

Bhogilal Trikamlal Securities Pvt. Ltd.

MEMBER: BSE LTD. & NSE LTD.

R-717/721, Rotunda Bldg., B. S. Marg, Fort, Mumbai - 400 023. || Tel.: 2272 1907 • Fax: 2272 2966

GST No.: 27AABCB5497N1Z2 || SEBI Regd. No.: INZ000218139 || CDSL Regd. No.: IN-DP-216-2016

i. Basic details of the SB/DP 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.	NA	022-22722966	investors@btsec.co.in
Bhogilal Trikamlal Sec. Pvt Ltd.	IN-DP-216-2016	717/721, rotunda building, M.S.marg, Fort, Mumbai-400023.	NA	022-22722966	nikhil@btsec.co.in

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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 Bldg., Dalal Street, M.S.Marg, Fort, Mumbai-400023	+91 022-22722966	investors@btsec.co.in	9.00 AM to 5.00 PM (Monday to Friday).
Head of Customer Care	Mr. Nikhil Rikame		+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

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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.

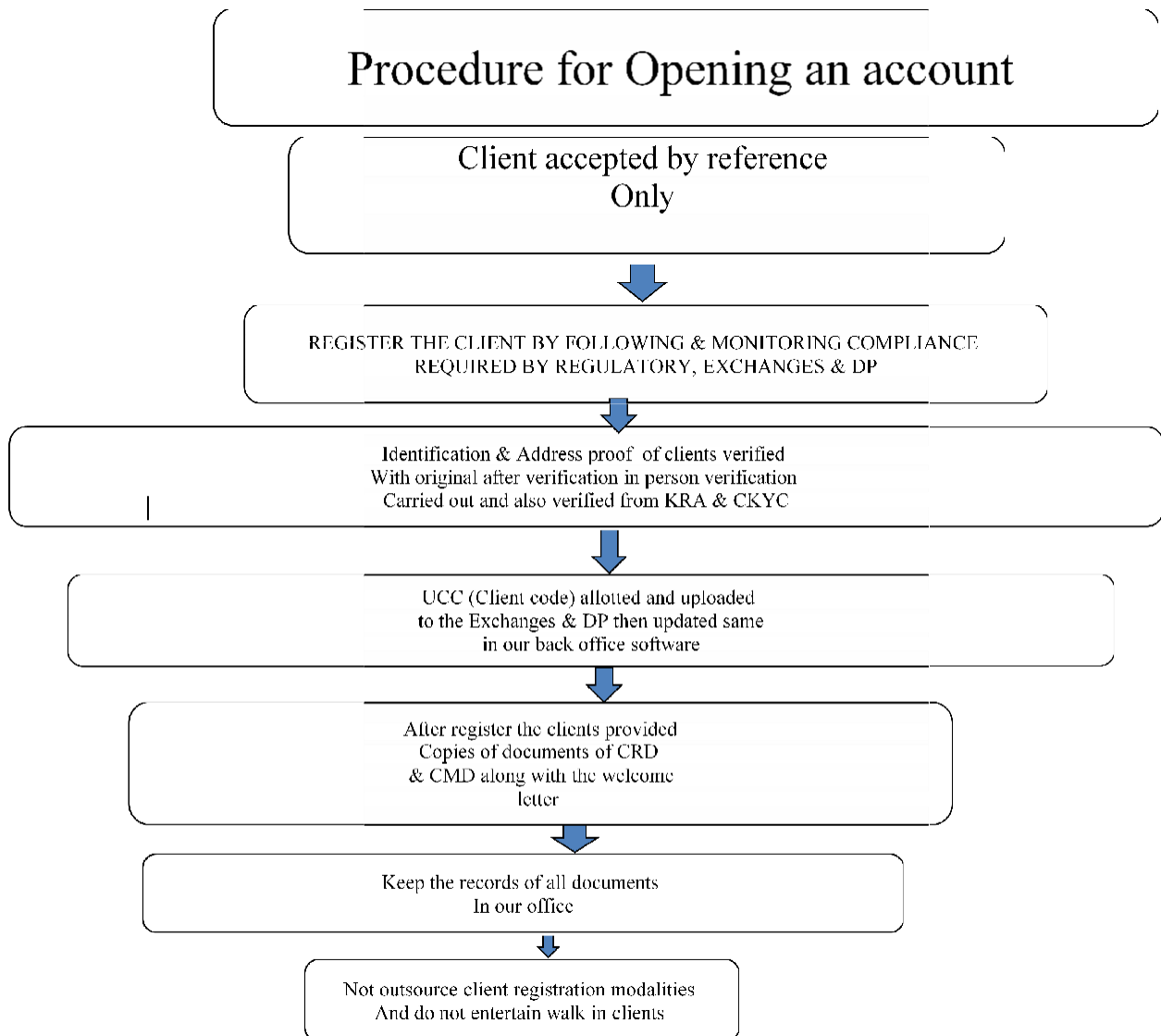
A complete form of Know Your Client is already available on our website.

