

i. Basic Details of the Stock Broker:

Stock Broker Name	Registration Number	Registered Address	Branch Address	Contact Number	Email ID
RS Wealth Management Private Limited	For Stock Broker INZ000009936	606, Pearls Best Heights – li, Plot No C-9, Netaji Subhash Place, Pitampura, Delhi- 110034	609, Pearls Best Heights – li, Plot No C-9, Netaji Subhash Place, Pitampura, Delhi- 110034	011-47033197	customercare@rswealth.in info@rswealth.in
	For DP : IN-DP-434-2019		611, Pearls Best Heights – li, Plot No C-9, Netaji Subhash Place, Pitampura, Delhi- 110034		

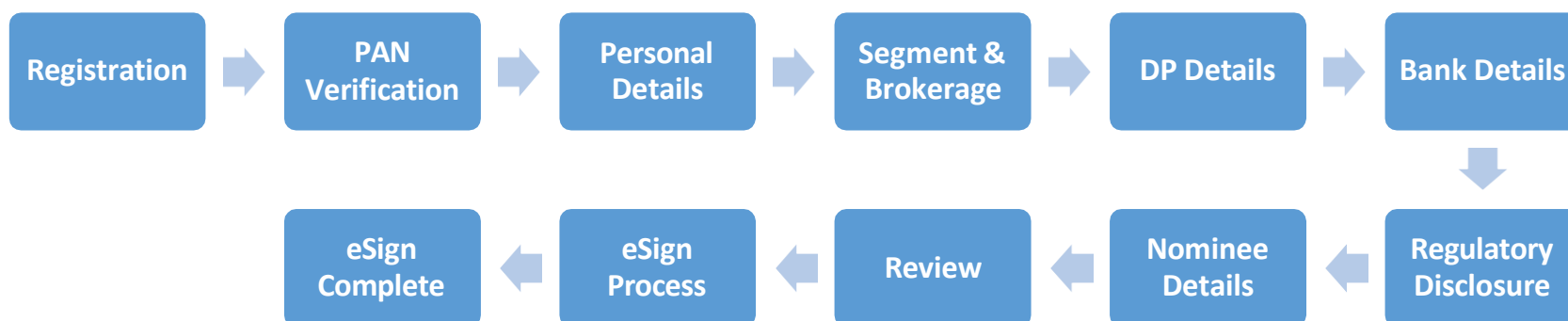
Escalation Matrix:

Details of	Contact Person	Address	Contact No.	Email ID
Customer Care	Mr. Kamal Kishore Sharma	606, Pearls Best Heights – li, Plot No C-9, Netaji Subhash Place, Pitampura, Delhi- 110034	011-47033197	customercare@rswealth.in
Head of Client Servicing	Mrs. Harpreet Kaur	606, Pearls Best Heights – li, Plot No C-9, Netaji Subhash Place, Pitampura, Delhi- 110034	011-47033202	neetuarora@rswealth.in
Compliance Officer	Mrs. Neetu Arora	606, Pearls Best Heights – li, Plot No C-9, Netaji Subhash Place, Pitampura, Delhi- 110034	9810920605	compliance@rswealth.in
CEO	Mr. Punit Arora	606, Pearls Best Heights – li, Plot No C-9, Netaji Subhash Place, Pitampura, Delhi- 110034	011-47033198	punitarora@rswealth.in

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. Punit Arora	Managing Director	9818886181	punitarora@rswealth.in
2	Mrs. Neetu Arora	Director/Compliance Office	9318359198	neetuarora@rswealth.in
3	Mrs. Harpreet Kaur	Head of Client Servicing	9810282765	customercare@rswealth.in
4	Mrs. Neetu Arora	Compliance Office (Stock Broking & DP)	9318359198	compliance@rswealth.in
5	Mr. Vijay Dabi	Compliance Manager	9810920605	compliance@rswealth.in

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:

