

## Registration Details

Registered Office Address, Phone No. and Fax:

360 ONE Centre, Kamala City, Senapati Bapat Marg, Lower Parel, Mumbai - 400013.

CIN: U66120MH1995PLC228043

### Registration Numbers

Broking: SEBI Registration No. INZ000296339; Member of: National Stock Exchange of India Limited (Member Code: 90070), BSE Limited (Member Code: 6633), Multi Commodity Exchange of India Limited (Member Code: 55860), National Commodity and Derivatives Exchange Limited (Member Code: 1239)

Depository Participant: SEBI Registration No. DP-IN-573-2021 (NSDL & CDSL); NSDL DP Id IN304158, CDSL DP Id 12083300

Research Analyst: SEBI Registration No. INH000011431

AMFI-Registered Mutual Fund Distributor: ARN - 181727 (Initial Date of Registration - June 25, 2021, Expiry Date - June 24, 2027)

APMI Registered PMS Distributor - APRN APRN01973 (Initial Date of Registration - 10/12/2024 Expiry Date - 08/01/2027)

Compliance Officer: Jatin Sanghani, Email Id: 360.compliance@360.one, Tel. No. 022 48765225

Investments in securities market are subject to market risks. Read all the related documents carefully before investing.

## Complaints / Grievance

In case of any complaint / grievance, write to / contact us at

For Broking: clientservicing@360.one / 022-48765858

For DP Complaints: dpgrievances@360.one

For Research Complaints: grievance@360.one

## Escalation Matrix

Status of Complaint: You can find out the status of a complaint by checking with your individual Relationship Manager/Service Relationship Manager or by calling Centralised Service Desk at +91 22 4876 5858

Procedure to file a complaint on SEBI SCORES: Register on SCORES portal. Mandatory details for filing complaints on SCORES: Name, PAN, Address, Mobile Number, E-mail ID. Benefits: Effective Communication, Speedy redressal of the grievances

Smart Online Dispute Resolution | Grievance Redressal Policy

## Proprietary Trading

360 One Distribution Services Limited has a proprietary trading desk. This desk maintains an arm's length distance with the Research team and all its activities are segregated from Research activities. The proprietary desk operates independently, potentially leading to investment decisions that may deviate from research views.

## Other Details

Account Opening Process | Mandatory Disclosure | Disclaimer | Important Information | Investor Charter | Investor Complaints Information | Policies and Procedures | Rights and Obligations | Tariff | Privacy Policy | Investor Attention | E - Voting | AML | Client Bank Accounts | Advisory for Demat Account Holders | KMP | Details of Authorised Person | Exchange Disclaimer

## Account Opening Process

1. Resident Individual - Online (Digital) and Physical
2. Non Resident Individual - Online (Digital) and Physical
3. Resident Non Individual - Online (Digital) and Physical
4. Non Resident Non Individual - Online (Digital) and Physical

## Mandatory Disclosure

Attention Investors:

- KYC is 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.
- KYC details: Please update your KYC attributes i.e. Income range, Email Id, Mobile number, Address in your Trading & Demat account. Please link your Aadhaar with PAN number for smooth functioning of your account.
- "Prevent Unauthorized Transactions in your demat / trading account —> Update your Mobile Number/ email Id with your stock broker /Depository Participant. Receive information of your transactions directly from Exchanges on your mobile / email at the end of day and alerts on your registered mobile for all debits and other important transactions in your demat account directly from NSDL/CDSL on the same day." -Issued in the interest of investors.
- Stock Brokers can accept securities as margin from clients only by way of pledge in the depository system w.e.f. September 01, 2020.
  - Update your email id and mobile number with your stock broker / depository participant and receive OTP directly from depository on your email id and/or mobile number to create pledge.
  - Check your securities / MF / bonds in the consolidated account statement issued by NSDL/CDSL every month.
  - No need to issue cheques by investors while subscribing to IPO. Just write the bank account number and sign in the application form to authorize your bank to make payment in case of allotment. No worries for refund as the money remains in investor's account.
  - Third Party Product Disclosure: Products such as Mutual Funds, PMS, Insurance, Corporate Fixed Deposits, Tax-free Bonds, etc. are offered through us in the capacity of a distributor and are not traded on the Stock Exchanges.**
  - Disputes (if any) relating to these products and services will not have access to SEBI SCORES/ODR, the Stock Exchanges' investor redressal forum, or the arbitration mechanism.**

Investors are advised not to blindly follow the unfounded rumours, Tips given in social media, SMS, WhatsApp, Blogs etc. and invest only after conducting appropriate analysis of respective companies. Beware of fraudster entities operating throughout India and sending bulk messages on the pretext of providing investment tips and luring investors to invest with them in their bogus firms by promising hefty profits.

