

STOCKHOLDING SERVICES LIMITED

Policy for Voluntary freezing/ Unfreezing of the online access of the Clients trading account

Preamble

As per requirements of SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 on Ease of Doing Investments by Investors- Facility of voluntary freezing/ unfreezing of Trading Accounts by Clients, Industry Standards Forum in consultation with the Exchanges issued Framework for Trading Members for providing the facility of voluntary freezing/ blocking the online access of the trading account to their clients on account of suspicious activities in NSE Circular reference no. NSE/INSP/61529 dated April 8, 2024 and BSE Circular 20240408-12 dated April 8, 2024.

Scope:

This policy shall be applicable as and when clients are required to freeze / block online access to their trading account and subsequently desire to unfreeze the same.

StockHolding Services Limited provides Internet Based Trading (IBT) System viz. StockNidhi and Mobile Trading App viz. StockFin. As per above mentioned Regulatory circulars, SSL provides the following modes of communications through which the client may request for voluntary freezing/ unfreezing of the online access of the trading account if any suspicious activity is observed in the trading account:

1. SSL Website (StockNidhi hosted on SSL Website)
2. SSL Mobile Application (SSL's Mobile app 'StockFin')
3. Email from registered e-mail ID

Framework for voluntary Freeze of online access of client's Trading Account:

i. Through website or Mobile application

- The client needs to log in to web application StockNidhi or Mobile trading application "StockFin" using valid login credentials. Upon selecting the "Freeze Account" option in the Account Settings, pop-up message will be displayed informing the client that all his/her pending orders will be cancelled on account freeze. Account will be frozen on clicking 'OK' thereby disabling the Online trading access to the client.
- An intimation through SMS will be sent to the client, informing them that all pending orders will be cancelled.

- After the account is frozen, the client will receive a confirmation email containing details of the cancelled pending orders and open positions (if any).

ii. Through email from registered mail id of the Client

SSL has provided dedicated e-mail Id stoptrade@stockholdingservices.com receipt of Communication for voluntary freezing/ blocking of online access of their account.

The timelines for freezing/ blocking the online access of the client's trading account is as under: -

Scenario	Timelines for issuing acknowledgment as well as Freezing/blocking of the online access of the trading account.
Request received during the trading hours and Within 15 minutes before the start of trading.	Within 15 minutes
Request received after the trading hours and 15 Minutes before the start of trading.	Before the start of the next trading session

Note: Trading hours shall be as follows:

- Capital Market Segment: 9.15 a.m. to 3.30 p.m., Equity Derivatives Segment: 9.15 a.m. to 3.30 p.m., Currency Derivatives Segment: 09.00 a.m. to 05.00 p.m., Commodity Derivatives Segment: 09.00 a.m. to 11:30 p.m.

Framework for Voluntary Unfreeze of online access of client's Trading Account:

- The client can unfreeze their account by clicking on the unfreeze account option available on the login page of StockNidhi or the Stock Fin mobile application. The client needs to enter his account details (UCC, PAN, DOB, DP ID, and Demat Account number). Post successful OTP authentication, the client will regain online access to their trading account. Once the account is reactivated or unfrozen, the client will receive a notification via SMS and email confirming that their account is now unfrozen.
- Alternatively, the Client also has the option to Unfreeze the online access by sending an email to starttrade@stockholdingservices.com from registered email address, including trading account details (UCC, PAN, and DOB).

Important points:

- 1) Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of SSL.
- 2) The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the Exchange records.
- 3) The SSL maintains all logs of freeze and unfreeze request and communications sent shall be maintained for audit trail
- 4) SSL will re-enable the online access of trading account after carrying out necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account.
- 5) The freeze, unfreeze, issue of communication shall be within the timelines specified by SEBI / Exchanges in this regard.

Policy Review:

The said policy shall be a part of SSL Risk Management Policy and shall be reviewed on a yearly basis.