



**Basic details of the Stock Broker such as registration number, registered address of Head Office and branches**

Stockbroker Name	Registration Number	Registered Address	Branch Address	Contact Number	Email id
Neo Wealth Management Private Limited	SEBI Registration No.: INZ000306537 NSE Trading Member Code: 90296 BSE Clearing Member: 6792 IN-DP-725-2022 (CDSL) CDSL DP ID: 12096600 AMFI Registration Number: 258756	Neo Wealth Management Private Limited, 903, B-Wing, 9th Floor, Marathon Futurex, Mafatlal Mills Compound, N.M. Joshi Marg, Lower Parel Mumbai, 400013. Tel +91 22 66423600	Neo Wealth Management Private Limited, 901, A-Wing, 9th Floor, Marathon Futurex, Mafatlal Mills Compound, N.M. Joshi Marg, Lower Parel Mumbai, 400013	022 - 66423600	For Queries: neocare@neo-wealth.com
			Neo Wealth Management Pvt Ltd, Premier House (IT Park), Plot NO. 38, Central Road, M.I.D.C, Andheri East, Mumbai – 400093.	022-66423600	
			Neo Wealth Management Private Limited 7th Floor, Crescent Tower, 229, A.J.C Bose Road, P.S Bhawani pore, Kolkata - 700020 West Bengal	Contact Person: Mr. Suvankar Chakrabarty Contact Number: 9903020710	
			Neo Wealth Management Private Limited Gera Imperium Star, 2nd Floor, Plot no.43-44, Next to Central Library , EDC Complex, Patto Plaza Panaji Goa-403001	Contact Person: Mr. Shane Belgal Contact Number: 9822128312	
			Neo Wealth Management Pvt Ltd, 205, 2nd Floor, Oriana Business Park, Plot No. A-69 & A-70, Road No.22, Wagle Industrial Estate, M.I.D.C, Thane West-400604, Maharashtra	Contact Person: Balakrishna Kumar Hariharan Contact Number: 9819701707	



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			Neo Wealth Management Private Limited Paragraph Khajanchi Business Centre, Private Chalet 01, B-wing, 1701, 17th Floor, Mondeal Heights, Nr. Novotel Hotel, S.G. Highway, Ahmedabad-380015, Gujarat	Contact Person: Ms. Nijal Shah Contact Number: 9879046468	



### Escalation Matrix:

Details of	Contact Person	Address	Contact No.	Timing	Email Id
Customer care	Sonali Mhapankar	901 A – Wing, Marathon Futurex, Lower Parel, Mumbai- 400013	022-66423614	9:00 AM to 5:30 PM	neocare@neo-wealth.com
Head of Customer care	Nitesh Shah	901 A – Wing, Marathon Futurex, Lower Parel, Mumbai- 400013	022-66423614	9:00 AM to 5:30 PM	ig@neo-wealth.com
Compliance Officer	Jayadevan A	901 A – Wing, Marathon Futurex, Lower Parel, Mumbai- 400013	022-66423600	9:00 AM to 5:30 PM	compliance@neo-wealth.com
CEO	Varun Bajpai	903 B – Wing, Marathon Futurex, Lower Parel, Mumbai- 400013	022-66423605	9:00 AM to 5:30 PM	ceo@neo-wealth.com

In absence of response/complaint not addressed to your satisfaction, you may lodge a complaint with SEBI at <https://scores.gov.in/scores/Welcome.html> or Exchange at

NSE - <https://investorhelpline.nseindia.com/NICEPLUS/>

BSE – <https://bsecreg.bseindia.com/ecomplaint/frmlInvestorHome.aspx>

MCX – <https://www.mcxindia.com/Investor-Services>

CDSL – <https://www.cdslindia.com/Footer/grievances.aspx>

Please quote your Service Ticket/ Complaint Ref No. while raising your complaint at SEBI SCORES/Exchange Portal.



