

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

Stock Broker Name	Registration Number	Registered Address	Branch Address (if any)	Contact Number	Email id
Bhogilal Trikamlal Sec. Pvt Ltd.	INZ000218139	717/721, Rotunda Building, M.S. Marg, Fort, Mumbai-400023.	Ramdev Park, Chandavarkar Lane, Borivali(w), Mumbai-400092.	022-22722966	investors@btsec.co.in

ii. Escalation Matrix:

Details of	Contact Person	Address	Contact No.	Email Id	Working Hours
Customer Care	Mr. Chandrakant Tele	Bhogilal Trikamlal Sec. Pvt. Ltd, R-717/721, Rotunda	+91 022-22722966	investors@btsec.co.in	9.00 AM to 5.00 PM (Monday to Friday).
Head of Customer Care	Mr. Nikhil Rikame	Bldg., Dalal Street, M.S.Marg, Fort, Mumbai-400023	+91 022-22722966	nikhil@btsec.co.in	
Compliance Officer	Mr. Nirav B. Shah		+91 022-22721967	nirav.shah@btsec.co.in	
Chief Executive Officer (CEO)	Mr. Bharat B. Shah		+91 022-22722966	bbshah056@yahoo.co.in	

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	Bharat B. Shah	Chief Executive Officer (CEO)	9820255667	bbshah056@yahoo.co.in
2	Nirav B. Shah	Compliance Officer	9821024608	nirav.shah@btsec.co.in
3	Chandrakant R. Tele	Customer Care	9221242678	investors@btsec.co.in
4	Nikhil S. Rikame	Head of Customer Care	7738974652	nikhil@btsec.co.in

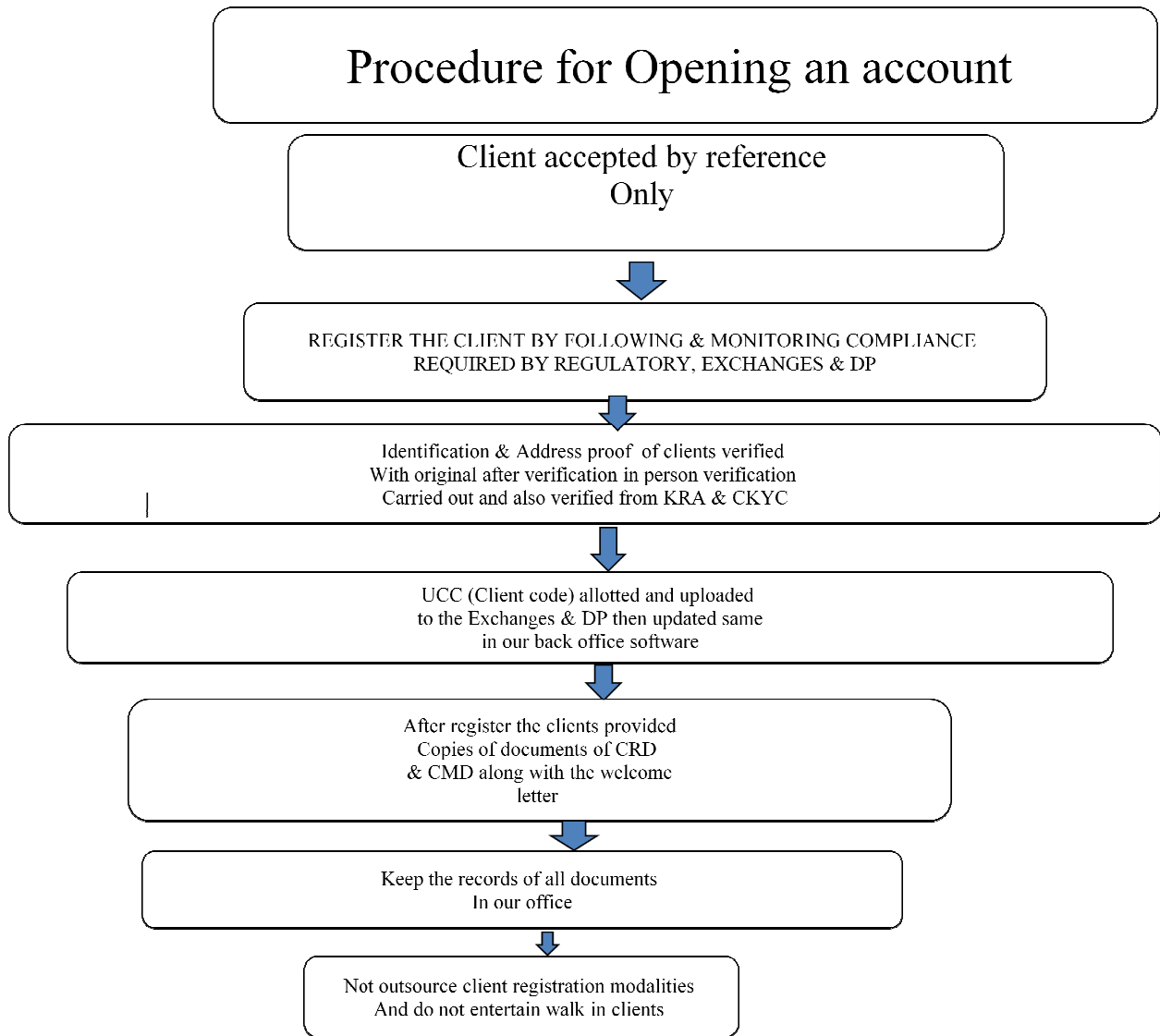
iv. Step by step procedures for opening an account, filing a complaint on designated email id, and finding out the status of the complaint etc.

a) Detailed write up on the procedure for opening an account along with Flowchart and video if any (optional).

