

**i. Basic Details of the Stock Broker:**

<b>Stock Broker Name</b>	<b>Registration Number</b>	<b>Registered Address</b>	<b>Branch Address</b>	<b>Contact Number</b>	<b>Email ID</b>
Divya Capital One Private Limited	INZ000183738	Commercial Unit No. 510/511/511A, 5th Floor ,Dalal Street Commercial Co-Operative Society Ltd, Xchange Plaza Block No.-53, Building No. 53E, Zone-5, Road 5E, Gift City Gandhinagar, Gandhi Nagar 382355	2 <sup>nd</sup> Floor, Plot No.-VC-1, Prime Plaza, Sector-3, Vaishali, Ghaziabad, Uttar Pradesh-201010	0120-4229945	Compliance1@divyacapitalone.com

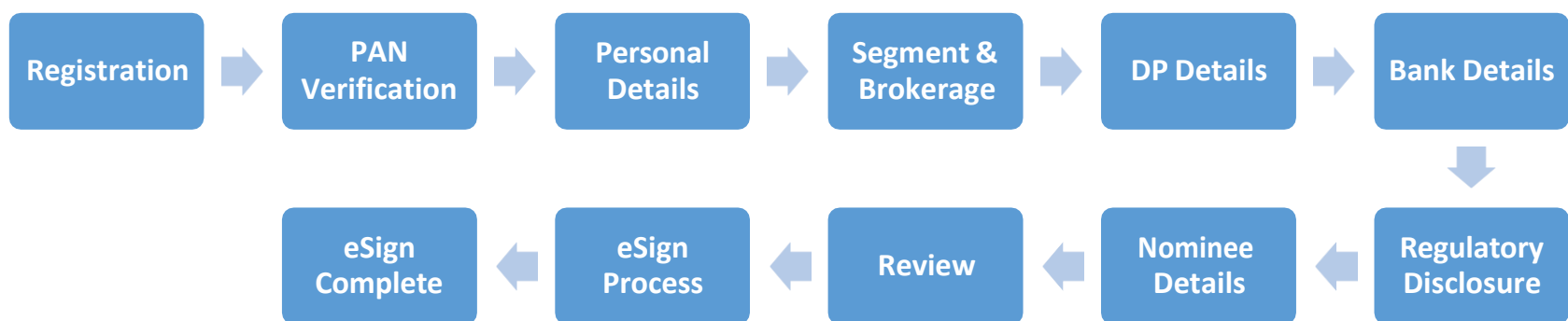
**Escalation Matrix:**

<b>Details of</b>	<b>Contact Person</b>	<b>Address</b>	<b>Contact No.</b>	<b>Email ID</b>
Customer Care	Mr. Umesh Rai	Plot No VC-1 Prime Plaza Sec-3 Vaishali Ghaziabad-201010	0120- 4229945	cdsl@divyacapitalone.com
Head of Customer Care	Mr. Amit Raj Bisht	Plot No VC-1 Prime Plaza Sec-3 Vaishali Ghaziabad-201010	0120-4229946	dp@divyacapitalone.com
Compliance Officer	Mr. J L Sharma	Plot No VC-1 Prime Plaza Sec-3 Vaishali Ghaziabad-201010	0120-4229947	Compliance1@divyacapitalone.com
CEO/Director	Mr. Sushil Kumar Jain	Plot No VC-1 Prime Plaza Sec-3 Vaishali Ghaziabad-201010	0120-4112588	skjain@divyacapitalone.com

**ii. Names and Contact Details of all Key Managerial Personnel including Compliance Officer:**

S.no.	Name of the Individual	Designation	Mobile Number	Email ID
1	Mr. Ashok Kumar Dugar	Whole-time Director	9818272255	akd@divyacapitalone.com
2	Mr. Sushil Kumar Jain	Whole-time Director	9818153725	skjain@divyacapitalone.com
3	Ms. Haritima Singh	Company Secretary	8303238547	cs@divyacapitalone.com
5	Mr. Jankilal Sharma	Compliance Officer	9899274576	Compliance1@divyacapitalone.com

**iii. Step by step procedure for opening an account, filing a complaint on designated email ID, and finding out the status of complaint**