## Important Information

- Standard set of Documents for Account Opening
- Resident Individual – Physical Account Opening Form (Part A)
- Resident Individual – Online Account Opening Form (Part A)
- Non Resident Individual – Physical Account Opening Form (Part A)
- Non Individual - Online Account Opening Form (Part A)
- Non Individual – Physical Account Opening Form (Part A)
- Part B (Mandatory Documents Broking – Rights and Obligations, Risk Disclosure Document, Derivatives Risk Disclosure, Guidance Note – Do's & Don'ts, Policies and Procedures, Risk Management Policy, AML Policy), Part B (Mandatory Documents – DP – Rights and Obligations, ), Part C (Non Mandatory Documents) and Standard Tariff Sheet (Broking and DP)
- DDPI Document
- Most Important Terms and Conditions
- Client registration Documents in Vernacular Language - for NSE for BSE for MCX for NCDEX
- Please Note: This document is a translated version of the client registration documents in English and is being provided in vernacular language to facilitate better understanding by the investors. In case of any ambiguity, the contents of the English version would prevail.
- List of Client Nodal Bank Accounts
- Voluntary Freezing Policy
- Good Till Cancel Order Policy
- Client Collateral Details
- Process to Check / Validate KYC Status of Clients
- Advisory for Demat Account Holders
- NSDL Customer Centric Initiatives (Do's and Don'ts)
- CDSL Do's and Don'ts
- E-Voting Links: NSDL Voting Link, CDSL Voting Link.
- Central Vigilance Commission (CVC): Please visit CVC website at <https://pledge.cvc.nic.in> and take "Integrity Pledge" to be an active part of the "Satark Bharat, Samridh Bharat" (Vigilant India, Prosperous India).
- Precautions for clients dealing in Option

We draw your attention towards the various circular issued by exchanges regarding precautions to be taken by client while dealing in securities market. In view of the same, we advise you to remain regularly caution and alert while trading and avoid practices like:

- A. Sharing of trading credentials – login id & passwords including OTP's,
- B. Trading in leveraged products like options without proper understanding, which could lead to losses
- C. Writing/ selling options or trading in option strategies based on tips, without basic knowledge & understanding of the product and its risks
- D. Dealing in unsolicited tips through Whatsapp, Telegram, YouTube, Facebook, SMS, calls, etc.
- E. Trading in "Options" based on recommendations from unauthorised / unregistered investment advisors and influencers.
- F. Click on the entity to visit its website: SEBI, NSE, BSE, MCX, NCDEX, NSDL, CDSL, BASL

