Investor Support:

Basic Details of Stock Broker/DP Details

1 . Basic Details of Stock Broker (SB) & Depository Participant (DP)

CORPORATE NAME
Pumarth Credit & Capital Ltd (PCCL)

CIN (CORPORATE IDENTIFICATION NUMBER)
U65929MH1995PLC084288

EXCHANGE MEMBERSHIP CODES
NSE MEMBER (CODE - 07829)
BSE MEMBER (CODE - 6262)

SEBI REGISTRATION NUMBER (NSE)
INZ000290936

SEBI REGISTRATION NUMBER (DEPOSITORY PARTICIPANT)
IN-DP-160-2015

CDSL DEPOSITORY PARTICIPANT ID
CDSL ID - 41000

REGISTERED OFFICE
28/29, Vimla Mahal, 755, Peddar Road Mumbai – 400026 (M.H.)

CORPORATE OFFICE
5/5-A, Navratan Bagh, Off. Geeta Bhawan Square
Behind V One Hospital Indore – 452001 (M.P.)

please reach out to our corporate compliance team at :
pumarthind@pumarth.com , investorsgrievances@pumarth.com

2. Key Managerial Personnel (KMPs) & Compliance Officer:

Key Managerial Personnel (KMP) Details

DESIGNATION	NAME	CONTACT PHONE	EMAIL ID	Working Hours
Compliance Officer/ Principal Officer	Mr. Rajendra Kumar Mungar	+91 731 4241900 / 9826032688	rajendra_mungar@yahoo.co.in	12:00 PM to 05:00 PM
Managing Director / Designated Director	Mr. Manoj Kasliwal	+91 731 4241901	mkasliwal11@gmail.com	03:30 PM to 05:00 PM

3. Step-by-Step Account Opening Procedure

01. Document Compilation

Keep the following documents ready before starting the account opening process:

- PAN Card
- Address Proof (Aadhaar Card, Passport, or Voter ID)
- Bank Account Proof (Cancelled Cheque or Bank Statement of the last 6 months)
- Income Proof (Mandatory)

02. Fill the Account Opening Form (AOF)

Download the **Simplified Account Opening Form (AOF)** or **SARAL AOF** from the Downloads section and complete all the required details accurately. Alternatively, you may visit our office, where our representatives will assist you with the account opening process.

03. In-Person Verification (IPV)

As per SEBI guidelines, In-Person Verification (IPV) is mandatory. Our Compliance Officer or an authorized representative will conduct the verification either physically at the branch or through a secure video verification process.

04. Document Verification & Account Activation

Our KYC team will verify your submitted documents with the KRA (KYC Registration Agency) records. Once the verification is successfully completed and all compliance requirements are met, Your UCC Account Client Code and Beneficiary Account Number will be generated and activated.

05. Welcome Kit & Segment Activation

After successful account activation, you will receive your Demat Account details, Trading Login Credentials, Rights and Obligations booklet, and Welcome Kit at your registered email address and/or postal address. The trading segments requested by you (Equity, Derivatives, Currency, Commodity, etc.) will be activated upon successful verification and approval.

4. Grievances & Escalation :

Grievance Handling Mechanism (step-by-step instruction for investor grievance handling) The Company has an established mechanism for investor service and grievance handling, with the Compliance Officer appointed by the Company for this purpose, being the important functional nodes. Some of the key steps undertaken by the depository for handling Investor Grievances are enumerated as follows:

The Company has a designated email ID investorsgrievances@pumarth.com for handling investor grievances on which investor can send a complaint. This e-mail ID is mentioned on every communication/Delivery Instruction Slips of the Depository to the shareholders and is also mentioned on the website.

Executives access the above-mentioned designated investor grievances e-mail ID on a regular basis to check whether any new complaint or request from any BO has been received.

Full details of the complaint or request are immediately thereafter informed to Compliance Officer.

Obtains all information available on the complaint or request which is considered necessary for a proper resolution of the grievance. It looks into all the necessary information and undertakes to resolve them as soon as possible.

Upon receipt of the necessary documentation and information, and after satisfying the necessary quality checks, the Depository follows the practice of resolving the investor complaint or request promptly and as per the service standards established.

Status Report is obtained periodically in respect of various correspondences and complaints received.

The Status of receipt, redressal and pendency of all the complaints are placed before the Committee and Board.

Depository is primarily responsible to resolve the investor's grievances and is responsible for discharging investor service functions effectively, efficiently and expeditiously.

The complaints received through Stock Exchange, CDSL and SEBI are attended immediately

All the investor complaints/grievance received online through "SEBI Complaints Redress System" (Scores) are checked regularly and replied/resolved expeditiously.

