

BLOCK AND FREEZE – DEMAT /TRADING ACCOUNT POLICY

1. This policy is the procedures for voluntary Blocking/freezing of Demat Account/Trading accounts by the clients of SSBPL (Shilpa Stock Broking Private Limited) in accordance with SEBI & Exchanges Circulars.
2. This policy aims to guide SSBPL's clients on the process, modes, and other details for simplifying the voluntary Blocking/freezing of their Demat Account/Trading accounts upon noticing any suspicious activity.
3. This policy is applicable to all SSBPL's clients who wish to voluntarily block/freeze their Demat/Trading accounts.
4. This policy is part of SSBPL's Risk Management Policy and shall be reviewed annually by the Board of Directors to ensure compliance with regulatory changes.

5. ***Procedure for Blocking/Freezing Demat/Trading Account***

Message and/or Calling and Email on Dedicated Support Line:

- ***The client can send SMS to SSBPL at our dedicated number 8928681880 during office hours with their UCC code and PAN number through their registered mobile number and mention they want to BLOCK/FREEZE their Demat/Trading. (Office hours between 9:30 am – 5:30 pm on all day except Sundays and public Holidays).***
- ***The client can send an Email to SSBPL at our dedicated email ID stoptrade@ssbpl.net during office hours with their UCC code and PAN number through their registered Email Id and mention they want to BLOCK/FREEZE their Demat/Trading. (Between 9:30 am – 5:30 pm excluding Sundays and public holidays).***

6. Important Points to Note:

- It is advised that the client closes all their open positions before requesting to BLOCK / FREEZE the account.
- Client's account will be blocked, within 15 minutes of receiving the request during office hours. In case the message/email is sent post office hours, the account will be blocked on the subsequent working day.
- Confirmation of the freeze of the account will be sent to the client via email and SMS, including process for unblocking /unfreezing the account.

- All pending orders, whether placed online or offline by the client will be cancelled by the system and trading access will be blocked.
- Fund addition and withdrawal will be allowed, but profile modifications will not be permitted.
- It is strongly suggested to change his/her login password immediately after blocking/freezing the account.
- **Clients having open positions can call on +91 22-40324307/362 to close them.**
- To unfreeze the account, clients can call/sms/email through their registered mobile/email ID.
- If there is margin shortage, client position will be auto squared off to the extent of margin shortage.
- If client's account has a negative balance, their investments will be sold to cover the amount owed.
- If there is any open position under intraday product will be auto squared off by the system as per the intraday product policy.
- The request for blocking/freezing will result in blocking/freezing of DEMAT/Trading accounts in our system only. It will in no way change the UCC status of the client in Exchange records.

7 Reference circulars for Blocking/Freezing

- SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024
- NSE/INSP/61529 dated April 08, 2024
- BSE notice 20240408-12 dated 08 Apr 2024

For Shilpa Stock Broking Private Limited



Shikha Amit Mundra
Director
DIN:10194882
Date:01/07/2024