## Investor Attention:

- Beware of fixed/guaranteed/regular returns/ capital protection schemes. Brokers or their authorized persons or any of their associates are not authorized to offer fixed/guaranteed/regular returns/ capital protection on your investment or authorized to enter into any loan agreement with you to pay interest on the funds offered by you. Please note that in case of default of a member claim for funds or securities given to the broker under any arrangement/agreement of indicative return will not be accepted by the relevant Committee of the Exchange as per the approved norms.
- Do not keep funds idle with the Stock Broker. Please note that your stock broker has to return the credit balance lying with them, within three working days in case you have not done any transaction within last 30 calendar days. Please note that in case of default of a Member, claim for funds and securities, without any transaction on the exchange will not be accepted by the relevant Committee of the Exchange as per the approved norms.
- Check the frequency of accounts settlement opted for. If you have opted for running account, please ensure that your broker settles your account and, in any case, not later than once in 90 days (or 30 days if you have opted for 30 days settlement). In case of declaration of trading member as defaulter, the claims of clients against such defaulter member would be subject to norms for eligibility of claims for compensation from IPF to the clients of the defaulter member. These norms are available on the Exchange website.
- Brokers are not permitted to accept transfer of securities as margin. Securities offered as margin/ collateral MUST remain in the account of the client and can be pledged to the broker only by way of 'margin pledge', created in the Depository system. Clients are not permitted to place any securities with the broker or associate of the broker or authorized person of the broker for any reason. Broker can take securities belonging to clients only for settlement of securities sold by the client.
- Always keep your contact details viz. Mobile number/Email ID updated with the stock broker. Email and mobile number is mandatory and you must provide the same to your broker for updation in Exchange records. You must immediately take up the matter with Stock Broker/Exchange if you are not receiving the messages from Exchange/Depositories regularly.
- Don't ignore any emails/SMSs received from the Exchange for trades done by you. Verify the same with the Contract notes/Statement of accounts received from your broker and report discrepancy, if any, to your broker in writing immediately and if the Stock Broker does not respond, please take this up with the Exchange/Depositories forthwith.
- Check messages sent by Exchanges on a weekly basis regarding funds and securities balances reported by the trading member, compare it with the weekly statement of account sent by broker and immediately raise a concern to the exchange if you notice a discrepancy.
- Please do not transfer funds, for the purposes of trading to anyone, including an authorized person or an associate of the broker, other than a SEBI registered Stock broker.

## Risk disclosures on derivatives

- 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.
- On an average, loss makers registered net trading loss close to ₹50,000.
- Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs.
- Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

Source: SEBI study dated January 25, 2023 on "Analysis of Profit and Loss of Individual Traders dealing in equity Futures and Options (F&O) Segment", wherein Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F&O during FY 2021-22.

## IPO Disclaimer

Investors are requested to do their own due diligence before investing in an IPO. 360 One DSL is acting as distributor for non-broking products / services such as IPO, Mutual Fund, Mutual Fund SIP. These are not Exchange traded product.

Opening of account will not guarantee allotment of shares in IPO. Investors are requested to do their own due diligence before investing in any IPO.

## Exchange Disclaimer

BSE Limited and other exchanges, are not in any manner answerable, responsible or liable to any person or persons for any acts of omission or commission, errors, mistakes and/or violation, actual or perceived, by us or our partners, agents, associates etc., of any of the Rules, Regulations, Bye-laws of the Stock Exchange, SEBI Act or any other laws in force from time to time.

BSE Limited and other exchanges is not answerable, responsible or liable for any information on this Website or for any services rendered by us, our employees and our servants.