The Company has made available escalation matrix for shareholders to escalate their concern, the details of which are display on the website.
Policy Adherence Responsibility: The Compliance Officer to ensure that all mandatory provisions of SEBI Regulations and SEBI Investor Protection Guidelines, etc. are complied with and complaints/grievances from shareholders and investors and those routed through Stock Exchanges or SEBI SCORES or Statutory authority(ies) are resolved/replied appropriately. The policies formulated will be reviewed periodically.
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 NSDL at https://www.epass.nsdl.com/complaints/websitecomplaints.aspx
or SEBI at https://scores.gov.in/scores/Welcome.html.

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

Compliance Officer
Rajendra Kumar Mungar
Address: Gulab Baug Colony Indore
Tel : 9826032688
Email : rajendra_mungar@yahoo.co.in

Filing Complaints on Regulatory Portals: If the grievance is not resolved within the escalation timelines or if you are unsatisfied, you may lodge a complaint with:

- SEBI SCORES portal: https://scores.sebi.gov.in
- CDSL Grievance Portal: https://www.cdslindia.com/footer/grievances.aspx
- NSE NICEPLUS Portal: https://investorhelpline.nseindia.com/NICEPLUS/
- BSE Complaints Portal: https://bsecrs.bseindia.com/ecomplaint/frminvestorhome.aspx
- SMART ODR Portal: https://smartodr.in/

Filing Complaints on SCORES – Easy & Quick:

- **Registration on SCORES portal:** Register directly on the SEBI SCORES portal to create your profile and file grievances online.
- **Mandatory details for filing complaints:** Name, PAN, Address, Mobile Number, and Email ID.
- **Benefits:** Ensures effective communication and speedy redressal of your grievances.

GRIEVANCE ESCALATION MATRIX

Level	DESIGNATION	NAME	CONTACT PHONE	EMAIL ID	Working Hours
Level-1	Head of Client Servicing / Head of Customer Care	Mr. Bhushan Manjrekar	9425348931	bm301181@gmail.com	10:00 AM to 04:00 PM
Level-2	Compliance Officer / Principal Officer	Mr. Rajendra Kumar Mungar	+91 731 4241900 / 9826032688	rajendra_mungar@yahoo.co.in	12:00 PM to 05:00 PM
Level-3	Managing Director / Designated Director	Mr. Manoj Kasliwal	+91 731 4241901	mkasliwal11@gmail.com	03:30 PM to 05:00 PM

Alerts' :

Depository Transactions: Prevent Unauthorized Transactions in your demat account - Update your Mobile Number with your Depository Participant. Receive alerts on your Registered Mobile for all debit and other important transactions in your demat account directly from CDSL/NSDL on the same day.

IPO Subscriptions: If you are subscribing to an IPO, there is no need to issue cheques. Just write the bank account number and sign in the application form to authorise your bank to make payment in case of allotment. No worries for refund as the money remains in investor's account.

Unsolicited Tips & Unfounded Rumours: Investors should be cautious on unsolicited emails and SMS advising to buy, sell or hold securities and trade only on the basis of informed decision. Investors are advised to invest after conducting appropriate analysis of respective companies and not to blindly follow unfounded rumours, tips etc. Further, you are also requested to share your knowledge or evidence of systemic wrongdoing, potential frauds or unethical behaviour through the anonymous portal facility provided on BSE & NSE website.

Regulatory Registrations: Registration granted by SEBI and certification from NISM in no way guarantee performance of the intermediary or provide any assurance of returns to investors.

Upfront Margin Requirements: Pay 20% or "var + elm" whichever is higher as upfront margin of the transaction value to trade in the cash market segment.

Circular Guidelines: Investors may please refer to the Exchange's Frequently Asked Questions (FAQs) issued vide circular reference NSE/INSP/45191 dated July 31, 2020 and NSE/INSP/45534 dated August 31, 2020 and other guidelines issued from time to time in this regard.

Aadhaar Update Announcement: Attention all Individual BOs having Demat A/c with us, please update your Aadhaar immediately as per the announcement in Union Budget 2017-18.

Bird's Eye View: Bird's eye view of investors' holdings in securities markets in its investor mobile application provided by NSDL / CDSL.

Nominee Details: Attention all Individual BOs having Demat A/c with us, please update your nominee detail in your dp account.

KYC Portability: KYC is a one-time exercise while dealing in securities markets - once KYC is done through a SEBI registered intermediary (Broker, DP, Mutual Fund etc.), you need not undergo the same process again when you approach another intermediary.

Stock Broking Transactions: Prevent unauthorized transactions in your account - update your mobile numbers/email IDs with your stockbrokers. Receive information of your transactions directly from the Exchange on your mobile/email at the end of the day.

Do not share your Demat account credentials, OTP, TPIN, or passwords with anyone. Investors are advised to update their mobile number, email ID, and nomination details in their Demat account.