

Date: _____

To,
The Director
Prabhat Financial Services Limited
205, Navjeevan Complex
29, Station Road,
Jaipur

Sub: Activation of dormant trading account.

Dear Sir,

I am having a trading account with your company. My client code is _____. I have not traded in my client code during _____ year _____ months.

I am enclosing herewith self attested copy of my address proof, bank statement/passbook copy and DP client master of demat account for your verification and record.

I request you to please activate my trading account at an early date.

Thanking you,

Yours faithfully,

(_____)

Client Code: _____

Encl: as above,

Place: _____

Date: _____

Trading Account activation after 365 days but before 2 years from the date of last trade executed

Client Name: _____

Client Code: _____

A. Income Slab - Please tick as applicable

Gross Annual Income Details

| | | | |
|--|-----------------------|--|----------------------|
| | Below Rs. 1 Lac | | Rs. 1 Lac to 5 Lac |
| | Rs. 5 Lac to 10 Lac | | Rs. 10 Lac to 25 Lac |
| | Rs. 25 Lac to 1 Crore | | >1 Crore |

OR

Net Worth (Net worth should not be older than 1 year) Amount Rs.....

As on (date)

B: CHANGE IN BANK ACCOUNT(S) DETAILS, if any

New Bank Account detail:

Bank Name-

Branch Address-

Bank Account Number-

Account Type-

IFSC Code-

C: Change in TRADING PREFERENCES - Sign against applicable Exchange and Segment

| Segment Name | Signature |
|--------------------------|-----------|
| NSE CASH | |
| NSE EQUITY F&O | |
| NSE Currency Derivatives | |
| BSE CASH | |

D:Change in in email - Old email id

New Email id-

E: Change in Mobile no. Old Mobile No

New Mobile No.

Trading Account activation after 2 Years from the date of last trade executed-

Please fill up above details, if applicable and submit following documents:

(A) PAN (B) Address Proof (C) Bank Statement not older than 3 months

(D) Client Master of demat Account (E) Any other document as applicable

Place:

Date:

Signature of Client

IPV done by Name

Designation

Date

Signature with stamp

N

Know Your Client (KYC)
Application Form (For Non-Individuals Only)



Application No. :

Please fill in ENGLISH and in BLOCK LETTERS with black ink

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

Grid for Name of Applicant

2. Date of Incorporation dd / mm / yyyy

Place of Incorporation

3. Registration No. (e.g. CIN)

Date of commencement of business dd / mm / yyyy

- 4. Status Please tick (✓) Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership Trust / Charities / NGOs
FI FII HUF AOP Bank Government Body Non-Government Organisation
Defence Establishment Body of Individuals Society LLP Others (Please specify)

5. Permanent Account Number (PAN) (MANDATORY) Please enclose a duly attested copy of your PAN Card

PHOTOGRAPH

Please affix the recent passport size photograph of Authorised Signatory and sign across it



B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

Grid for Address for Correspondence

2. Contact Details

Grid for Contact Details (Tel, Mobile, E-Mail, Fax)

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

- *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises
Any other proof of address document (as listed overleaf). (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted dd / mm / yyyy

4. Registered Address (If different from above)

Grid for Registered Address

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

- *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises
Any other proof of address document (as listed overleaf). (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted dd / mm / yyyy

C. Other Details

1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors :

2. a) DIN of whole time directors :

b) Aadhaar number of Promoters/Partners/Karta :

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

NAME & SIGNATURE(S) OF AUTHORISED PERSON(S)



Place:

Date:

FOR OFFICE USE ONLY

AMC/Intermediary name OR code

PRABHAT FINANCIAL SERVICES LIMITED


- (Originals Verified) Self Certified Document copies received
(Attested) True copies of documents received

Seal/Stamp of the Intermediary should contain Staff Name Designation Name of the Organization Signature Date

Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant.

