STEWART & MACKERTICH WEALTH MANAGEMENT LTD.

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S. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	1 - 7
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	8 - 11
2	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	12 - 17
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	18 - 21
4	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	22 - 23
5	Policies and Procedures	Document describing significant policies and procedures of Stewart & Mackertich Wealth Management Limited	24 - 39
6	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	40 - 40
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7	Non-Mandatory Policies and Procedures	Document describing significant non-mandatory policies and procedures of Stewart & Mackertich Wealth Management Limited	41 - 45
8	Running Ledger Authorization	Revocable Declaration by client for authorizing Trading Member to maintain running ledger account	46 - 47
9	Receiving of Documents & Verbal Order	Revocable Declaration by clients for authorizing representatives of the client, to receive contract notes / bills / ledgers / Communications etc on and behalf of the client and authorizing Trading members to accept verbal orders/instructions.	48 - 49

MEMBERSHIP DETAILS

NAME OF EXCHANGE / DEPOSITORY	MARKET SEGMENT	SEBI REGISTRATION NO.	DATE
National Stock Exchange of India Limited	Capital Market	INB 230599932	27/05/1994
National Stock Exchange of India Limited	Derivative Market (Equity)	INF 230599932	12/03/2001
National Stock Exchange of India Limited	Derivative Market (Currency)	INE 230599932	04/03/2009
Bombay Stock Exchange Limited	Capital Market	INB 011207459	03/11/2000
Bombay Stock Exchange Limited	Derivative Market (Equity)	INF 010599935	05/10/2000
The Calcutta Stock Exchange Limited	Capital Market	INB 030599931	27/07/2000
Central Depository Services (India) Limited	Depository Participant	IN-DP-CDSL-64-2000	29/03/2010

Sign _____

STEWART & MACKERTICH WEALTH MANAGEMENT LTD.

REGISTERED & CORRESPONDENCE OFFICE	
ADDRESS	4, Lee Road, Vaibhav, 5th Floor, Kolkata – 700 020
CONTACT NUMBERS	Tel. No.: (91 33) 3051 5400 Fax: 2289 3401
OFFICIAL WEB SITE	www.smifs.com

KEY OFFICIALS		
DESIGNATION OF OFFICIAL	DESIGNATED DIRECTOR	COMPLIANCE OFFICER
NAME OF OFFICIAL	SHRI RAJESH KUMAR KOCHAR	SHRI SUDIPTO DATTA
CONTACT TELEPHONE NUMBER	(91 33) 3051 5420	(91 33) 3051 5401
E-MAIL ID.	rajesh.kochar@smifs.com	sudipta@smifs.com

GRIEVANCE REDRESSAL

FOR ANY GRIEVANCE/DISPUTE PLEASE CONTACT:

STEWART & MACKERTICH WEALTH MANAGEMENT LIMITED
INVESTOR GRIEVANCE OFFICER : MS NILANJANA MUKHERJEE
4, LEE ROAD, VAIBHAV, 5TH FLOOR, KOLKATA – 700 020
TEL. NO.: (91 33) 3051 5401 FAX: 2289 3401
E-mail - investors@smifs.com

IN CASE NOT SATISFIED WITH THE RESPONSE OF STEWART & MACKERTICH WEALTH MANAGEMENT LIMITED PLEASE CONTACT THE CONCERNED EXCHANGE(S)/DEPOSITORY AT:

NAME OF STOCK EXCHANGE / DEPOSITORY	CONTACT TELEPHONE NOS.	CONTACT E-MAIL ID
BOMBAY STOCK EXCHANGE LTD.	(91 22) 2272 1233 / 34	stanies.crasto@bseindia.com
NATIONAL STOCK EXCHANGE OF INDIA LTD.	(91 22) 2659 8190 / 91	ignse@nse.co.in
THE CALCUTTA STOCK EXCHANGE LTD.	(91 33) 2210 4468	cseisc@cse-india.com
CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED	1800-200-5533	complaints@cdslindia.com

GRIEVANCE REDRESSAL THROUGH SECURITIES AND EXCHANGE BOARD OF INDIA (SEBI)

ADDRESSES OF SEBI OFFICES	CONTACT TELEPHONE NOS.	CONTACT E-MAIL ID
SEBI – HEAD OFFICE: SEBI BHAVAN , PLOT NO. C4 – A, "G" BLOCK, BANDRA KURLA COMPLEX, BANDRA EAST, MUMBAI – 400 051	MR. V.S. SUNDARESAN, CGM (91 22) 2644 9200 (91 22) 2644 9000 / 4045 9000	iggc@sebi.gov.in sebi@sebi.gov.in sundaresanvs@sebi.gov.in
SEBI – NORTHERN REGIONAL OFFICE: 5TH FLOOR, BANK OF BARODA BUILDING, 16, SANSAD MARG, NEW DELHI – 110 001	MR. NARENDRA RAWAT, DGM (91 11) 2345 6085 (91 11) 2372 4001 - 05	sebinro@sebi.gov.in narendrar@sebi.gov.in
SEBI – EASTERN REGIONAL OFFICE: L&T CHAMBERS, 3RD FLOOR 16, CAMAC STREET, KOLKATA – 700 016	MR. AMAR NAVLANI, DGM (91 33) 2302 3110 (91 33) 2302 3000	sebiero@sebi.gov.in amarn@sebi.gov.in
SEBI – SOUTHERN REGIONAL OFFICE: 3RD FLOOR, D MONTE BUILDING, NO. 32 D MONTE COLONY, TTK ROAD, ALWARPET CHENNAI – 600 018	MR. S MANJESH ROY (91 44) 2467 4105 (91 44) 2467 4000 / 2467 4150	sebisro@sebi.gov.in manjeshsr@sebi.gov.in
SEBI – WESTERN REGIONAL OFFICE: UNIT NO. 002, GROUND FLOOR SAKAR I, NEAR GANDHIGRAM RAILWAY STATION, OPP. NEHRU BRIDGE ASHRAM ROAD, AHMEDABAD – 380 009	MR. SUDEEP MISHRA, DGM (91 79) 2658 7108 (91 79) 2658 3633 - 35	sebiwro@sebi.gov.in sudeepm@sebi.gov.in

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