

## Policy for Voluntary Freezing/Blocking of Trading Accounts

### **1. Introduction**

This policy outlines the framework and procedures for clients to voluntarily freeze/block and unfreeze/unblock their online trading accounts due to suspicious activities. This policy is part of the Risk Management Policy of [Trading Member's Name] and is in accordance with SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024, and NSE Circular No. NSE/INSP/61529 dated April 08, 2024, BSE Notice No: 20240408-12 dated 08/04/2024, MCX Circular: MCX/INSP/218/2024 dated 09/04/2024 and NCDEX Circular; NCDEX/COMPLIANCE-025/2024 dated 09/04/2024.

### **2. Modes of Request**

Clients may request to freeze/block their trading accounts using the following communication methods if any suspicious activity is observed.

- Email from registered e-mail ID
- Visit at nearest branch or HO and submit physical request.
- Telephonic Calling – **079 67776555**

The designated email ID for this purpose is: **stoptrade@affluence.ooo**

### **3. Request Handling Procedure**

Upon receiving a request to freeze/block an account:

- We shall validate the request from the registered contact details or use a client authentication procedure (2-Factor Authentication).
- We shall issue an acknowledgement and freeze/block the account within the prescribed timeline:
  - **During trading hours or 15 minutes before trading starts:** Within 15 minutes.
  - **After trading hours or 15 minutes before trading starts:** Before the next trading session begins.

We shall simultaneously cancel all pending orders of the client.

### **4. Post Freezing Actions**

After freezing/blocking the account:

- We shall notify the client via registered mobile number and e-mail ID that their account access has been frozen/blocked and all pending orders have been cancelled.
- We shall communicate details of open positions and contract expiry information within one hour to avoid unwanted delivery settlement.

### **5. Record Maintenance**

We shall maintain logs of requests received, confirmations issued for freezing/blocking, and communications sent to clients.

## ***6. Accountability***

We shall be responsible for any trades executed from the time of receiving the request until the account is frozen/blocked if the process is not completed within the prescribed timeline as specified in Para 3 herein.

## ***7. Re-enabling Account Access***

To unfreeze/unblock the account, we shall:

- Conduct necessary due diligence i.e Request received from client itself, via appropriate channel i.e Through Registered Email or Mobile or Written duly signed by client, etc.
- Validate the client's request.
- Unfreeze/unblock the account access after verification.

## ***8. Clarifications***

- Freezing/blocking only restricts online access to the client's trading account; it does not impact the Risk Management activities.
- The request for freezing/blocking does not mark the client's Unique Client Code (UCC) as inactive in Exchange records.

## ***9. Policy Disclosure***

This policy will be:

- Disclosed on our website along with the process and timelines for account freezing/blocking and unfreezing/unblocking.
- Included in the account opening kit for new clients from July 01, 2024.
- Communicated to existing clients by July 01, 2024, via email or other suitable mechanisms that can be preserved. In cases of bounced/undelivered communication, alternate channels such as physical delivery, SMS, or electronic instant messaging services will be used.