**a. Procedure for opening an account**

**Registration Page:**

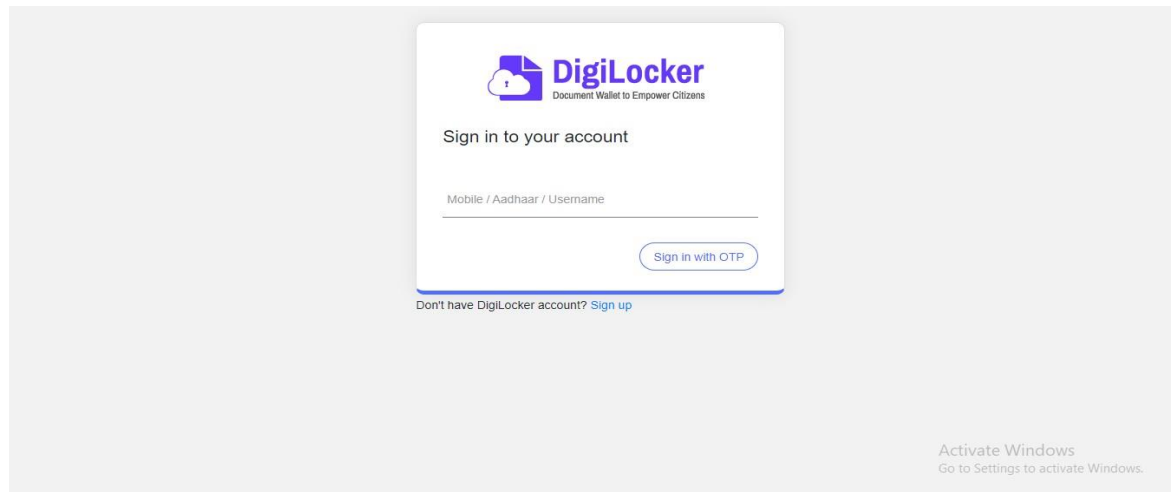
- Client need to register by entering their respective Email Id and Mobile Number.
- On clicking “Send OTP” the Divya Capital One will send first 3 digit of OTP to Mobile Number and next 3 digits to Email ID in order to verify the Mobile Number and Email ID entered by client only if Divya Capital One is willing to verify both or else it will send 6 digit OTP to mobile number and email id.
- Here on sending OTP Divya Capital One will also check with its back office whether the entered mobile no and email id is already exist or not. If exist, then client will be given option to select the relation to open another form with Divya Capital One.
- If in the case OTP is not received after 60 second client can click on “Resend OTP” to send the OTP again.
- If the OTP entered by the client is invalid system throws message saying that the “OTP is invalid”. Client can re-enter the OTP or else can wait for 60 seconds and click on “Resend OTP”.
- If the client is processing for the first time with Divya Capital One, then the relation will be considered as “SELF” by default.

- If the client wishes to process another form with same mobile and email id then client need to select relation like Spouse, Dependent Parent's and Dependent Children's.
- There should be unique combination of mobile number and email id both for relation's Spouse, Dependent Parent's and Dependent Children's or else it will be considering as self by default.
- In case if the client has filled the form before and has discontinued in between then he can proceed forward by clicking "Resume Here" where he can enter his PAN Number and OTP will be sent to the mobile number which is used while filling the form.

#### **PAN Verification:**

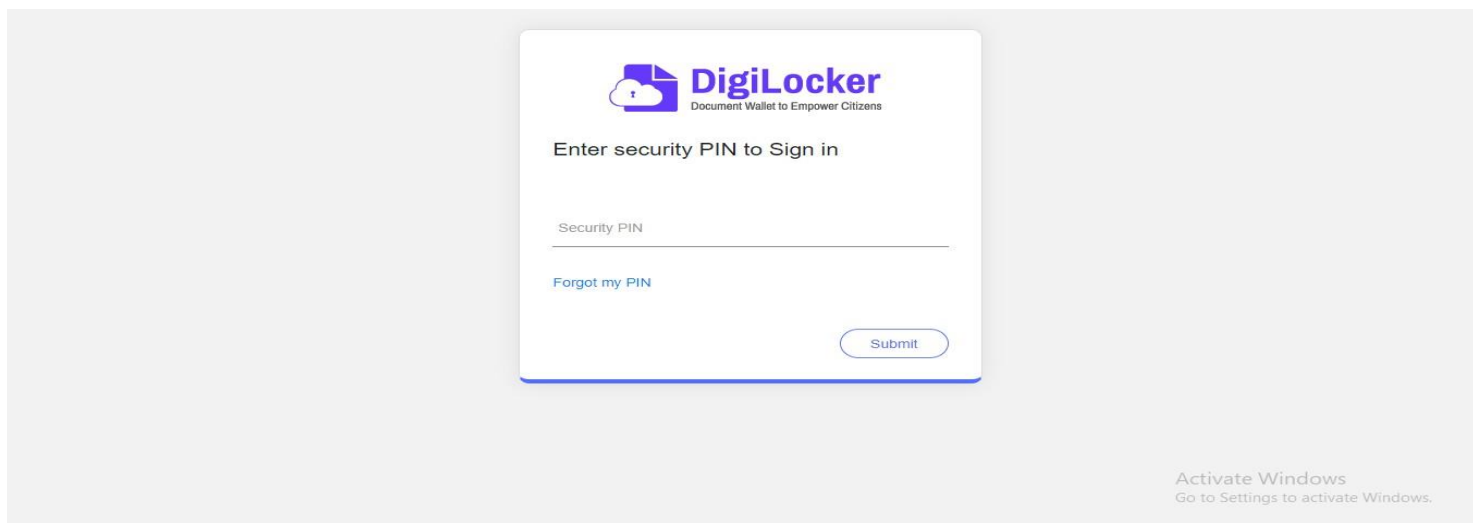
- Next processes after mobile and email verification is "PAN Verification" where the client has to enter his PAN Number which will be verified from the "Income Tax Site" and name will display accordingly. Even client can cross verify name accordingly.
- Once the PAN Number is verified the data of birth will be enabled.
- In case entered pan is invalid then the system throws a message saying that "Invalid PAN".
- The system will allow only to open account for 18+.
- Once the "Date of Birth" is entered client can proceed forward to upload pan proof and on clicking "Submit" the system will check -
- If the client is KRA verified or not. If Yes, then data will be fetched from KRA or else
- Client will be given with two option either to fetch data from Digilocker or to fill form Manually and proceed further.