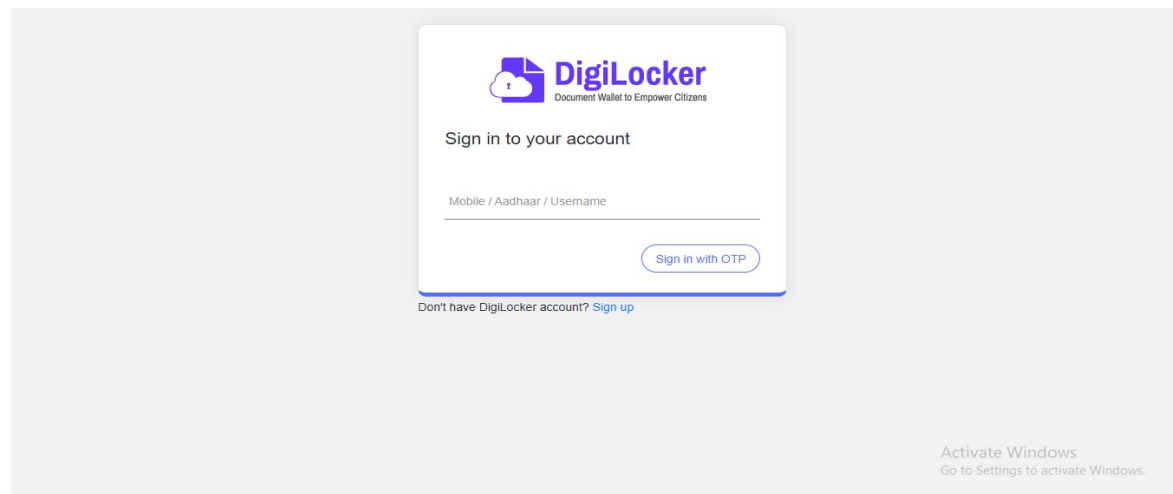
- Client need to register by entering their respective Email Id and Mobile Number.
- On clicking “Send OTP” the RS Wealth Management Private Limited will send first 3 digit of OTP to Mobile Number and next 3 digits to Email ID in order to verify the Mobile Number and Email ID entered by client only if RS Wealth Management Private Limited is willing to verify both or else it will send 6 digit OTP to mobile number and email id.
- Here on sending OTP RS Wealth Management Private Limited 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 RS Wealth Management Private Limited.
- 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 RS Wealth Management Private Limited, 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:

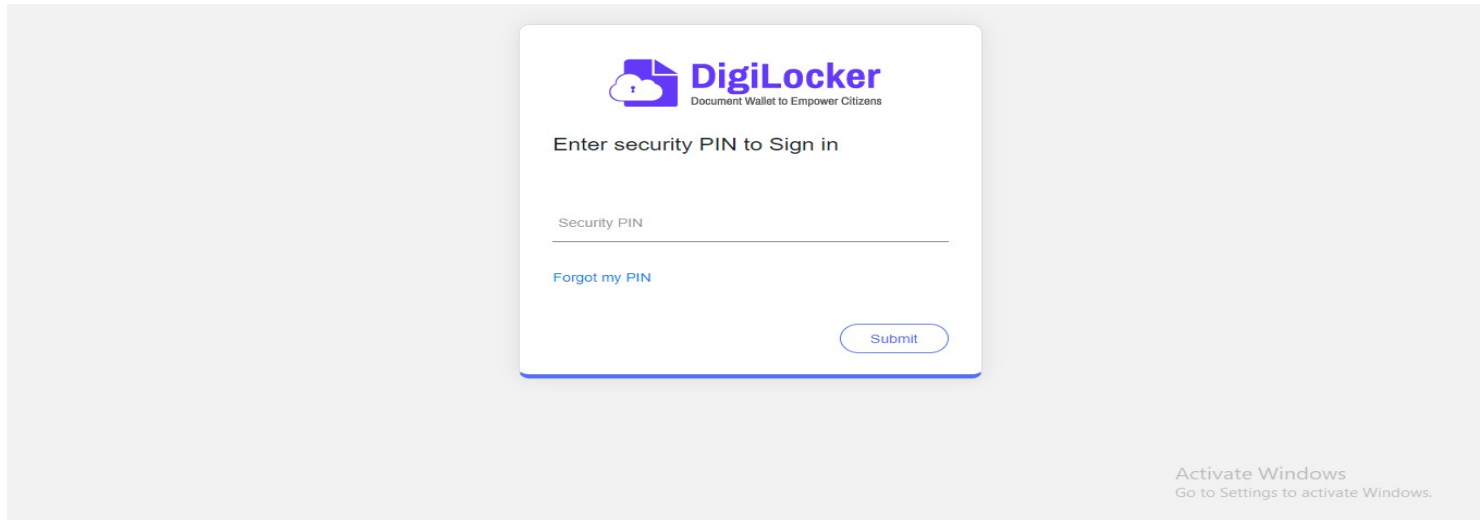
- Next processes after mobile and email verification is "PAN Verification" where the client has to enter his PAN Number which will be verified from the "Income Tax Site" and name will display accordingly. Even client can cross verify name accordingly.
- Once the PAN Number is verified the data of birth 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.

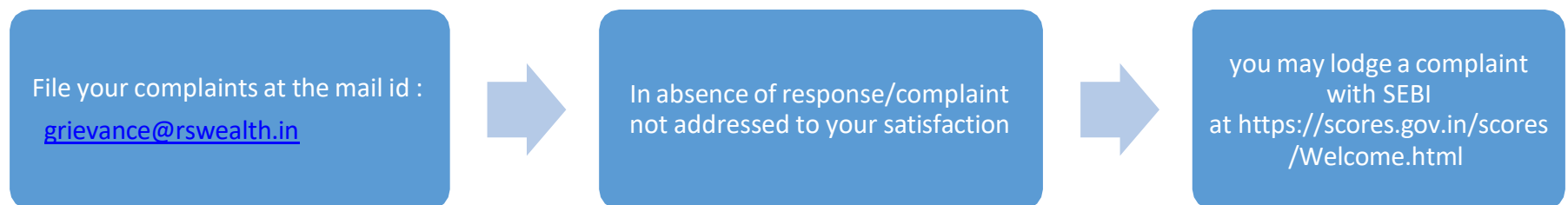
eSign Process:

- 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 grievance@rswealth.in
- Clients can track their complaints at the mail ID grievance@rswealth.in
- 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 Authorised Persons (AP)										
Sr. No	Authorised Person's Name	Authorised Person Code (Exchange wise)	Constitution	Status	Registered Address				Terminal Details	
				(Approved / Cancelled)	Add	City	State	Pin code	Terminal Allotted (Y/N)	No. of Terminals
1	Jitendra Kumar	AP3028000011 (NSE) AP2019011789267 (BSE)	Individual	Approved	H No -222 Gali No-3 Roshan Vihar , East Sadat Pur Karawal Nagar	Delhi	Delhi	110094	N	0
2	Soni	AP3028000031 (NSE)	Individual	Approved	H No 797 Ward No 32 Shivaji Colony	Rohtak	Haryana	124001	N	0
3	Lalit Kumar	AP3028000041 (NSE) AP20190710100443 (BSE) NW-201907221137000054 (MCX)	Individual	Approved	Side Office Adjacent Pioneer Park, Rajesh Pilot Chowk Sector 61	Gurgaon	Haryana	122002	N	0
4	Mohit Kadian	AP3028000051 (NSE) AP2019061398957 (BSE)	Individual	Approved	H No 300/26 Gali No 5	Bahadurgarh	Haryana	124507	N	0
5	Manjit Singh	AP3028000061 (NSE) AP20190731101737 (BSE) NW-201908011207000042 (MCX)	Individual	Approved	Flat No 62 B Navyug Adarsh Apartments Vikas Puri	Delhi	Delhi	110018	N	0
6	Abhishek Goyal	AP3028000071(NSE) NW-201910141035000010 (MCX)	Individual	Approved	Rajmahal Complex Railway Road Near Ho Post Office	Kurukshetra	Haryana	136118	N	0
7	Sahil Dhingra	AP3028000081 (NSE)	Individual	Approved	H No A 903 Majestic Appartment Plot No 3 Sector 18 Dwarka Sector 6	Delhi	Delhi	110078	N	0

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Sr. No	Authorised Person's Name	Authorised Person Code (Exchange wise)	Constitution	Status	Registered Address				Terminal Details	
				(Approved / Cancelled)	Add	City	State	Pin code	Terminal Allotted (Y/N)	No. of Terminals
					Delhi Cantonment					
8	Sumriti Jain	AP3028000101 (NSE) AP20200416107665 (BSE) NW-202004161137000026 (MCX)	Individual	Approved	75 Veer Nagar Jain Colony	Delhi	Delhi	110007	N	0
9	Anjali Gupta	AP3028000111 (NSE) AP20200811109082 (BSE) NW-202008060400000031 (MCX)	Individual	Approved	Plot No 661A/661B Gaushala Road Najafgarh	Delhi	Delhi	110043	N	0
10	Neha Sharma	AP3028000121 (NSE) AP20210427117180 (BSE) NW-202104270144000020 (MCX)	Individual	Approved	Office No - 105 Itl Twin Tower, Plot No. B-09 Netaji Subhash Place, Pitampura	Delhi	Delhi	110034	N	0
11	Sushil Kumar Mishra	AP3028000131 (NSE) AP20210917121478 (BSE)	Individual	Approved	R-3, Jagmohan Dubey Chawal Subhash Nagar, Subhash Road Behind Satellite Bldg, Jogeshwari East	Mumbai	Maharashtra	400060	N	0
12	Prakash Kumar Choudhary	AP2018021077974 (BSE)	Individual	Approved	Vill -Panchobh Post -Panchobh Ps Vishanpur, Darbhanga ,	Panchobe	Bihar	846003	N	0
13	Kiran Lata	AP2019010484810 (BSE)	Individual	Approved	Plot No.487, First Floor, Sector-19 Dwarka	Delhi	Delhi	110075	N	0
14	Tushar	AP3028000141 (NSE) AP20220121125822 (BSE) NW-202201210446000004 (MCX)	Individual	Approved	G.T. Road Opposite Old Police Station Samalkha Teh. Samalkha	Panipat	Haryana	13210	N	0

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				(Approved / Cancelled)	Add	City	State	Pin code	Terminal Allotted (Y/N)	No. of Terminals
15	Shailender Madan	AP3028000161 (NSE) AP01661601146402 (BSE)	Individual	Approved	358 First Floor, Atsun Floors, Sector 37, HI City, Bahadurgarh	Jhajjar	Haryana	124507	N	0
16	Japesh Budhiraja	AP3028000151 (NSE)	Individual	Approved	Wz-1350 Upper Ground Floor Rani Bagh	Delhi	Delhi	110034	N	0

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

Sr. No	Authorised Person's Name	Status	Authorised Person Cancellation Details	
			Date	Reason
1				
2				