Please Read Here

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

| Name of Applicant | | PAN of the Applicant | | | | | |
|-------------------|-----|----------------------|--|----------------------------------|---|--|---|
| Sr. No. | PAN | Name | DIN (For Directors) / UID (For Others) | Residential / Registered Address | Relationship with Applicant (i.e. promoters, whole time directors etc.) | Whether Politically Exposed | Photograph |
| | | | | | | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO |  |
| | | | | | | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO | |
| | | | | | | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO | |
| | | | | | | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO | |
| | | | | | | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO | |

DEED OF DECLARATION OF HUF

I, _____ residing at the address _____
_____ do solemnly

affirm that I am the Karta of the Hindu Undivided and following members are included in the HUF.

Details of Coparceners / Family Members :

| S.No. | Name of Coparceners / Family Members | Sex Code | Date of Birth | Relationship with Karta |
|-------|--------------------------------------|----------|---------------|-------------------------|
| 1. | | | | |
| 2. | | | | |
| 3. | | | | |
| 4. | | | | |
| 5. | | | | |
| 6. | | | | |
| 7. | | | | |
| 8. | | | | |
| 9. | | | | |
| 10. | | | | |
| 11. | | | | |
| 12. | | | | |
| 13. | | | | |
| 14. | | | | |
| 15. | | | | |

Specimen signature for and on behalf of Karta

Name : _____



Signature of Karta
Along with the rubber stamp

ANNEXURE - 3

TRADING ACCOUNT RELATED DETAILS

(For Individuals & Non-Individuals)

A. OTHER DETAILS

- Gross Annual Income Details : Income Range per annum : Below Rs. 1 Lac Rs. 1 Lac to 5 Lac
(please specify) Rs. 5 Lac to 10 Lac Rs. 10 Lac to 25 Lac Rs. 25 Lac to 1 Crore >1 Crore
OR

Net Worth (Net worth should not be older than 1 year) Amount Rs.

as on (date) (Compulsory for Non-Individuals)

- Occupation : Private Sector Public Sector Government Service Business Professional
(please tick any one and give brief details) Agriculturist Retired Housewife Student Others _____ Please Specify
- Please tick, if applicable : Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)
- Any other information : -

B. BANK ACCOUNT(S) DETAILS

| Bank Name | Branch Address | Bank Account Number | Account Type | MICR Number | IFSC Code |
|-----------|----------------|---------------------|---|-------------|-----------|
| | | | <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others - in case of NRI / NRE / NRO | | |

C. DEPOSITORY ACCOUNT(S) DETAILS

| Depository Participant Name | Name of Depository | Beneficiary Name | DP ID | Beneficiary ID (BO ID) |
|-----------------------------|---|------------------|-------|------------------------|
| | <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL | | | |
| | <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL | | | |

D. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

| Stock Exchange | Market Segment/s | |
|------------------------------|---|-----------------------------------|
| <input type="checkbox"/> NSE | Cash <input type="checkbox"/> 3(a) Currency Derivative <input type="checkbox"/> 3(c) | F&O <input type="checkbox"/> 3(b) |
| <input type="checkbox"/> BSE | Cash <input type="checkbox"/> 3(d) | F&O <input type="checkbox"/> 3(e) |

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

E PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years :

RUNNING ACCOUNT AUTHORISATION**PRABHAT FINANCIAL SERVICES LIMITED**

Regd. Office : 118/610-A Kaushal Puri,
KANPUR-208 012 (U.P.)
Corporate Office: 205, Navjeevan
Complex, 29 Station Road, JAIPUR -
302 006 (Raj.)

I/We have been / shall be dealing through you as my/our broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments. As my/our broker i.e. agent I/ we direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below.

I am/ We are aware that you and I/we have the option to deliver securities/ make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchange/ regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds. Further, I/we also desire to use my/our monies as margin/ collateral without which we cannot deal/trade.

Therefore I/we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these funds from running accounts and make pay-in of funds to exchanges/ clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive funds in settlement of trades/ dealings please keep the monies with you and make credit entries for the same in running accounts of funds maintained by you. Further, subject to your discretion please treat my/our funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/trading.