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

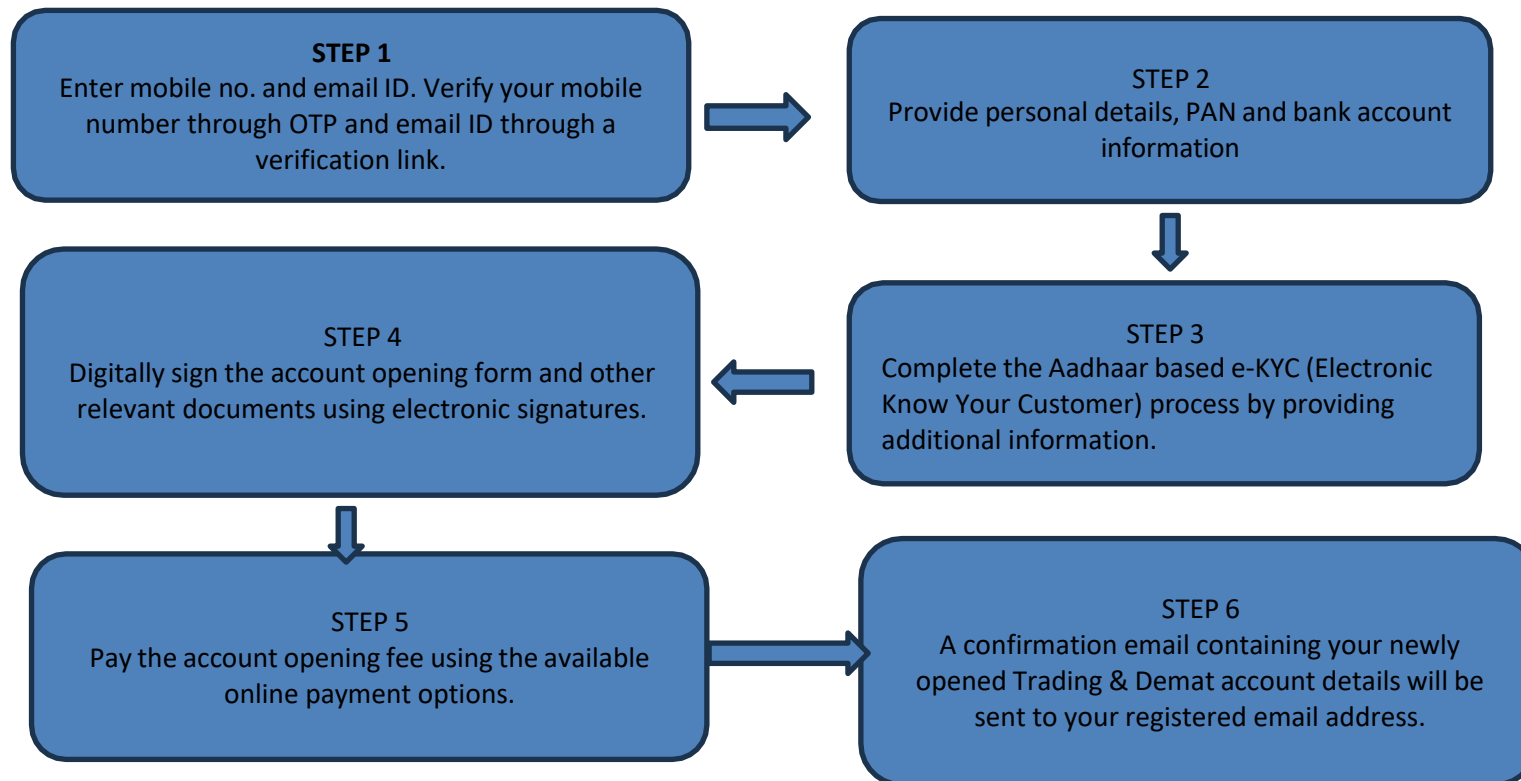
<b>Sr. No.</b>	<b>Name of the Individual</b>	<b>Designation</b>	<b>Contact Numbers</b>	<b>Email Id</b>
1	Varun Bajpai	Chief Executive Officer	022-66423605	ceo@neo-wealth.com
2	Anupam Agal	Whole Time Director & COO	022-66423600	neocare@neo-wealth.com
4	Jayadevan A	Compliance Officer	022-66423600	compliance@neo-wealth.com



