

Mandatory information to be displayed as per the Exchanges

1. Office and branches:

Stock broker Name	Registration Number	Registered Address	Branch Address	Contact Number	Email Id
First Global Stockbroking Private Limited	INZ000210739	Registered office and Head Office: Ratnam Square, Plot No. 38/39, Sector 19A, Vashi, Navi Mumbai-400703	None	+91-22- 6116 6500	info@firstglobalsec.com

2. Details of Key Managerial Personnel (KMPs)

Sr. No.	Name	Email id
1.	Devina Mehra	devina.mehra@fglobal.com
2.	Neeraj Khanna	neeraj.khanna@firstglobalsec.com
3.	Sonal Parekh	Sonal.parekh@firstglobasec.com
4.	Priyesh Gosalia	Priyesh.gosalia@firstglobalsec.com

3. Step by step procedure for account opening:

Procedure for Account Opening

- When any prospect approaches us for opening a trading account with us, our relationship manager informs the account opening team which provides him/her the Client Registration Form (CRF).
- Simultaneously, client’s name is checked from the PMLA perspective on the basis of criteria prescribed by SEBI, including the SEBI debarred list.
- The client PAN is verified from the Income Tax site.
- Then the First Global team assists the prospect in filling up the form and the risk disclosure document as well as the dos and don’ts are explained to the prospect.
- Thereafter, the prospect fills-up and signs the Client Registration Form (CRF) and attaches the following documents along with the CRF:
 - Self-certified copy of PAN as proof of Identity (PAN Card is mandatory)
 - Self-certified copy of Address Proof of client (Aadhar Card, Driving license, Passport, Election Card)
 - A copy of Cancelled Cheque
 - A certified true copy of CML copy of client’s DP account
- Once the signed forms is received, the First Global account opening team checks the CRF and the KYC documents and once the same are found in order, then the Client code is generated for the client from the back office software.
- Then the team checks the CKYC details of client via link mentioned below
<https://www.ckycindia.in/ckyc/index.php>
- Team also checks CVL (CDSL Ventures Limited) KRA (KYC Registration Agency) details via link mentioned below:
<https://www.cvlkra.com/>
- Then the team Download all details from CVL KRA
- Thereafter, the UCC (Unique Client Code) is uploaded on the NSE and the BSE.
- Once the client’s account is opened, Welcome Letter & IBT letters, consisting of client’s account details and IBT details (Login credentials) are emailed to the Client alongwith a copy of account opening form for their records.
- Once the account is opened and UCC uploaded, the Client can fund his/her account.
- Intimation email is sent to “RMS” department for activation of client in the frontend software with the relevant segment, so that the Client can place the orders.

4. Procedure of filing a Complaint

Customers may approach the following official for redressal of any grievance relating to broking operations:

GRIEVANCE REDRESSAL OFFICER

THE COMPLIANCE OFFICER
First Global Stockbroking Private Limited
Ratnam Square, 1st Floor, Plot No. 38 / 39, Sector 19A, Vashi, Navi Mumbai - 400703
Phone: +91-22-6116 6500

EMAIL ID: info @firstglobal.in

1. If the client (investor) is not satisfied with the Trading Member's response, he or she can file his/her compliant or grievance through the SEBI SCORES PORTAL.
2. If the client (investor) is still not satisfied with the outcome, then he/she can initiate the dispute resolution through Smart ODR platform. The link of smart ODR is [SMARTODR](#)
3. An investor may seek dispute resolution through ODR if a grievance lodged directly with a Market Participant remains unresolved or if a grievance lodged on SCORES is not satisfactorily resolved..
4. The relevant team’s contact numbers are also displayed in the Escalation Matrix on the website. The Client can fix up an appointment and speak or meet the relevant person for resolution of the issue.
5. If the client feels, his issue has not been addressed still in a satisfactory manner, then he can approach the relevant Exchange for filling a complaint against the broker.

5. Details of Authorised Persons registered with the exchanges:

List of Authorised Person (AP)										
Sr. No.	Authorised Person’s Name	Authorised Person Code (Exchange wise)	Constitution	Status	Registered Address				Terminal Details (Exchange Wise)	
				(Approved/ Cancelled)						
					Add	City	State	Pin	Terminal Allotted (Y/N)	No. of Terminals
1	Jaspreet Kaur Batra	AP0085000261	Individual	Approved	House Number 38,Block 15,Geeta Colony, Gandhi Nagar	Delhi	Delhi	110031	Yes (BSE and NSE)	1

List of Authorised Persons (AP) cancelled by Members on Account of Disciplinary Reasons				
Sr. No.	Authorised Person’s Name	Status	Authorised Person’s Cancellation Details	
			Date	Reason
N.A				