

### **Annexure A: Details of Mandatory display**

1. Publishing of Investor Charter as per Exchange circular no- NSE/ISC/50597 dated December 14, 2021 and NSE/ISC/52484 dated June 01, 2022 and display of Investor Grievance Escalation Matrix as per Exchange circular no- NSE/ISC/52517 dated June 03, 2022 and NSE/ISC/54332 dated November 09, 2022.
2. Basic details of the Trading Member such as registration number, registered address of Head office and branches along with Contact Number and Email id.
3. Names, Mobile number, Email id etc. of all Key Managerial Personnel provided under sec. 2(51) of the Companies Act, 2013-
  - a. The Chief Executive Officer or the Managing Director or the Manager
  - b. The Company Secretary
  - c. The Whole-Time Director
  - d. The Chief Financial Officer
  - e. Such other officer as may be prescribed.
  - f. The Compliance Officer
  - g. Further, the Trading Member can also identify and declare any one or more personnel as their KMP(s) from the given list as per their constitution: Directors, Proprietor, Partners, or any other competent personnel as identified by the Trading member.
4. Step-by-step procedures for below-
  - a. Detailed write up on procedure for opening an account along with Flowchart and video (optional) if any with link.
  - b. Detailed write up on procedure for filing a complaint on a designated email id & finding out status of the complaint etc. along with Flowchart and video (optional) if any.
5. Details of Authorized Persons-
  - a. List of Active Authorised persons to be displayed.
  - b. List of Authorised persons cancelled by the Trading Members on account of Disciplinary grounds.

**Annexure B: - Formats of Mandatory display**
**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
ULJK Financial Services Pvt. Ltd.	INZ0002529732	1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001	No	9122-66510110 / 66510111	customersupport@uljk.in

**Escalation Matrix:**

Details of	Contact Person	Address	Contact No.	Email Id
Customer care	Ashok Kadam	1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001	9967779678 / 022-66510139	customersupport@uljk.in
Head of Customer care				
Compliance Officer	Aditya Umesh Vora	1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001	9821551764 / 022-66510103	customersupport@uljk.in
CEO				

**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	Madhavi Umesh Vora	Managing Director & CEO	9821087776	madhavivora@uljk.in
2	Aditya Umesh Vora	Compliance Officer	9821551764	aditya.vora@uljk.in
3	Nilesh Mavani	Director	9833241938	customercare@@uljk.in
4	Ravikant Arvindkumar Shah	Director	9967850068	ravikant@uljk.in

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 and video if any (optional).
- 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.
- 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).

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2. Basic details of the Trading Member such as registration number, registered address of Head office and branches along with Contact Number and Email id.

Stock Broker Name	Registration Number	Registered Address	Branch Address (if any)	Contact Number	Email id
ULJK Financial Services Pvt. Ltd.	INZ0002529732	1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001	No	9122-66510110 / 66510111	customersupport@uljk.in

3. Escalation Matrix:

Details of	Contact Person	Address	Contact No.	Email Id
Customer care	Ashok Kadam	1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001	9967779678 / 022-66510139	customersupport@uljk.in
Head of Customer care				
Compliance Officer	Aditya Umesh Vora	1119/1120, Stock Exchange Towers, Dalal Street, Fort, Mumbai - 400 001	9821551764 / 022-66510103	customersupport@uljk.in

Sr. No.	Name of the Individual	Designation	Mobile Number	Email Id
1	Madhavi Umesh Vora	Managing Director	9821087776	madhavivora@uljk.in
2	Aditya Umesh Vora	Compliance Officer / Director	9821551764	aditya.vora@uljk.in
3	Nilesh Purshottam Mavani	Director	9833241938	customersupport@@uljk.in
4	Ravikant Arvindkumar Shah	Director	9967850068	ravikant@uljk.in

**iv. Details of Authorized Persons**

List Of Authorized Persons (AP)										
Sr. No	Authorized Person's Name	Authorized 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	NIL									
2										
3										
4										
5										

List of Authorized Persons (AP) Cancelled by Members on Account of Disciplinary Reasons				
Sr. No.	Authorized Person's Name	Status	Authorized Person Cancellation Details	
			Date	Reason
1	NIL			
2				
3				
4				

### Annexure C: - FAQs

**1. What are the various guidelines related to this circular?**

SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/30 dated February 15, 2023 on Maintenance of a website by stock brokers and depository participants and SEBI/HO/MIRSD/DOP/P/CIR/2021/676 dated December 02, 2021 on Publishing Investor Charter and disclosure of Investor Complaints by Stock Brokers on their websites.

**2. When will the circular come into effect?**

The provisions of this circular shall come into effect from August 16, 2023.

**3. What is the last date to comply with the circular and report to the Exchange?**

The last date to comply with the circular and report to the Exchange is within a week of this circular coming into effect i.e., August 24, 2023.

**4. Which Trading Members are exception to this circular?**

This circular is applicable to the Trading Members dealing in clientele business (i.e., clients mapped to them). The same is not applicable to the Trading Members dealing in Proprietary trading or Institutional Business with no client base.

**5. Are there any additional guidelines on the URL to the website?**

The URL provided should directly take to the main website of the Trading Member. In case the Trading Member is a subsidiary company, the website should be in the name of the Trading Member and not the Parent company.

**6. What is the frequency of the updation of details on the website?**

The details displayed on the website should be updated at all points in time.

**3. Step-by-step procedures for below-**

- a. Detailed write up on procedure for opening an account along with Flowchart and video (optional) if any with link.
- b. Detailed write up on procedure for filing a complaint on a designated email id & finding out status of the complaint etc. along with Flowchart and video (optional) if any.

**4. Details of Authorized Persons-**

- a. List of Active Authorised persons to be displayed.
- b. List of Authorised persons cancelled by the Trading Members on account of Disciplinary grounds.