## Broking Disclaimer

- Investments in securities market are subject to market risks. Read all the related documents carefully before investing.
- 360 One DSL or any of its affiliates, employees, agents or any other representatives would never contact you and ask you for your personal details such as your login information, password, Aadhaar OTP, bank account details and such other related information. Please do not provide any details to queries from calls where such information is asked by the caller who impersonates to be an affiliate of 360 One DSL. For reporting any such information or for further queries with regard to this, please contact us at clientservicing@360.one
- Brokerage will not exceed the SEBI prescribed limit.
- The present web site, www.360.one contains features of services that 360 One DSL or its affiliates offer / propose to offer in due course. The services, which are offered, may vary from time to time and are at the sole discretion of 360 One DSL, subject to regulatory approvals.
- 360 One DSL would have an exclusive discretion to decide the clients who would be entitled to its investing services. 360 One DSL also reserves the right to decide on the criteria based on which clients would be chosen to participate in these services. 360 One DSL is incorporated under the regulatory laws of India and hence adheres to the same laws for entering into or executing an agreement with the client.
- All third-party products and services where the Member is just acting as a distributor such as Mutual Funds, Insurance, Corporate Fixed Deposits, Tax-free Bonds, Sovereign Gold Bond, Global Investing, etc. or those Services that are not exclusively offered through the broking accounts at the Stock Exchanges such as Research, Advisory and Portfolio Management are not considered Exchange-traded products and all disputes with respect to the distribution activity, and Products and services not traded at the Exchange would not have access to Exchanges' investor redressal forum or Arbitration mechanism.
- This service does not constitute an offer to sell or a solicitation to any person in any jurisdiction where it is unlawful to make such an offer or solicitation.
- The Services and Information are not intended to be any form of an investment advertisement, investment advice or investment information and have not been registered under any securities law of any foreign jurisdiction and is only for the information of any person in any jurisdiction where it may be lawful to offer such Services/information.
- No information, market analysis, research report, etc. on this web site or sent to any person through any means is to be construed as a representation with respect to shares, securities or other investment regarding the legality of an investment therein under the respective applicable investment or similar laws or regulations of any person or entity accessing this web site.
- The manner of circulation and distribution of the Information contained in this site may be restricted by law or regulation in certain jurisdictions/ countries, including the United States of America, Canada etc. Persons accessing the information are required to inform themselves of, and to observe, such restrictions.
- The services of 360 One DSL are not available or intended for use by, any person or entity who is a citizen or resident of or located in any locality, state, country or other jurisdiction, where such availability or use would be contrary to law, regulation or which would subject 360 One DSL and/or its affiliates/ group companies to any registration or licensing requirements within such jurisdiction. Persons accessing the website should inform themselves about and observe, any such restrictions. By accessing this Site, you agree to be bound by the foregoing limitations.
- Kindly note that investments by non-resident Indians are regulated by the Reserve Bank of India.
- Orders, if accepted during off market hours will be sent to the exchange after the exchange opens on the next trading day. 360 One DSL does not take any responsibility for any delay in acceptance / execution or non-execution of the order by the Exchange.
- Any communication sent to clients on phone numbers or e-mail ids registered with the Trading Member is meant for client consumption and such material should not be redistributed.
- Certain transactions - including those involving futures, options, and other derivatives give rise to substantial risk and may not be suitable for you. Foreign currency denominated securities are subject to fluctuations in exchange rates that could have an adverse effect on the value or price of or income derived from the investment. In addition, investors in securities such as ADRs/GDRs, the value of which are influenced by foreign currencies, affectively assume currency risk. In addition options involve risks and may not be suitable for you. Please ensure that you have read and understood the current risk disclosure document before entering into any derivative transactions. Derivatives are a sophisticated investment device. The investor is requested to take into consideration all the risk factors before actually trading in derivative contracts.
- For Margin Trading Funding (MTF); the provisions of SEBI Circular no. CIR/MRD/DP/54/2017 dated June 13, 2017 shall be complied with.
- Any Information provided by us through any medium based on our research or that of our affiliates or third parties or other external sources is subject to domestic and international market conditions and we do not guarantee the availability or otherwise of any securities or other instruments and such Information is merely an estimation of certain investments, and we have not and shall not be deemed to have assumed any responsibility for any such Information.
- You should seek independent professional advice and/or tax advice regarding the suitability of any investment decision whether based on any Information provided by us through the Site from inhouse research or third-party reports or otherwise.