In the event I/we have outstanding obligations on the settlement date, may retain funds towards such obligations and may also retain the funds permissible as per Rules and Regulations of Exchange/s. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds displaying all receipts/payment of funds. Please explain in the statement(s) being sent the retention of funds/ and the details of the pledge, if any. I agree that if I/we fail to bring any dispute arising from the statement of accounts or settlement so made to your notice within 7 working days from the date of receipt of funds statement, as the case may be in writing by delivery at your registered office then in that event the statement of accounts or settlement so made shall attain finality and I/we shall have no right to dispute any/either of these ever. Please do not carry out above stated settlement of running account in the event I/we avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

“Please further note that I shall be entitled to revoke this authorization at any time.”

My / Our preference for actual settlement of funds and securities is at least.

Once in a Calendar Quarter

Once in a Calendar Month

Thanking You,

Yours faithfully,



Signature

Client Name:.....

Client Code:.....

Date:

(Note: To be signed by person himself/herself not to be signed by his/her attorney/authorised person etc.)

AUTHORISATION FOR ELECTRONIC CONTRACT NOTES / STATEMENTS

To,

PRABHAT FINANCIAL SERVICES LIMITED

Regd. Office :“Satyam”, 4/276, Parwati Bagla Road,
KANPUR-208 002 (U.P.)
Corporate Office : 205, Navjeevan Complex,
29 Station Road, JAIPUR -302 006 (Raj.)

I / We have been / shall be dealing through you as my / our broker on the Capital Market and / or Futures & Options Segments / Currency Derivative Segments. As my/our broker i.e. agent. I / We direct and authorize you to carry out trading / dealings on my / our behalf per instructions given below.

I / We understand that, I / we have the option to receive the contract notes, account statements / statement of securities physical form or electronic form. In pursuance of the same, I / we hereby opt for receipt of contract notes, account statements / statement of securities in electronic form. I / We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes and account statements. Accordingly, please take the following email account / email id on your record for sending the contract notes to me/us.

.....
.....

I / We agree not to hold you responsible for late / non-receipt of contract notes and account statements sent in electronic form and any other communication for any reason including but not limited to failure of email servers, loss of connectivity, email in transit etc. I / we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me / us on account of any non-receipt / delayed receipt for any reason whatsoever.

I / We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s) / email id(s).


In terms of the agreement entered into between us, in Digital form, Digital contract issued by your as per the terms and conditions specified shall be binding on me. I/We undertake to check the contract notes and bring the discrepancies of your notice within 24 hours of such issuance of contract notes , my/ our non-verification or not accessing the contract on regular basis shall not be a reason for disputing the contract note at any time.

This instruction to issue digital contract note is applicable with immediate effect.

I/We also acknowledge the upload of contract notes/bills, statement of accounts/ledgers and other statements/ documents for trading on NSE on your website w ww.pfslindia.co.in. I /We hereby agree and confirm to verify the information/documents that are sent on email and/or upload on the said website regularly and the same shall be deemed to be received by me/us (vide SEBI circular ref.No. SEBI/SMD/SE/15/2003/29/04 dated April 29, 2003, regarding issuance of contract notes/bills, statements of ledger/accounts in digital/electronic form and also to disseminate the same on the website for easy access to the Investor)

I/We understand that I am required to intimate any change in the email id / email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/we am/are an internet client then in that event the request for change in email id/ email account can be made by me/ us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my /our verbal directions / authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above

Thanking you,
Yours faithfully,

 13

Signature

Client Name :

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ Authorized person etc.]

Voluntary Document

In case of an individual client on plain paper and in case of a non-individual client on letter head of client.

M/s Prabhat Financial Services Limited
205, Navjeevan Complex
29, Station Road
Jaipur-302006 (Rajasthan)

Subject: SMS and Email Alerts by Stock Exchange.

Dear Sir,

I/We wish to avail facility of SMS and email alerts which Stock Exchanges shall send for detail of transactions done by me/us. I/We are giving here below my/our email address and mobile number.

Email: _____

Mobile No.: _____

Please do the needful to enable me/us to receive Sms and email alerts sent by Stock Exchanges.

Thanking you,

Yours faithfully.

