine Lines, Mumbai 400020	9324029483	bse.compliance@trustedshare.in
Designated Director	Mahaveer Meghawat	112,Churchgate Chambers,5 New marine Lines, Mumbai 400020	9820145848	mm@trustedshares.com

Escalation Matrix:-Depository Participant

Details of	Contact Person	Address	Contact No	Email ID
Customer Care	Shripad Salvi Ulka Bendre	112,Churchgate Chambers,5 New marine Lines, Mumbai 400020	9369123028 9987208610	info@trustedshares.com Ulka.b@trustedshares.in
Head of Customer Care	Manisha Sawant	112,Churchgate Chambers,5 New marine Lines, Mumbai 400020	9324029483	trusted.shares@gmail.com
Compliance Officer	Manjiri Kelkar	112,Churchgate Chambers,5 New marine Lines, Mumbai 400020	8850300382	dp.compliance@trustedshares.in
Designated Director	Mahaveer Meghawat	112,Churchgate Chambers,5 New marine Lines, Mumbai 400020	9820145848	mm@trustedshares.com

ii) Names and Contact details of all Key Managerial Personal Including Compliance officer

Sr.No	Name of the Individual	Designation	Mobile Number	Email ID
1	Mahaveer Meghawat	Designated Director	9820145848	mm@trustedshares.com
2	Chetan A Gandhi	Designated Director	9869038698	info@trustedshares.com
3	Manisha Sawant	Compliance Officer- Stock Broking Division	9869136698 9324029483	bse.compliance@trustedshares.in
4	Manjiri Kelkar	Compliance Officer- Depository Participant	8850300382	trusted.shares@gmail.com dp.compliance@trustedshares.in

iii). Step by step Procedure for Opening an account, filling a Complaint on designated Email ID and Finding out the status of the Complaint etc.

The Procedure for Opening an Account Along with Flowchart

1. Identify and select your Broker/DP/Broker DP to open a Trading/demat/Combined account
2. Require specific documentation and procedure to open a Trading cum demat account
3. Need to Sign Complete Common Account Opening Form,
4. Signing a Power of attorney with your Depository Participant,
5. Fill Nomination form for Trading and Demat account,
6. Setting up of the demat account with your Trading Account Code (UCC Code)

Step 1 - Identify and Select your Stock Broker /DP /Broker DP to open a Trading Demat account

Two Exchanges are working in India, viz The National Stock Exchange and The Bombay Stock Exchange. In India SEBI registered Stock Broker is an agent of Exchanges. DP Stands for depository participants of India. In India DP's is the agent of a depository. Two depositories are working in India, viz. **NSDL** (National Securities Depository Limited), **CDSL** (Central Depository Services Limited) Most of Stockbrokers in India have depository participant License.

Now it is completely your choice to select stockbroker/DP/Broker DP based on the features they offer features like demat charges, nearness to your current location etc. It is always better that you have your Trading ac and demat Account with the same Broker. However you have the option to choose a different DP and a trading broker.

Trusted Shares and Investments Limited, is a SEBI registered Stock Broker of BSE Ltd since 1994 and DP of CDSL since 2008 and we offer Trading / Demat / Combined account opening facility **only on the basis of Physical Form Submission along** with self-attested documentation. So you can approach us in person or on your request we can email you the complete Combined account opening form through email.

Step 2- Requires specific documentation and procedure to open Trading / Demat account

We offer Trading / Demat / Combined account opening facility **only on the basis of Physical Form Submission along** with self-attested documentation.

You will require mainly 4 Documents for opening a Trading Account- Proof of Identity, Proof of address, Proof of active bank account details and Proof of active demat details and mainly three documents to open demat account-Proof of Identity, Proof of Address Proof and Proof of active bank account.

So your Income Tax PAN CARD as Proof of Identity and Aadhar card as Proof of address is a mandatory documents for opening trading as well demat account.

Depository participants who are mainly stock brokers like us accept a variety of documents in lieu of identity proof and proof of residence. Passport, Aadhar card, elector voting card, pension card, etc. can act as your identity proof. For address, you may present an updated passport, current landline telephone bill, property tax assessment, income tax assessment, credit card bill, electricity bill, etc. One thing you need to remember is that all documents must be a self-attested photocopy.

Step 3- You need to fill up and sign the Complete Common Account Opening Form.