- In the event that you receive or access any Information, computerized on-line Services or any investment or other recommendations or advice from us or any employee or any of our officials or those of our affiliates, the same is on a no-liability, no-guarantee and no-obligation basis.
- Any Information received, accessed or made available on this Site or by way of research reports is for information purposes only and does not and shall not in any manner constitute a recommendation/solicitation/advice to buy or sell any of the securities or other instruments or as investment advice. Any decision, action or omission to buy, sell or hold securities shall be entirely at the your risk and should be based solely on your own verification of all the relevant facts, financials and other circumstances, a proper evaluation thereof and your own investment objectives and neither we nor any of our employees, officers, directors, personnel, agents or representatives or third party providers or affiliates shall be responsible or held liable for the same for any reason whatsoever. Research reports and content provided by third parties may be uploaded directly on the website and 360 One DSL may not be in a position to individually verify each and every report/information.
- You may not receive any Information at the same time as our other clients or may not at all receive or be given access to any such Information. The availability of any Information made available to you is entirely at our discretion. We are under no obligation to take account of any such Information when we deal with you or on your behalf and/or execute or act upon any request or order placed by you.
- Any and/or all Information/ market data/ analytics/ may be prepared by third parties and may be made available for your information and interest. You shall hence not in any manner deem such Information/ market data/ analytics/ as emanating directly or indirectly from us. Neither we nor our affiliates nor any third party provider shall be responsible for or held liable for any time lag in the display of such data/information/ analytics. Neither any third party provider, nor we are under an obligation to update the Information/ data/analytics on the website/reports to reflect circumstances that may occur after the earlier of the date first appearing on the Site or the date contained in the Information.
- You will neither hold nor seek to hold us or any of our officers, directors, employees, agents, subsidiaries, affiliates, third party provider or business associates liable for any costs, losses or damage incurred by you consequent upon relying on any Information provided by us or use of the services/ Information/tools made available.
- In the event that there are any modifications to any statutory laws, rules, regulations, byelaws, circulars governing or relating to the provision of the Services and/or furnishing of Information, then the access to the Services and Information and the use thereof shall be deemed to have been appropriately modified to that extent. We are not liable to keep you informed of such amendments and you shall keep yourself updated of such amendments.
- The contents hereof must be read together with the terms and conditions that enable you to access the Information and Services on this Site.
- We and/or our affiliates may make markets or specialise in, have positions in and effect transactions in securities of companies mentioned in the research reports issued. We and/or our affiliates or our employees including their dependant family members have or may have a long or short position or holding in the securities, futures/options on securities or other related investments of issuers and companies mentioned herein. Our research professionals provide important input into our investment advisory and other business processes. You should assume that we and/or our affiliates are seeking or will seek investment or other business from the issuer or issuers or company or companies that are the subject of the Information contained in the research reports issued. Our research should not be considered as an advertisement or advice, professional or otherwise. The investor is requested to take into consideration all the risk factors including their financial condition, suitability to risk return profile, and the like and take professional advice before investing.
- We and/or our affiliates are not liable for damages or injury, including without limitation, damages or injury caused by any performance, failure of performance, error, omission, interruption, deletion, defect, delay in operation or transmission, computer virus, link failure, site crash, malfunctioning of software/hardware, unavailability of network, communications line failure, theft or destruction or unauthorized access to, alteration of, or use of information, whether resulting, in whole or in part, from, negligence or otherwise. Neither we nor our affiliates, directors, employees, associates or other representatives, agents and / or subsidiaries or any third party endorse or take any responsibility for the accuracy or reliability of any Information, opinion, advice or statement made through the Site. Any orders accepted during off market hours will be sent to the exchanges after such exchange opens on the next trading day. We do not take any responsibility or liability for any delay in acceptance and/or execution or non-acceptance and/or non-execution of the order by the concerned exchange due to any reason whatsoever. We shall not assume any liability or responsibility if the Services are terminated and/or Information is not provided, in part or in whole, by any statutory or regulatory body. We and/or our affiliates make no guarantees or representations as to, and shall have no liability for, any electronic content delivered by any third party, including, without limitation, the accuracy, subject matter, quality or timeliness of any electronic content.