#### **Digilocker Process: -**



When client opts Digilocker he will be given with option either to enter Mobile/Aadhaar/Username and click on “Sign in with OTP”

- The **OTP** will be sent to the mobile number which is linked with **UIDAI**.
- The client can even **Resend OTP** after 30 second.



- Digilocker will validate the OTP entered by the client and on success it will take to next process where client has to enter “**PIN**” to sign in and click on submit for next process.
- If client doesn’t have account associated with Digilocker then that case, he need to create 6-digit pin.
- If client’s account is already associated with Digilocker and he has forgotten the pin, there is also option saying that “**Forgot my PIN**” were he can click on it and reset the pin accordingly.
- Once the client clicks on submit a new panel will be opened in front of the client where it till ask the permission from the client to fetch data or not.
- On providing the permission data will be fetched and it will be displayed in front of client. And clicking on Ok client can proceed further.

#### **Personal Details:**

- The next process after PAN verification is “**Personal Details**” where client name will be prefilled as per “**Income Tax Site**” and it’s non editable.

- Here if the data of client is fetched from **KRA**, details will prefill in this page and client has to only select the prefix.
- If the data of client is fetched from **Digilocker**, few details will prefill in this page and client has to select the prefix, marital status and enter the father name.
- In case if client is willing to change address then it's possible in **KRA** mode and not possible in case of **Digilocker** and the mode will be changed to **Manual**.
- In case of manual client has to fill all the details.
- Next in case of **KRA** and **Digilocker** there is no need of upload the address proof and in case of manual client can select address type and upload proof accordingly and proceed next.

#### **Segment & Brokerage:**

- After personal details its "Segment" selection where client can select segment of his wish and brokerage will be applicable accordingly.
- In case if the client selects FNO, Currency or Commodity in then he needs to upload financial document or else there is no need of it and he can proceed further.

#### **DP Details:**

- Once segment selection is done the next process is "DP Details" where Yes will be selected by default.
- In case of **Yes** client need to select DP type and scheme and upload signature proof and proceed further.
- In case if client willing to select **No** then he need to enter DPID and upload DP proof (like DP holding) and proceed further.
- While uploading signature proof client is given with the option of cropping were he can crop the document and upload.

#### **Bank Details:**

- After DP Details next process is "**Bank Details**"
- Here Client needs to enter the IFSC and on the basis of **IFSC** entered **MICR** will be fetched.
- If **MICR** is incorrect he can change accordingly and enter Account no and upload bank proof and proceed Further.
- On clicking next "**Bank Verification**" is done by the system. If the bank is verified, then client name will be displayed in front of client i.e. only 20 character or else it will be moved further.
- In case if bank verification is failed client can retry to verify the same bank again or else change bank details and verify again.

### **Regulatory Disclosure:**

- Next Process is “**Regulatory Disclosure**” where client need to select occupation, education, annual income, **PEP** state and proceed further.
- **Live Photo:**
- After Regulatory Disclosure process next is “**Live Photo**” where client needs to capture his Live Photo and **Geo-tagging** is captured accordingly.
- If client is filling form from laptop or has web cam attached to his system, he can capture his live photo directly.
- In case if the system doesn’t have camera then the link will be sent to email registered from where he can click on link and capture live photo from mobile or tab.
- In case of RM is filing form then link will received by the client on the email registered. And by using link received he can capture live photo.