Along with the documents you will require to submit the duly filled and signed Account Opening Form. It Contains list of various documents like rights and obligations, Policies and Procedures, Etc. for the account holder. It is always wise to read the fine print before signing each paper of account opening form.

The Common account opening form also contain a schedule of charges like Brokerage Charges, demat account related charges and other Statutory charges etc. For any query or doubts, don't hesitate to discuss about the same with our representatives for clarification signing and submitting.

Make sure to obtain a copy of the agreement and updated schedule of charges for your later reference.

Step 4- Signing a POA is "Optional" with Your Depository Participant

Before Selling a security from your demat account you need to give instruction to stock broker DP / DP.

DIS – stand for Delivery Instruction Slip is the standard format where you must put all mandatory information about sell execution of that security(s) like ISIN no, Security Name, Qty in figures and in words etc. After that you need to submit the duly filled & signed DIS on the same day of selling security or before pay in cut of time else it will go for auction.

To make it more hassle free, broker always ask you to sign a POA i.e. Power of Attorney during the time of opening the demat account. This empowers broker to automatically debit your demat account whenever you sell the securities.

However some brokers misuses it as well to recover some due or undue charges without informing you in advance. So to avoid this as per SEBI's new circular, you need not have to sign POA during applying for Demat account opening. **SO NOW , POA IS OPTIONAL. You can refuse POA** You can grant POA for services you deemed fit. Anytime you can revoke any/all POA. Even in case of Opting out POA, Broker/DP can't deny any services in case of no POA or its revoke. You can issue DIS before selling.

Step 5- Don't forget to fill nomination form along with common and combined account opening Form.

You must fill nomination form not only for your demat account(s), but also for all your financial assets like insurance policy ,bank account(s),Fixed Deposit(s), or any other asset which is financial in nature. Nomination smoothens the means of delivery of your securities to the beneficiaries, upon your dismiss. Currently you can appoint maximum 3 Nominees for trading / demat account by submitting duly filled and signed Nomination form along with valid identity proof of nominee(s).

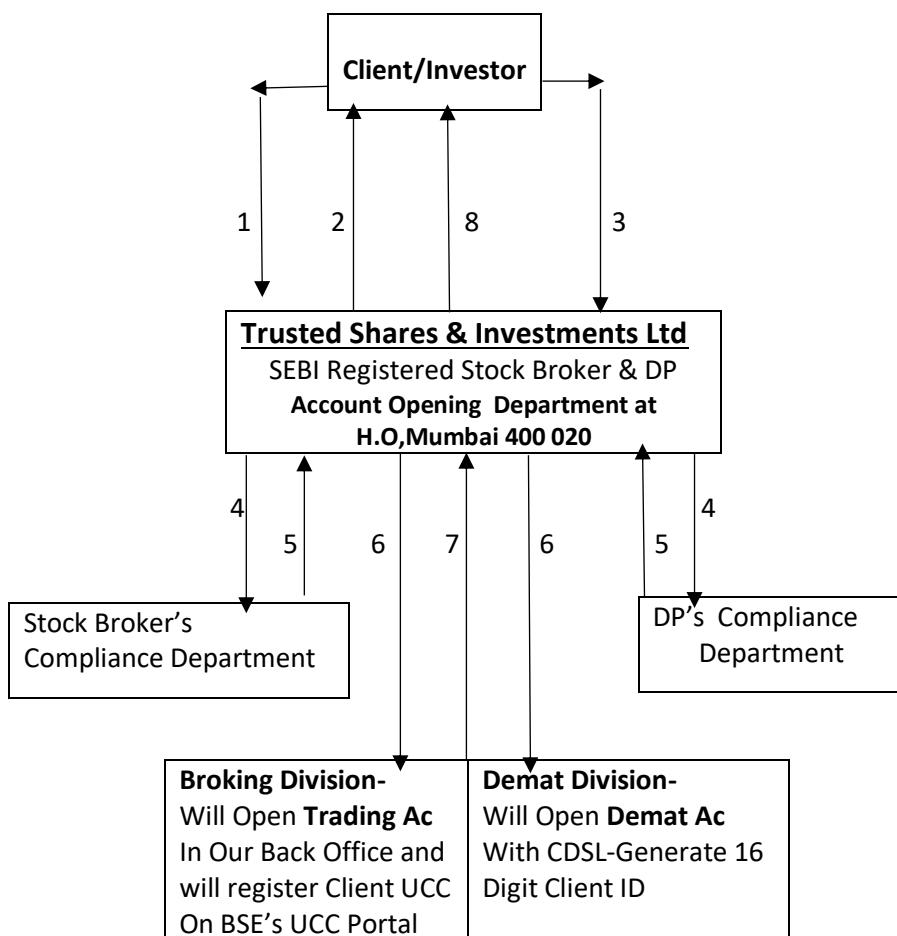
Step 6- Setting up of the demat account along with your Trading Account Code (UCC Code)

