

**Stock Broker details:**

<b>Stock Broker Name</b>	Sanford C. Bernstein (India) Private Limited
<b>Registration Number</b>	INZ000213537
<b>Registered Address</b>	Level 3A, 4 <sup>th</sup> Floor, First International Financial Centre, Plot Nos C-54 and C-55, G Block, Near CBI Office, Bandra Kurla Complex, Bandra (East), Mumbai - 400098
<b>Branch Address (if any)</b>	No Branch Office
<b>Contact Number</b>	+ 91 22 68421401
<b>Email id</b>	<a href="mailto:scbincompliance@bernsteinsg.com">scbincompliance@bernsteinsg.com</a> , <a href="mailto:scbindia@bernsteinsg.com">scbindia@bernsteinsg.com</a>

**Names and contact details of all Key Managerial Personnel including the Compliance Officer-**

<b>Sr. No.</b>	<b>Name of the Individual</b>	<b>Designation</b>	<b>Mobile Number</b>	<b>Email Id</b>
1	Ms. Rupal Talati	Designated Director (Whole Time Director), Chief Compliance Officer, Company Secretary	7738898903	rupal.talati@bernsteinsg.com
2	Mr. Bipin Bhaiyya	Designated Director (Whole Time Director), Chief Operating Officer, Chief Risk Officer	7620964901	bipin.bhaiyya@bernsteinsg.com

**Details of Authorized Persons –**

1	List of Active Authorised persons to be displayed	None
2	List of Authorised persons cancelled by the Members on account of Disciplinary grounds	None

**Step by step procedures for opening an account, filing a complaint on designated Email ID, and finding out the status of the complaint etc.**

a. Detailed write up on the procedure for opening an account along with Flowchart and video if any (optional).

We have developed client acceptance policies and procedures that aim to identify the types of clients that are likely to pose a higher than average risk of ML or TF. By establishing such policies and procedures, we will be in a better position to apply client due diligence on a risk sensitive basis depending on the type of client business relationship or transaction.

## KYC documentation –

Our standard KYC pack has been designed after taking into consideration the local SEBI, NSE, BSE and PMLA requirements – [KYC Kit.zip](#) . The pack consists of the following documents:

- Index of documents giving details of various documents in the SEBI KYC pack
- KYC form
- Trading account related details
- Rights and Obligations document
- Risk Disclosure Document
- Guidance note detailing the Do's and Don'ts for investors
- Policies & procedures document
- Terms of Business
- FAQ Scores
- Investor Charter and disclose of Investor Complaints
- Investor Charter - SEBI Research Analyst

Flowchart – [KYC Flowchart.pdf](#)

b. Detailed write up on procedure for filing a complaint on designated email id/ Toll-free number along with Flowchart and video if any (optional). Provisions are to be made for sharing Ticket Number once the complaint is lodged.

c. Detailed write up on procedure for finding out status of the complaint basis Ticket Number etc. along with Flowchart and video if any (optional).

As a registered intermediary, the Company has provided a designated email id – [Scbin-investorgrievance@bernsteinsg.com](mailto:Scbin-investorgrievance@bernsteinsg.com) to all its clients for redressal of client complaints. Clients can send their complaints on this e-mail id and they will receive a Ticket Number for their complaints. In case their grievances are not resolved within sufficient time, the Clients can track their complaint status, by e-mailing this Ticket Number on the investor grievance e-mail id.

Flowchart - [Investor Grievance Workflow.pdf](#)