Client Code:

Date :
Place:

Declaration for transfer of securities towards Collateral for margin obligation

To
Prabhat Financial Services Limited
205, Navjeevan Complex,
29, Station Road, Jaipur- 302006

Letter of Authorisation to pledge the securities with Clearing Member/ Clearing Corporation

We are dealing through you as a client registered in NSE/BSE in Capital Market/ Future & Options/ Currency Derivatives/ Commodity Segments. We have given you the securities as margin. We hereby confirm and declare that:

- (i) the Securities are in existence, owned by us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise.
- (ii) the Securities will be subject to the creation of pledge in favour of or for the benefit of Trading Member and further that the Securities over which pledge may be created in future would be in existence and owned by us at the time of creation of such pledge and that the Said Securities to be given in future as security to Trading Member would likewise be unencumbered, absolute and disposable property of us.
- (iii) We authorise you to do all such acts and things, sign such documents and pay and incur any such costs, debts and expenses as may be necessary from time to time.
- (iv) We agree that the securities shall be subject to the first priority and lien in favour of Trading Member to secure, our obligations and that the rights or interests of us with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Trading Member in respect of the Said Securities.
- (v) You may invoke the pledge without any reference to or permission of us and upon receipt of the Said Securities, Trading Member may utilize the proceeds in meeting our obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against us.
- (vi) We shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities.

Place:

Date:

Signature: _____

Client Name: _____

Client Code: _____



PRABHAT FINANCIAL SERVICES LIMITED

Corporate Office: 205, Navjeevan Complex, 29 Station Road, Jaipur-302006 Phone : +91-141-4162021-22-23-24

Fax : +91-141-4162050 Mobile : 93148 84111 E-mail : pfsindia@hotmail.com Website : www.pfsindia.co.in

CIN No. U67190UP1995PLC017537 GSTIN No. : 08AAACP8036A1ZR



Member : National Stock Exchange of India Limited, Bombay Stock Exchange Limited SEBI REGN. NO. INZ000169433
D P : Central Depository Services (India) Limited. SEBI REGN NO. IN-DP-CDSL-216-2003

To our Esteemed Clients,

POLICY FOR SHORTAGES IN OBLIGATION ARISING OUT OF INTERNAL NETTING OF TRADES

Objective: The objective of policy is to appropriately deal settlement of shortages in obligations arising out of internal netting of trades. This policy shall be applicable to both Clients as well as Trading Members.

Purpose: Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligation first.

Procedure to handle shortages in obligations arising out of internal netting of trades:-

1. The Short delivering client is debited by an amount equivalent to higher of 5% above the official closing price on the auction day OR the highest traded price from first trading day of the settlement till the auction day and the amount shall be credited to the short purchasing client.
2. In cases of securities having corporate actions and no 'no-delivery period' for the corporate action, all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction pay out is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.
3. Notwithstanding anything contained in Clause No.1 as above, in case the shortages in obligations arising out of internal netting of trades of **securities which are available for trading in Future & Option segment of Exchange**, then the delivering client is debited by an amount equivalent to higher of
 - a) 2% above the official closing price on the auction day in case the scrip is a part of Nifty Index otherwise 5%

OR

 - b) The highest traded price from first trading day of the settlement till the auction day

the amount shall be credited to the short purchasing client.

Place: Jaipur
Date: January 01, 2020

For Prabhat Financial Services Limited
Sd
Director

Client Name: _____ Client Code:- _____ Client Signature: _____.



PRABHAT FINANCIAL SERVICES LIMITED



Corporate Office: 205, Navjeevan Complex, 29 Station Road, Jaipur-302006
Phone : +91-141-4162021-22-23-24 Fax : +91-141-4162050 Mobile : 93148 84111
E-mail: pfsindia@hotmail.com Website : www.pfsindia.co.in

CIN No. U67190UP1995PLC017537

Member : National Stock Exchange of India Limited, Bombay Stock Exchange Limited, SEBI REGN. NO. -INZ000169433
D P : Central Depository Services (India) Limited. SEBI REGN NO. IN-DP-CDSL-216-2003