You will require to submit duly filled and signed Common application form to Stock broker/DP. After submission designated person of broker/DP will verify the documents in person. Then it will go to our compliance department for compliance related approval. After due verification and approval received by the compliance will open demat and trading account in your name with CDSL and BSE Ltd respectively.

After opening your account, DP/Broker will grant you a BO ID and UCC Code. BO ID stands for Beneficial Ownership Identification Number (16 Digit number, Union of DP ID and Client ID) and UCC code stands for Unique Client Code of Trading account.

On BSE's UCC portal once UCC code is registered you can start purchase of financial securities. If your purchase any financial security securities, your demat account mapped with trading account Will be credited. Similarly whenever you sell your holdings in any of financial securities then it will Get debited from your demat account and on your instruction Broker will credit the net sell proceedings in your respective bank account.

FLOW CHART



Flow Chart- Details

1. Client will contact Broker/DP/Broker DP's Account Opening Department personally or on LL numbers or through email.
2. Account Opening Department will give full information to respective client related to Account opening procedure in person or on LL or by sending completely reply to client's Email and according provide Hard Copy Common Account Opening Form or will send PDF file of Common Account Opening Form through email.
3. Client will submit duly filled and signed Common Account Opening Form along with all mandatory and necessary self-attested photocopies of documents to Account Opening Department of Broker/DP.
4. Account Opening Department will forward the same to Compliance Departments of both the Division.i.e to Broking as well as Demat.
5. After Due Verification, Both the Division's will reply to Account Opening Depart to complete the pending documentation part ,if any or to start the further account opening Procedure.
6. Account opening Department's both the Divisions will open the Demat ac on CDSL and Trading account on BSE's UCC Portal respectively.
7. Both the Broking Division and Demat Division will inform Trading Code (UCC Code) and 16 Digit Client ID (Demat Account Number) to Main Account Opening Department.
8. Officials of main account opening department will inform client about newly opened trading ac and demat account and will send hard copies of Account Opening KIT along with the DIS booklet.

The Procedure to fill a Complaint on Designated email ID and finding out the status of the Complaint on basis of Ticket Numbers

1. For Broking and DP/Demat Division Services, prepared two different Escalation Matrix for Clients and accordingly client can send the email will provide required information/Details to respective client as per their request.
2. Not received appropriate response as Per Escalation Matrix, Client can lodge complaint to Broker's or DP's Designated Grievance Email ids respectively.
3. Fill a Separate Complaint for Broking Division and For Demat Account Related ,
4. Manually will create and provide Separate Ticket number to each Complaint
5. Broking Division and DP Division separately will resolve complaint within 30 days from date of receipt of Complaint,
6. On Our Portal, will Provide separate Link to track Complaint Status with ref to Ticket Number,
7. Non receipt of satisfactory response / non resolution of Complaint at Broker's Level, client can further fill complaint to concerned Exchanges, Depositories and SEBI respectively.

Step 1- We have created Two Different Investor Grievance Escalation matrix one for Broking Division and another for Demat Division and same has been uploaded under Contact US head on Home page of Our Web Portal- www.trustedshares.in

With reference to Escalation Matrix and as per their requirement related to Broking or Demat account related, client can approach us or forward us query through phone call/email(s) to our Customer Service Department/Head of Customer Service /Compliance Officer/Whole time Director.

On Daily basis, at regular intervals designated staff checks respective email ids. On receipt of any such email, concerned person /Department will respond to each client's call/email and will provide satisfactory reply for each query through call and email.

Step 2 and 3-On Non receipt of satisfactory reply from concerned departments/Designated Person, client can further lodge complaint on Broker/DP's "Designated BO Grievance email ids".

Created two different email ids for Broking Division and Demat Division respectively.