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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

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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

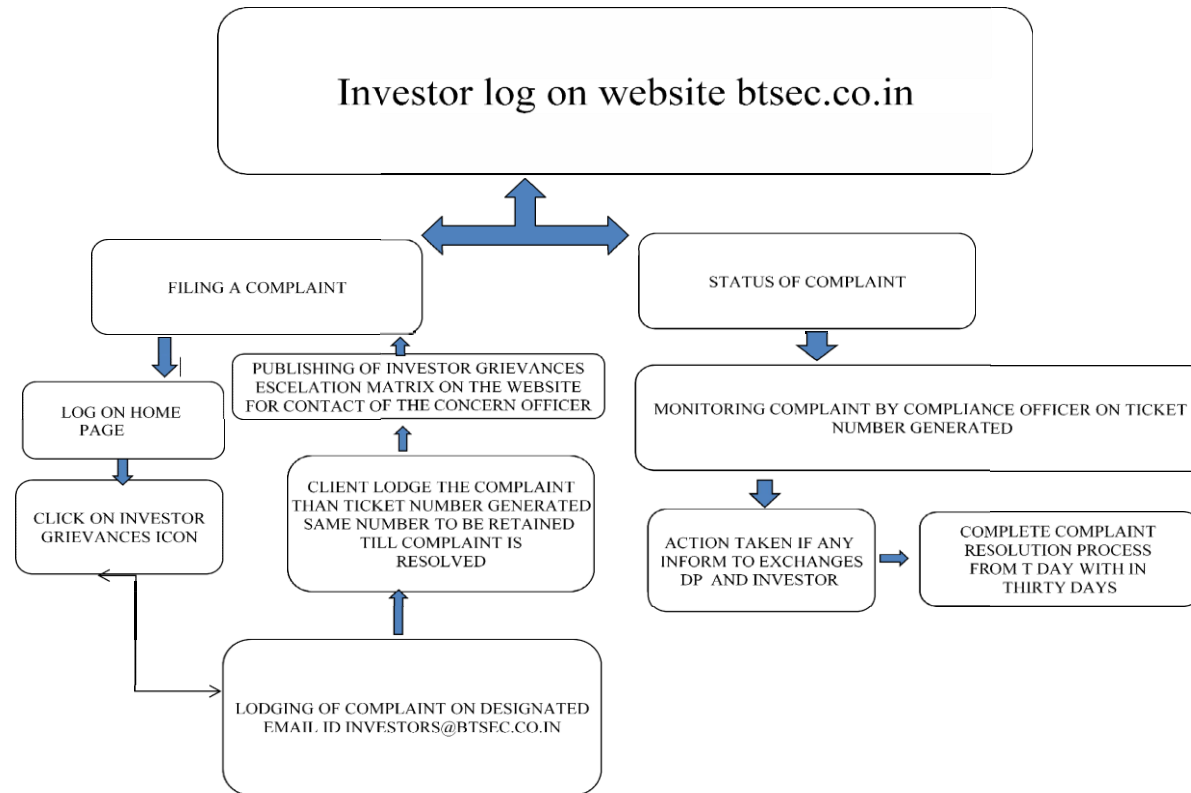
Sr. No.	Type of Activity	Timelines for activity
1.	Receipt of Complaint	Day of complaint (C Day).
2.	Additional information sought from the investor, if any.	C + 7 days.
3.	Investor can verify the status of the complaint on the basis of their complaint reference number.	Ongoing basis
4.	Complete resolution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

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Flowcharts for (b) & (c)



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iv Details of 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
1	NIRJU HARDIK SHAH	AP01004801175001	INDIVIDUAL	APPROVED	717, ROTUNDA BUILDING, M S MARG, FORT.	MUMBAI	MAHARASHTRA	400001	Y	1
2	BHAILAL PREMJI GORI	AP01004801175095	INDIVIDUAL	APPROVED	717, ROTUNDA BUILDING, M S MARG, FORT.	MUMBAI	MAHARASHTRA	400001	Y	1
3	JIGAR RAMESH SHAH	AP01004801175360	INDIVIDUAL	APPROVED	717, ROTUNDA BUILDING, M S MARG, FORT.	MUMBAI	MAHARASHTRA	400001	Y	1
4	RAKESH UMANGILAL SHAH	AP01004801175599	INDIVIDUAL	APPROVED	A/5,5,SITANIVAS, PAINAGAR MANDPESHWAR ROAD, BORIVALI WEST.	MUMBAI	MAHARASHTRA	400092	Y	1