### i. Step by Step procedures for Opening an Account.

#### a) Detailed write up on the procedure for opening an account along with Flowchart

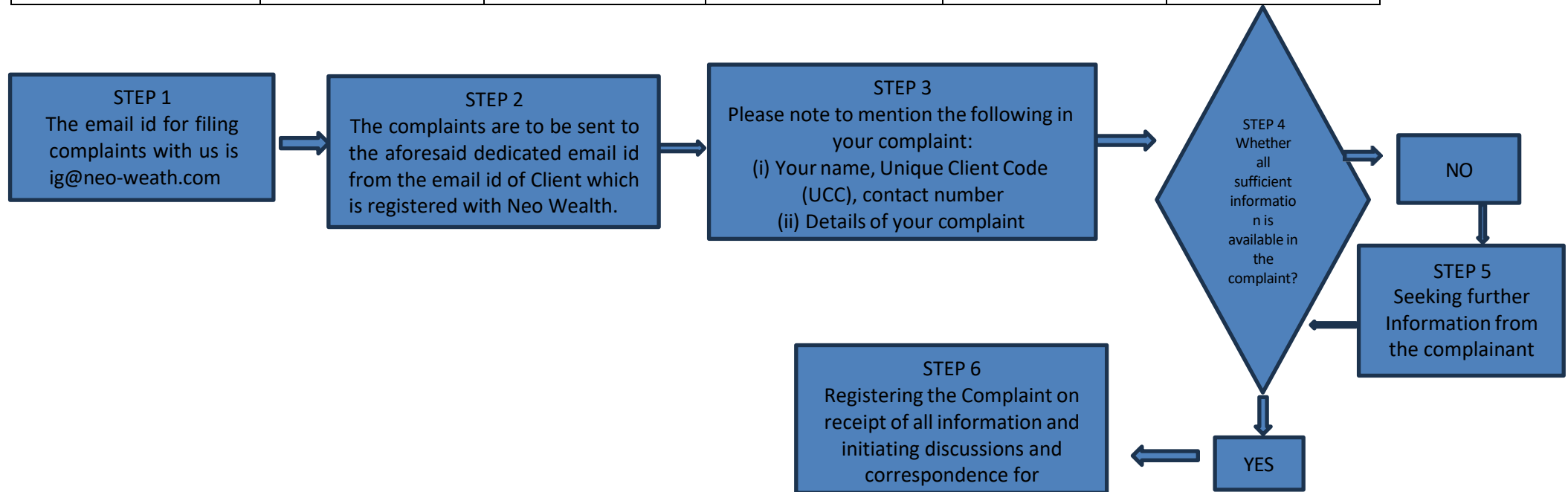
Step 1	Step 2	Step 3	Step 4	Step 5	Step 6
Enter mobile no. and email ID. Verify your mobile number through OTP and email ID through a verification link.	Provide personal details, PAN and bank account information.	Complete the Aadhaar based e-KYC (Electronic Know Your Customer) process by providing additional information.	Digitally sign the account opening form and other relevant documents using electronic signatures.	Pay the account opening fee using the available online payment options.	A confirmation email containing your newly opened Demat account details will be sent to your registered email address.