Broking Division related Designated BO Grievance ID- bsecomplaints@trustedshares.in

DP/Demat related Designated BO Grievance ID- dpcomplaints@trustedshares.in

Step 4- On receipt of client's complaint on designated grievance email Ids, manually will generate separate Ticket No for each query/complaint and will email the same to respective client for further reference and tracking purpose. We being a small Broking House and dealing with selective group of clients, we assist client through phone call to resolve the issue on immediate basis.

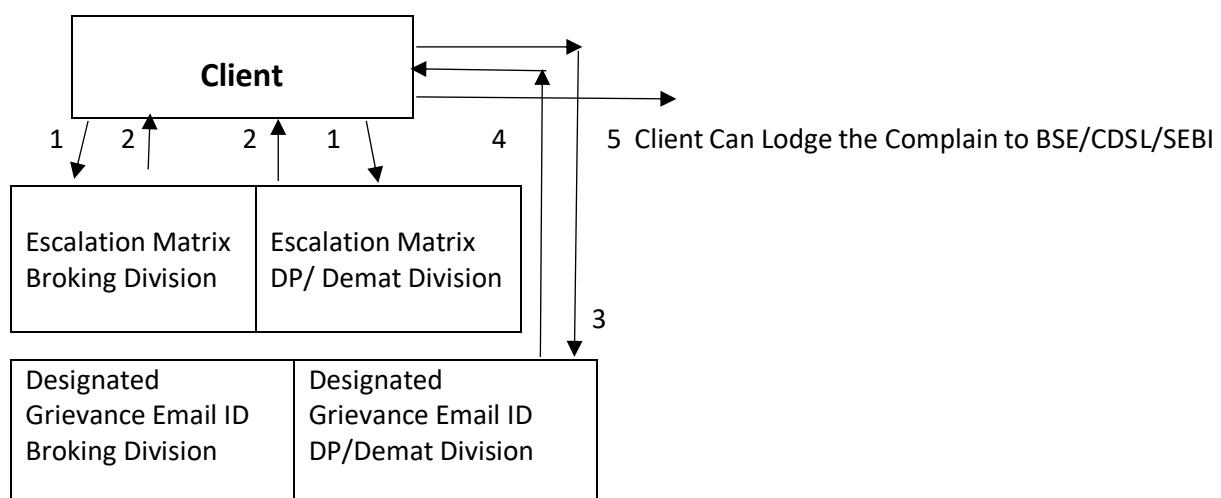
Step 5- Within 2 Working Days from the date of receipt of complaint, will update the current status of each Complaint ticket number on our Portal. For Clients to track current status of complaint we have created two separate links, on which we will upload separate password protected word or excel sheet for each “ticket number”. Through Phone call and email will provide PW to concerned client only.

Step 6- Division wise concerned official/ team will work on each complaint in detailed and will resolve the complaint with in stipulated time as per regulatory from the date of receipt of complaint and according will inform client through phone call and email as well.

NOTE- In case of Non receipt of satisfactory response from concerned Department/Designated Person **OR** complaint not addressed properly at Broker/DP Grievance’s level, Client can further file the complaint to respective Exchange/Depository.

The complaint not redressed at Stock Broker/Stock Exchange/Depository level, may be lodged with SEBI on SCORES (a web based centralized grievance redressal system of SEBI) @ <https://scores.gov.in/scores/Welcome.html>

Flow Chart



1. Escalation Matrix is a part of Complaint redressal Communication/mechanism, so created two separate Escalation Matrix, one for Broking Division & another for DP Division and Same Updated on our Web Portal under **CONTACT US**.
2. Once email/Communication received from client, Designated Person will respond to Client’s Query/email accordingly and provide the necessary information as per requirement of client.
3. In case of Non Reply/un satisfactory reply client can lodge the complaint(s) on Designated BO Grievance Email id. As a Broker DP , we have created Two separate Investors Grievance Email IDs. One for Broking Division and another for DP/Demat Division.

4. On receipt of any complaint, respective official will manually create Ticket Number for each complaint and same will be communicated to respective client through email and client can Track the complaint on our Web Portal. Once Status of the complaint uploaded in the form of pass word protected Excel or Word sheet will contact the concern person through call and email as well.
5. On Non receipt of satisfactory reply from Broker/DP's under Complaint redress mechanism Client can further lodge complain directly to Exchanges/Depository/SEBI.

IV. Details of Authorised Persons- Not Applicable