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. UCC (client code) is allotted and it is uploaded to the Exchanges & DP then after we updated the same in our back office software.
5. Once the Clients registered then we provided copies of the documents of CRD & 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.

A complete form of Know Your Client is already available on our website.

Flow chart



b. Detailed write up on procedure for filing a complaint on designated email id/ Toll-free number along with Flowchart and video if any (optional). Provisions are to be made for sharing Ticket Number once the complaint is lodged.

1. Investor can login on our website www.btsec.co.in
2. On our home page, investor can click on **investor grievances icon** for filing a complaint.
3. On opening of the **investor grievances screen**, investor can lodge the complaint on designated email ID investors@btsec.co.in which has been created for the investors.
4. Once the client lodge the complaint ticket number will be generated and have to

quote the said ticket Number for all the further correspondence till their complaint is resolved.

5. Publishing of investor grievances Escalation Matrix on the website so that investor can contact the concern officer.

Please quote your service Ticket/Complaint Ref.No. while raising your complaint on our website www.btsec.co.in portal at investors@btsec.co.in

c) Detailed write up on procedure for finding out status of the complaint basis Ticket Number etc. along with Flowchart and video if any (optional).

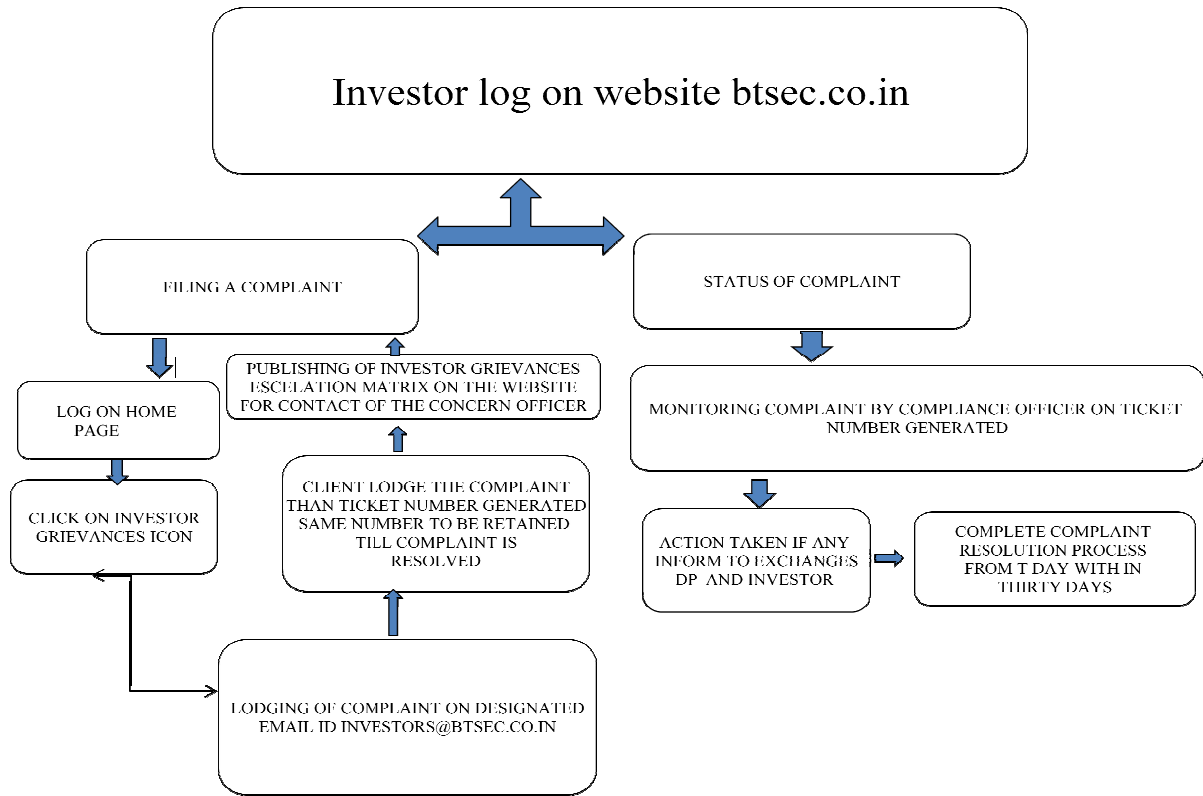
Investors, in case of any grievances, approach stock broker on designated email ID investors@btsec.co.in for getting the same resolved immediately, but not later than 30 days of the receipt of the grievances.

1. Investor complaint has been monitored by the compliance officer on the regular basis.
2. As per the complaint reference number/ticket number of the investors, compliance officer looks into this immediately to resolve it but not later than 30 days of the receipt of the grievances.
3. Additionally the complaint details also entered into the Investor Grievances Register.
4. Action taken if any, for the redressal of the grievances of the investors has been informed to the Stock Exchanges/DP/investor.

Timelines for complaint resolution process for the redressal of grievances

Sr. No.	Type of Activity	Timelines for activity
1.	Receipt of Complaint	Day of complaint (C Day).
2.	Additional information sought from the investor, if any.	C + 7 days.
3.	Investor can verify the status of the complaint on the basis of their complaint reference number.	Ongoing basis
4.	Complete resolution process	T + 30 Days.

Flowcharts for (b) & (c)



iv Details of Authorized Persons –N.A. We do not have any Authorized Persons.

List Of Authorised Persons (AP)										
Sr.No	Authorised Person's Name	Authorised Person Code (Exchange wise)	Constitution	Status	Registered Address				Terminal Details (Exchange Wise)	
				(Approved /Cancelled)	Add	City	State	Pin code	Terminal Allotted (Y/N)	No. of Terminals

N.A.- We do not have any Authorized Persons.

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