Dear Esteemed Client,

1. Kindly note that we are not required to have a Business Continuity / Disaster Recovery (DR) Plan / Site under the existing regulatory provisions and as per guidelines issued by the Stock Exchange/s.
2. We have provided you a copy of Investor Charter -- Stock Brokers & Depository Participants.
3. *Kindly note that the stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.*
4. *Kindly note that we do Proprietary trading as Trading Member of NSEIL and BSE.*
5. *Kindly specify your Trading Preferences.*

| TRADING PREFERENCES | | | | | |
|---|--------------------------------------|-----|----------|------|-----------------------|
| Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you. | | | | | |
| Exchanges | NSE , BSE & MSEI - Signature : _____ | | | | MCX, NCDEX, BSE & NSE |
| All Segments | Cash / Mutual Fund | F&O | Currency | Debt | Commodity Derivatives |
| _____ | | | | | |
| If you do not wish to trade in any of segments / Mutual Fund, please mention here _____. | | | | | |

Signature: _____

Client Name:

Client Code:

Place:

Date:

REGD OFFICE : 118/610-A, Kaushal Puri, Kanpur-208012 (U. P.) Mobile-9889533633, Ph.0512-2526347
HEAD OFFICE : Second Floor, J-42 Saket, New Delhi- 110017 Ph.011-65653125

National Stock Exchange of India Limited

Annexure A

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.



PRABHAT FINANCIAL SERVICES LIMITED



Corporate Office: 205, Navjeevan Complex, 29 Station Road, Jaipur-302006

Phone : +91-141-4162021-22-23-24 Fax : +91-141-4162050 Mobile : 93148 84111

E-mail : pfsindia@hotmail.com Website : www.pfsindia.co.in

CIN No. U67190UP1995PLC017537

Member : National Stock Exchange of India Limited, Bombay Stock Exchange Limited, SEBI REGN. NO. INZ000169433
D P : Central Depository Services (India) Limited. SEBI REGN NO. IN-DP-CDSL-216-2003

VOLUNTARY FREEZING/BLOCKING OF THE ONLINE TRADING ACCOUNT POLICY

Version 1.0

Table of Contents

| | |
|---|---|
| 1. Introduction..... | 2 |
| 2. Purpose..... | 2 |
| 3. Scope and Applicability..... | 3 |
| 4. Procedure to Freeze/Block the Online Trading Account | 2 |
| 4.1 Timelines..... | 2 |
| 4.2 Mediums..... | 3 |
| 4.3 Verification (Mandatory)..... | 3 |
| 5. Procedure to Unfreeze/Unblock the Online Trading Account | 3 |
| 6. Duration and Conditions..... | 3 |
| 7. Clarifications..... | 3 |

REGD OFFICE :118/610-A, Kaushal Puri , Kanpur-208012 (U. P.) Mobile-9889533633, Ph.0512-2526347

HEAD OFFICE :Second Floor,J-42 Saket, New Delhi- 110017 Ph.011-65653125



PRABHAT FINANCIAL SERVICES LIMITED

Corporate Office: 205, Navjeevan Complex, 29 Station Road, Jaipur-302006

Phone : +91-141-4162021-22-23-24 Fax : +91-141-4162050 Mobile : 93148 84111

E-mail : pfsindia@hotmail.com Website : www.pfsindia.co.in



CIN No. U67190UP1995PLC017537

Member : National Stock Exchange of India Limited, Bombay Stock Exchange Limited, SEBI REGN. NO. INZ000169433
D P : Central Depository Services (India) Limited. SEBI REGN NO. IN-DP-CDSL-216-2003

1. Introduction

This policy (v 1.1) has been framed as per the SEBI Circular no. [SEBI/HO/MIRSD/POD-1/P/CIR/2024/4](#) dated January 12, 2024 and Exchange Circular no. NSE/INSP/60277 dated January 16, 2024 on the subject “*Ease of Doing Investments by Investors - Facility of voluntary freezing/ blocking of Trading Accounts by Clients*”.

Accordingly, this document has been derived from the framework presented by the exchange in response to the aforementioned circulars, via the Exchange Circular no.: [NSE/INSP/61529](#) dated April 08, 2024 on the subject: “*Framework for Trading Members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients*”.