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5	AMISHA DADIA	AP01004801175522	INDIVIDUAL	APPROVED	B/204, GANGA VIHAR, C D BURFIWALA MARG, JUHU LANE, ANDHERI WEST,	MUMBAI	MAHARASHTRA	400058	Y	1
6	CHETAN ARVIND VYAS	AP01004801175103	INDIVIDUAL	APPROVED	303,SUBHLAXMI SOC, SHIV SENA LANE,STATION ROAFD, BHAYANDER-WEST,	THANE	MAHARASHTRA	401101	Y	1
7	PARAG JITENKUMAR SHAH	AP01004801175669	INDIVIDUAL	APPROVED	B-701, PREM KUNJ, OPP PARAM KESHAV BAUG, NAVROJI LANE, GHATKOPAR WEST.	MUMBAI	MAHARASHTRA	400086	Y	1
8	BHAVESH KESHAVLAL GANDHI	AP01004801175188	INDIVIDUAL	APPROVED	501, 5 TH FLOOR, RATAN JYOTI, SIMPOLI ROAD, BORIVALI WEST.	MUMBAI	MAHARASHTRA	400092	Y	1
9	ANAND MADHAVSINH KAPADIA	AP01004801175979	INDIVIDUAL	APPROVED	717, ROTUNDA BUILDING, M S MARG, FORT	MUMBAI	MAHARASHTRA	400001	Y	1
10	NEHAL RAJNIKANT CHANDURA	AP01004801175886	INDIVIDUAL	APPROVED	B/704,PADMAVATI PALACE, OPP. SHRI SAGAR HOTEL, L T ROAD, BORIVALI WEST.	MUMBAI	MAHARASHTRA	400092	Y	1
11	AAKASH PRAMODBHAI SHAH	AP01004801176015	INDIVIDUAL	APPROVED	717, ROTUNDA BUILDING, M S MARG, FORT	MUMBAI	MAHARASHTRA	400001	Y	1

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12	GOOLRUKH VISPI BUHARIWAL A	AP0100480117634 9	INDIVIDUAL	APPRO VED	148 ABBASI BLDG, 3RD FLOOR, P.B.MARG, CORNER OF GRANT ROAD, GRANT ROAD EAST.	MUMBA I	MAHARASHTR A	40000 8	Y	1
13	NILESH KANTILAL SHAH	AP0100480117616 6	INDIVIDUAL	APPRO VED	203, SNEHAL CO- OP SOC, CARTER ROAD NUMBER 5, BORIVALI EAST.	MUMBA I	MAHARASHTR A	40006 6	Y	1
14	VARSHA SHAH	AP0100480117614 8	INDIVIDUAL	APPRO VED	A 63, SHRUTI CHS, PLOT- NO198,SECTOR- 6,KANDIVALI WEST,CHARKOP MUMBAI.	MUMBA I	MAHARASHTR A	40006 7	Y	1
15	BHARAT B GOSALIA	AP0100480117633 0	INDIVIDUAL	APPRO VED	D-1401,CHOICE AMBE SAGAR CHS LTD, DR.RAJENDRA PRASHAD ROAD, OPP GNYAN SARITA SCHOOL, MULUND WEST.	MUMBA I	MAHARASHTR A	40008 0	Y	1
16	ABACUS MUTUAL	AP0100480117672 7	PARTNERSHIP FIRM	APPRO VED	RAHIMTOOLA HOUSE, 3RD FLOOR, 7 HOMJI STREET, FORT.	MUMBA I	MAHARASHTR A	40000 1	Y	1
17	PARESH JAYANTILAL SHAH	AP0100480117671 9	INDIVIDUAL	APPRO VED	FLAT NO-507, VIMAL SOCIETY, 5TH FLOOR 91, BANGANGA ROAD NEXT TO HINDISHALA WALKESHWAR.	MUMBA I	MAHARASHTR A	40000 6	Y	1

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List of Authorised Persons (AP) Cancelled by Members on Account of Disciplinary Reasons					
Sr. No.	Authorised Person's Name	Status	Authorised Person Cancellation Details		
NA	NA	NA	Date	Reason	