**b) Detailed write up on procedure for filing a complaint on designated email id/ Toll-free number along with Flowchart**

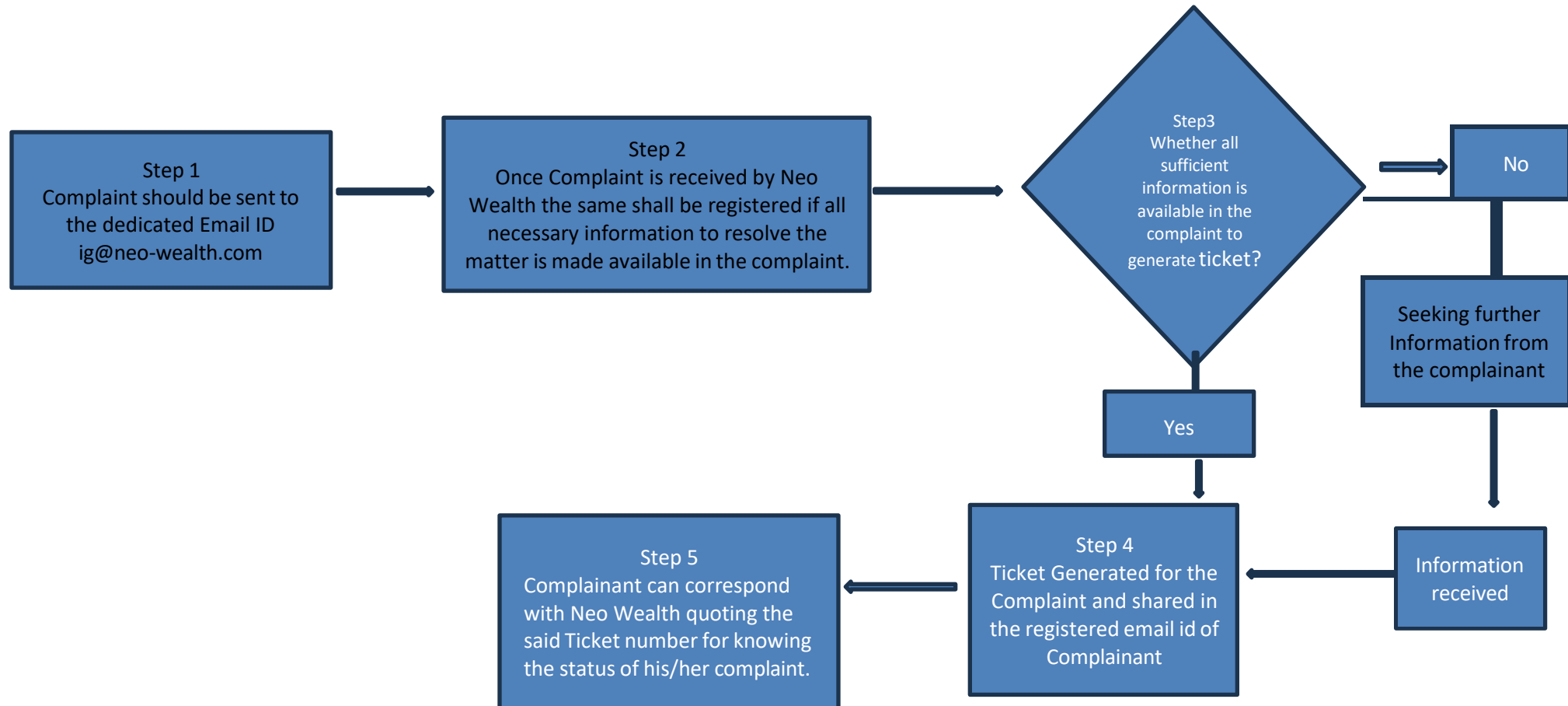
Step 1	Step 2	Step 3	Step 4	Step 5	Step 6
The email id for filing complaints with us is ig@neo-weath.com	The complaints are to be sent to the aforesaid dedicated email id from the email id of Client which is registered with Neo Wealth.	Please note to mention the following in your complaint: (i) Your name, Unique Client Code (UCC), contact number (ii) Details of your complaint	Whether all sufficient information is available in the complaint?	Seeking further Information from the complainant	Registering the Complaint on receipt of all information and initiating discussions and correspondence for expeditious redressal,





**c) Detailed write up on procedure for finding out status of the complaint basis Ticket Number etc. along with Flowchart**

