

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
Aum Capital Market Pvt Ltd	SB : INZ00018543 1 DP: IN-DP-647-2021	226/1, AJC Bose Road, 3rd Floor, Trinity, Unit no. 3G, Kolkata - 700020	SUITE 2B UPPALSM6, JASOLA DIST.CENTRE JASOLA PRATAP VIHAR Delhi DELHI 110025	033-44572219, 40572212, 40572230	helpdesk@aumcap.com & depository@aumcap.com
			B 502 BUSINESS SQR, ANDHERI KURLA ROAD SOLITAIRE CORPORATE PARK ANDHERI EAST Mumbai MAHARASHTRA 400093		
			Parsun Arcade, Office No5, 2nd floor Survey No 4747, Pimpri DECCANGYMKHAN A Pune MAHARASHTRA 411004		
			UNIT NO 206A, PRESTIGE MERIDIAN II, NO 30 MG ROAD MG ROAD Bangalore KARNATAKA 560001		
			MOUNT CHAMBERS , 2ND FLOOR, DOOR D, OLD NO 758, ANNA SALAI CHENNAI Chennai TAMIL NADU 600002		
			INSIDE RATANLALL SURAJMULL COMPOUND, MAIN ROAD HINDPIRI Ranchi JHARKHAND 834001		

Names and contact details of all Key Managerial Personnel including the Compliance Officer

Sr. No	Name of individual	Designation	Mobile no.	Email id
1	Mr. Dinesh Kumar Jain	Managing Director	033-40572101	dinesh@aumcap.com
2	Mr, Aditya Vikram Choudhary	Whole Time Director	033-40572131	aditya.choudhary@aumcap.com
3	Mr. Vaibhav Jain	Executive Director	033-40572102	vaibhav@aumcap.com
4	Mr. Chandra Kumar Jain	Compliance Officer (For Trading)	033-40572219	ck.jain@aumcap.com
5	Mr. Mrinal Kanti Das	Compliance Officer (For DP)	033-40572230	mrinal.das@aumcap.com

How to Open Account:

1. Fill-in the lead details to Open Demat account. Enter the verification code received on the registered mobile number to verify your mobile number.
2. Enter your PAN.

As per the regulations, for opening of a new account the linking of Aadhaar with PAN is mandatory. You can click on this URL to link- <https://eportal.incometax.gov.in/iec/foservices/#/pre-login/bl-link-aadhaar>

3. Use your Aadhaar & verify the personal and address information that has been fetched from Digilocker. If you don't wish to pull information from Digilocker, you can continue to fill out the form manually.
4. Enter your bank information, choice of nominations and continue to upload other supporting documents
5. Verify your mobile no. and Email ID by entering the OTP.
6. Submit FATCA declaration and Personal details.
7. Upload your live photo and signature.

Ensure Camera and Location access is granted.

8. Complete your request by eSigning through Aadhaar based OTP verification.
9. On successful verification, your Demat Trading account will be activated!

KYC Registration Authority (KRA) verifies the KYC records as per SEBI directions along with validation of Mobile and Email by sending OTP.

You will receive an account opening confirmation over your registered email with your account details upon successful verification.

*** Alternatively, you can submit your physically filled account opening form at one of our nearest AUM Capital's office / branch.**

Link to video - <https://www.youtube.com/watch?v=hkSJo7LMj3A>

Support email ID – enquiry@aumcap.com

Procedure for filing a complaint on a designated email id

The register of complaints is centrally maintained. The Company has a dedicated Customer Care Team to monitor & redress complaints lodged by clients through mail to Customer Care Team where they are redressed on online basis. If the complaint is not resolved at this level, then it is forwarded to Compliance Department. The pending investor complaints and redressal at this level is monitored by the compliance officer. The analysis of such complaints is done by the management and preventive measures are taken and implemented.

- The Company has designated an exclusive e-mail ID to enable the investors to register their complaints and such ID has been displayed on the company's website and printed on KYC Form, statements, Welcome kit etc.
- 1. The company has a designated investor grievances email id helpdesk@aumcap.com on which the client or investor can make a complaint.
- 2. The company has a designated Customer Care / Investor Care telephone no. 033-40572219, 40581637 on which the client or investor can make a query / complaint.
- 3. Designated person shall login the designated investor grievances email id on daily basis to look after the investor complaint and revert timely with information about the status of the complaint.
- 6. The full detail of the complaint must be passed to the concerned department and inform the compliance officer of the company as soon as it is received.
- 7. Compliance Department will obtain all information available on the complaint which is considered necessary for a proper investigation. Look into all the necessary information and resolve the as soon as possible.
- 8. There is standing policy of the company to resolve the investor complaint within prescribed time of the receipt of the same expect the complicated case.
- 9. A serious complaint (where the written response does not settle the issue) must be referred to the director of the company.
- 10. The Compliance Officer of the Company shall review the investor complaint register on regular basis to find out whether complaint has been resolved within time or not.
- 11. The Designated Director / MD of the Company shall review the redressal of investor complaint on regular basis to find out whether complaint has been resolved within time or not.
- 12. Board of the Company shall review the redressal of investor complaint on fortnightly or in immediate next meeting, whichever is earlier.

