

# National Stock Exchange of India

## FORMAT 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

Escalation Matrix:

Details of	Contact Person	Address	Contact No.	Email Id
Customer care				
Head of Customer care				
Compliance Officer				
CEO				

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

Sr. No.	Name of the Individual	Designation	Contact Number	Email Id
1				
2				
3				

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.

- Detailed write up on the procedure for opening an account along with Flowchart and video if any (optional).
- 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.
- 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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### iv. Details of Authorized Persons

List Of Authorised Persons (AP)										
Sr · No	Authorised Person's Name	Authorised Person Code (Exchange wise)	Constitut ion	Status	Registered Address				Terminal Details (Exchange Wise)	
				(Approved / Cancelled)	Add	City	State	Pin code	Terminal Allotted (Y/N)	No. of Terminals
1										
2										
3										
4										
5										

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
1				
2				
3				
4				