Step 1	Step 2	Step 3	Step 4	Step 5
Complaint should be sent to the dedicated Email ID ig@neo-wealth.com	Once Complaint is received by Neo Wealth the same shall be registered if all necessary information to resolve the matter is made available in the complaint.	On receipt of necessary information, complaint is registered and ticket is generated. The matter is taken up for expeditious redressal.	Ticket number is shared with Complainant	Complainant can correspond with Neo Wealth from his/her registered email id with Ticket number for knowing the status of complaint.





i. Details of Authorized Persons

List Of Authorised Persons (AP)										
Sr . N o	Authorised Person's Name	Authorised Person Code (Exchange wise)	Constitution	Status	Registered Address				Terminal Details(Exchange Wise)	
				(Approved / Cancelled)	Add	City	State	Pin code	Terminal Allotted(Y/N)	No. of Terminals
1	NIL	NIL	NIL	NIL	NIL	NIL	NIL	NIL	NIL	NIL

List of Authorised Persons (AP) Cancelled by Members on Account of Disciplinary Reasons				
Sr. No.	Authorised Person's Name	Status	Authorised Person Cancellation Details	
			Date	Reason
1	NIL	NIL	NIL	NIL





**Disclosure As per SEBI circular: SEBI/HO/IMD/DF1/CIR/P/2020/182 September 23, 2020 for Investment Advisory**

Investment Adviser: INA000017286-Type-Non Individual, Validity of Registration-Perpetual,  
Principal Officer Contact Number +91 22 66423600, Email Id- PO\_advisory@neo-wealth.com

Registered Address: 903, B-Wing, 9th Floor, Marathon Futurex, Mafatlal Mills Compound, N.M. Joshi Marg, Lower Parel Mumbai, 400013. Tel +91 22 66423600.

Corresponding SEBI office address - C/4-A, G Block BKC, Bandra Kurla Complex, Bandra East, Mumbai, Maharashtra 400051

<b>Neo Wealth Management Private Limited Registered Address</b>	<b>Securities and Exchange Board of India Registered Address</b>
Neo Wealth Management Private Limited 903, B-Wing, 9th Floor, Marathon Futurex, Mafatlal Mills Compound, N.M. Joshi Marg, Lower Parel Mumbai, 400013. Tel +91 22 66423600.	Securities and Exchange Board of India SEBI Bhavan Plot No.C4-A, 'G' Block Bandra-Kurla Complex, Bandra (East), Mumbai - 400051, Maharashtra Tel : +91-22-26449000 / 40459000
Neo Wealth Management Private Limited 901, A-Wing, 9th Floor, Marathon Futurex, Mafatlal Mills Compound, N.M. Joshi Marg, Lower Parel Mumbai, 400013. Tel +91 22 66423600	
Neo Wealth Management Private Limited, Premier House (IT Park), Plot NO. 38, Central Road, M.I.D.C, Andheri East, Mumbai – 400093. Tel +91 22 66423600	



<b>Neo Wealth Management Private Limited Branch Address</b>	<b>Correspondence Securities and Exchange Board of India Office Address</b>
Neo Wealth Management Private Limited F-320/A, Ground Floor, Village Lado Sarai, New Delhi-110030	Securities and Exchange Board of India NBCC Complex, Office Tower-1, 8th Floor, Plate B, East Kidwai Nagar, New Delhi – 110023 Tel. Board: +91-011-69012998
Neo Wealth Management Private Limited 7th Floor, Crescent Tower, 229, A.J.C Bose Road, P.S Bhawani pore, Kolkata -700020 West Bengal	Securities and Exchange Board of India The Regional Director, L&T Chambers, 3rd Floor, 16 Camac Street, Kolkata - 700017, West Bengal. Tel. Board: +91-33-23023000
Neo Wealth Management Private Limited Gera Imperium Star, 2nd Floor, Plot no.43-44, Next to Central Library , EDC Complex, Patto Plaza Panaji Goa-403001	Securities and Exchange Board of India 6th Floor, EDC House, Atmaram Borkar Road, Panaji - 403001, Goa Tel. Board: +91-832-2423110