The linked sites are not under our control and we are not responsible for the contents of any linked site or any link contained in a linked site, or any changes or updates to such sites. We are providing these links to you only as a convenience, and the inclusion of any link does not imply endorsement by us of the site. No judgment or warranty is made with respect to the accuracy, timeliness, or suitability of the content of other services or sites to which these screens link, and we and/or our affiliates take no responsibility therefore. A link to a service or site outside of the Site is not an endorsement of the service or site, its content, or its sponsoring organization. By providing access to other websites, neither we nor our affiliates are recommending the purchase or sale of the securities issued by it nor is it an endorsement of services provided by its sponsoring organization. Neither we nor our affiliates, directors, employees, associates or other representatives, agents and / or subsidiaries endorse or take any responsibility for the accuracy or reliability of any linked site, the capabilities or reliability of any product or service obtained from a linked site, or make good all or part of any loss and or damage that may have been caused by your reliance on any information, advice, product or service obtained from a linked site.

## Complaints / Grievance

In case of any complaint / grievance, write / contact us at [clientservicing@360.one](mailto:clientservicing@360.one) / 022-48765858

## Disclaimer

- Mutual Fund investments are subject to market risks, read all scheme related documents carefully.
- Registration granted by SEBI and certification from NISM in no way guarantee performance of the intermediary or provide any assurance of returns to investors.
- 360 One Distribution Services Limited does not assure that the fund's objective will be achieved.
- All third party products and services where we are just acting as a distributor, such as Mutual Funds, Insurance, Corporate Fixed Deposits, Tax-free Bonds, etc. or those Services that are not exclusively offered through the broking accounts at the Stock Exchanges such as Research, Advisory and Portfolio Management are not considered Exchange-traded products and all disputes with respect to the distribution activity, and Products and services not traded at the Exchange would not have access to Exchanges' investor redressal forum or Arbitration mechanism.
- The information provided on website is not intended to be used by investors as the sole basis for investment decisions, who must make their own investment decisions, based on their own investment objectives, financial positions, suitability to risk return profile and their needs before investing. The contents herein above shall not be considered as an invitation or persuasion to trade or invest. Investors should do thorough research and make independent judgment with regard suitability, profitability, and fitness of any product or service offered herein above or consult your financial manager/advisor before making an investment. 360 One Distribution Services Limited and its affiliates, directors and employees accept no liabilities for any loss or damage of any kind arising out of any actions taken in reliance thereon.
- NAV of the schemes may go up or down depending upon the factors and forces affecting the securities markets. Information mentioned herein is not necessarily indicative of future results and may not necessarily provide a basis for comparison with other investments.
- Past performance should not be taken as an indication or guarantee of future performance, and no representation or warranty, express or implied, is made regarding future performance. Information, opinions and estimates contained in this report reflect a judgment of its original date of publication and are subject to change without notice.
- Returns on mutual fund investments are subject to market risks. This includes the possibility of losing capital due to market volatility, force majeure events, changes in the political and economic environment, defaults by issuers of securities to mutual funds, bankruptcy or insolvency of issuers, and potential segregation of the portfolio by the Asset Management Company (AMC) in such circumstances.
- In the event of a liquidity crisis within the scheme, the redemption facility may be suspended. This means investors may not be able to redeem their units until the liquidity position improves.
- Investing in new fund offerings of the scheme carries additional risks such as price volatility risk, liquidity risk, and delisting risk. These factors can affect the value and liquidity of your investment.
- Schemes may be wound up due to several reasons including the presence of illiquid instruments, a higher volume of redemption requests from investors, or unforeseen market events. This could result in investors receiving their invested capital later than expected or at a reduced value.

APMI Registered PMS Distributor - APRN APRN01973 (Initial Date of Registration - 10/12/2024 Expiry Date - 08/01/2027)

360 One Distribution Services Limited is a Distributor of Portfolio Management Services offered by SEBI Registered Portfolio Managers. 360 One DSL may tie-up with one or more portfolio managers registered with SEBI offering PMS services having different/ diversified investment objectives from time to time. As a distributor, 360 One DSL does not assume any responsibility or liability arising from the sale of any product and the investor's contract for purchase/sale is directly with the product provider. 360 One DSL may earn a distribution/ referral fee(s) from the product provider on completion of sale of such products.

As per SEBI circular: SEBI / HO / IMD / DFI / CIR /P / 2020 / 26 following are the details of the commission earned by 360 One DSL from various portfolio managers, whose products are being distributed:

## **All Portfolio Management Services (PMS) Schemes - Upto 2.50% per annum.**

Investor's agree and consent to enable 360 One DSL to share their personal details with the portfolio manager whose product they intend to avail as portfolio management service/s.

Investment through Portfolio Management Services is subject to risks and there is no guarantee, implied or otherwise, that the general objectives of the product or any other specific performance targets will be achieved. Certain investments can be subject to sudden and large falls in value that could equal or exceed the amount invested. Please read the Disclosure Document relating to PMS Services carefully and evaluate your suitability before investing. Your decision to avail of Portfolio Management Services shall be at your own volition and risk. Past performance is not necessarily a guide to future performance. The names of the Portfolio Strategy do not indicate its future prospects and returns in any manner.

360 One DSL is merely acting as a facilitator by referring you to Portfolio Manager upon your request, and the assistance provided by 360 One DSL shall not be considered as an recommendation / representation by 360 One DSL to avail Portfolio Management Services. 360 One DSL including its affiliates, and any of its officers directors, personnel and employees, shall not liable for any loss, damage of any nature, including but not limited to direct, indirect, punitive, exemplary, consequential, as also any loss of profit in any way arising from the use of services of Portfolio Manager in any manner whatsoever.