### **Nominee Details:**

- After capturing Live Photo, the next process is “**Nominee Details**”. Here client is given with 2 options **YES** or **NO**.
- In case if client selects **YES** then client need to fill nominee name, Aadhaar number, relationship, date of birth and pan number is optional and upload nominee proof and proceed further.
- In case of nominee is minor then client needs to enter guardian details and upload guardian proof and proceed further.
- In case if client selects nominee **NO** then he can proceed further to next step.

### **Review:**

- After filling all details client can view and edit his details on “**Review**”
- Client Code and 16 Digit Demat Account Number which is unique will be allocated to the client as per the logic of the firm.
- Client Code and Demat Account Number will be allocated only in case if client opted Demat plus Trading Account.
- Only Client Code is allocated when only Trading Account is opted.
- Only Demat Account Number will be allocated when only Demat Account is opted.
- In case of Digilocker and manual the Aadhaar Number will be obtained on the same page.

- And where else in case of KRA client need to enter 12 digit Aadhaar number.
- Here there is also a “Consent” stating that client has no past SEBI action and Where FATCA will No by default.
- Client can proceed forward only after selecting the “Consent” to eSign.

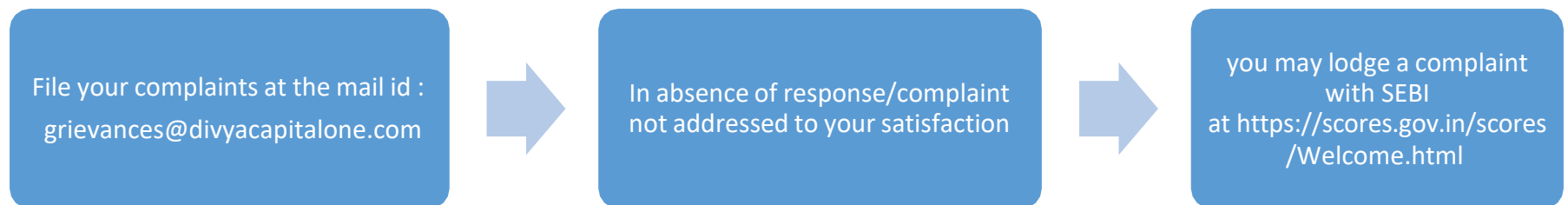
**eSign Process:**

- On Clicking “ESIGN” a panel will open in front of client.
- The panel which is opened is inter mediatory panel of the eSign vendor i.e. Digio, Leegality, True Copy and then redirected to NSDL site.
- In case of NSDL eSign it will redirect directly to NSDL site.
- On NSDL site client has to enter 12 Digit Aadhaar or VID i.e. Virtual ID and click on Send OTP.
- OTP will be sent on mobile registered with UIDAI site.
- After 60 second client gets option of “Resend OTP”.
- In Case of invalid OTP 3 attempts are given and after 3 failed attempt they need to send new request again and follow the same process.

**eSign Complete:**

- Finally, the process is completed where client can download eSigned pdf on clicking “Download KYC Form” and also copy of signed pdf is sent to client via mail at the same time.
- “HERE STARTS THE TRADING JOURNEY WITH THE FIRM ONE STEP CLOSER TOWARDS INVESTMENT”

**Filing and tracking a Complaint on Designated Email ID**



- Clients are required to mail their complaints at [grievances@divyacapitalone.com](mailto:grievances@divyacapitalone.com)
- Clients can track their complaints at the mail ID [grievances@divyacapitalone.com](mailto:grievances@divyacapitalone.com)
- In absence of response/complaint not addressed to your satisfaction, you may lodge a complaint with SEBI at SCORES (<https://scores.gov.in/scores/Welcome.html>) or Exchange at NICEPLUS, eComplaint Investors Portal, Investor Grievance Redressal System (IGRS).
- Please quote your Service Ticket/Complaint Ref No. while raising your complaint at SEBI SCORES/Exchange portal.

**iv. Details of Authorized Persons (APs)**

**List of Authorized Persons (AP)**

S. No.	Authorized Person's Name	Authorized Person's 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	WN WINTERFELL	AP2141000072	Partnership	Approved	KH No 5/2 6/1 G/F Kishan Garh, Bihind D-2 Vasant Kunj	New Delhi	Delhi	110070	N	0

**List of Authorized Persons Cancelled by Members in account of Disciplinary Reasons: NIL**