CUSTOMER CARE DEPARTMENT

Aum Capital Market Pvt Ltd
 226/1, AJC Bose Road, 3rd Floor, Unit no. 3G, Trinity, Kolkata – 700020
 Contact Person : Mr. Chandra Kumar Jain, Compliance Officer
 Contact no.033-40572219, 40581637
 Email id: helpdesk@aumcap.com

For Trading and DP and For Investor Grievance please mail to: helpdesk@aumcap.com

FLOWCHART/ ESCALATION MATRIX FOR GRIEVANCE HANDLING

For Trading

Details of	Contact Person	Address	Contact No	Email id	Working Hours (Monday to Friday)
Customer Care(Client Servicing)	Mr. Prakash Kejriwal	226/ 1 AJC Bose Road, Trinity, Unit No. 2G, 2 ND Floor, Kolkata-700020	033-40572231	prakash.kejriwal@aumcap.com	9.15 AM to 5.30PM
Head of Customer Care	Mr. Pankaj Kumar Jain	226/ 1 AJC Bose Road, Trinity, Unit No. 3G, 3 RD Floor, Kolkata-700020	033-40581650	pankaj.jain@aumcap.com	9.15 AM to 6.30PM
Compliance Officer	Mr. Chandra Kumar Jain	226/ 1 AJC Bose Road, Trinity, Unit No. 3G, 3 RD Floor, Kolkata-700020	033-40581637, 033-40572219	ck.jain@aumcap.com	10.30 AM to 6.30PM
Designated Director	Mr. Aditya Vikram Choudhary	226/ 1 AJC Bose Road, Trinity, Unit No. 6E, 6 th Floor, Kolkata-700020	033-40572131	Aditya.choudhary@aumcap.com	10.30 AM to 6.30PM

For Depository Participants services

Details of	Contact Person	Address	Contact No	Email id	Working Hours (Monday to Friday)
Client Servicing	Mr. Prodip Chowdhury	226/ 1 AJC Bose Road, Trinity, Unit No. 2G, 2 ND Floor, Kolkata-700020	033-40572210	prodip.chowdhury@aumcap.com	9.15 AM to 5.30PM
Head of Client Servicing	Mr. Ashis Das	226/ 1 AJC Bose Road, Trinity, Unit No. 2G, 2 ND Floor, Kolkata-700020	033-40572209	ashis.das@aumcap.com	9.15 AM to 6.30PM
Compliance Officer	Mr. Mrinal Kanti Das	226/ 1 AJC Bose Road, Trinity, Unit No. 2G, 2 ND Floor, Kolkata-700020	033-40572230	mrinal.das@aumcap.com	10.30 AM to 6.30PM
Designated Director	Mr. Aditya Vikram Choudhary	226/ 1 AJC Bose Road, Trinity, Unit No. 6E, 6 th Floor, Kolkata-700020	033-40572131	Aditya.choudhary@aumcap.com	10.30 AM to 6.30PM

In absence of response/ complaint not addressed to your satisfaction, you may lodge a complaint with CDSL at <https://www.cdslindia.com/Footer/grievances.aspx> or with NSDL at <https://www.epass.nsdl.com/complaints/websitecomplaints.aspx> or Approach the Stock Exchange using the grievance mechanism mentioned at the website of the respective exchange as below

For BSE : <https://bsecreg.bseindia.com/ecomplaint/frmInvestorHome.aspx>

For NSE : <https://investorhelpline.nseindia.com/NICEPLUS/>.

For MCX : <https://www.mcxindia.com/Investor-Services>

or SEBI at <https://scores.gov.in/scores/Welcome.html> .

Please quote your Service Ticket /Complaint Ref No. while raising your complaint at SEBI SCORES/ Depository portal/ Exchange Portal

iv. Details of Authorized Persons:

Sr. No	Authorised Person's Name	Authorised Persons Code (Exchange Wise)	Registered Address	Status	Constitution	Terminal Details (Exchange Wise)	
						Terminal Allotted (Y/N)	No. of Terminals
1	Anand Kumar Shah	NSE CM- AP2030000041 NSE FO- AP2030000041 BSE AP01318001103711	71/A/3 ALIPORE ROAD, KOLKATA	Approved	Individual	Yes	1+1
2	Ankush Dhyawala	CM- AP2030000051 FO- AP2030000051	PRASAD RESIDENCY, 3RD FLOOR, ALIPORE PARK ROAD, KOLKATA	Approved	Individual	YES	1+1
3	Saurabh Barjatiya	CM- AP2030000061 FO- AP2030000061	4-1- 1240/B/4/1GROUND FLOOR KING KOTI ROAD NEAR SLATE SCHOOL, HYDERABAD	Approved	Individual	NO	0

List of Authorised Persons (AP) NSE & BSE- Cancelled by Members on Account of Disciplinary Reasons

Sr. No.	Authorised Person's Name	Status	Authorised Person Cancellation Details	
			Date	Reason
1	NIL	NIL	NIL	NA