This document is a handbook for the clientele of Prabhat Financial Services Limited (*hereinafter referred to as PFSL*), outlining the process and mode(s) through which they can request to freeze / block & unfreeze/unblock their trading account.

2. Purpose

The procedures outlined herein are per regulatory requirements in the aforementioned circulars. All clients are requested to note that the forthcoming guidelines are issued to facilitate the freezing/blocking of their respective online trading accounts upon explicit requests from the client's end in case they notice any suspicious activity on their trading accounts.

A few instances of suspicious activities would include:

- Fresh positions being taken without the client's knowledge or action.
- Holdings being sold without the client's knowledge or action.
- A client is unable to access his/her account.
- A client notices a change in their linked bank account/ email/ mobile number without them having placed a request.
- A share transfer via gift/ easiest is initiated without the client's knowledge or action.

3. Scope and Applicability

This policy applies to all trading members and their clients who wish to voluntarily freeze or block online access to their trading accounts.

4. Procedure to Freeze/Block the Online Trading Account

4.1 Timelines

In line with regulatory requirements, upon the explicit request from a client to block the online access to their trading account through any of the modes mentioned in the forthcoming sections, all efforts will be taken by PFSL Personnel to fulfill the request as per the below timelines:

- a. For requests received within trading hours, all efforts shall be taken to block the account within 15 min.
- b. For requests received after trading hours up until 15 minutes before the market opening time, all efforts will be taken to block the account before the start of the next trading session.

REGD OFFICE :118/610-A, Kaushal Puri , Kanpur-208012 (U. P.) Mobile-9889533633, Ph.0512-2526347

HEAD OFFICE :Second Floor,J-42 Saket, New Delhi- 110017 Ph.011-65653125



PRABHAT FINANCIAL SERVICES LIMITED

Corporate Office: 205, Navjeevan Complex, 29 Station Road, Jaipur-302006

Phone : +91-141-4162021-22-23-24 Fax : +91-141-4162050 Mobile : 93148 84111

E-mail : pfsindia@hotmail.com Website : www.pfsindia.co.in



CIN No. U67190UP1995PLC017537

Member : National Stock Exchange of India Limited, Bombay Stock Exchange Limited, SEBI REGN. NO. INZ000169433
D P : Central Depository Services (India) Limited. SEBI REGN NO. IN-DP-CDSL-216-2003

4.2 Mediums

Clients can report suspicious activities on their trading account via the following mediums:

- By mailing on the dedicated email ID: stoptrade@pfsindia.co.in
- By calling the dedicated number: **0141-4162044/41** (between 8:30 am and 5:00 pm)

4.3 Verification (Mandatory)

- Requests raised on calls
 - Clients should call the dedicated number, **0141-4162044/41**, from their registered phone numbers (number registered with PFSL).
 - Please note that stringent identity verification will be conducted before considering any client's block requests. Hence, all clients are requested to keep all basic Personal Identification Information (PII) handy to facilitate the smooth and fast processing of requests.
- Requests raised via dedicated Email
 - Clients are recommended to mail from their registered email address (email ID registered with PFSL).
 - Clients are requested to give relevant and detailed information regarding the suspicious activity they have noticed on their trading accounts.
 - Clients who have raised block requests by mail shall receive a call back promptly from PFSL personnel. Hence, they are advised to answer the call without fail.

5. Procedure to Unfreeze/Unblock the Online Trading Account

- Clients can unfreeze/unblock their online trading accounts by raising a request via any of the modes prescribed under section 4.2.
- Requests to unfreeze or unblock accounts must be processed promptly to restore client access

6. Duration and Conditions

- 6.1 Clients can specify the duration for which they want their accounts to be frozen. If no duration is specified, the freeze will remain until the client requests to unfreeze it.
- 6.2 Blocking requests are considered long-term and will require a formal request to lift the block.

7. Clarifications

It is clarified that:

- Freezing/blocking is only for online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of PFSL.
- The request for freezing/blocking does not constitute a request for marking the client's Unique Client Code (UCC) as inactive in the Exchange records.

Effective Date: July 01st, 2024

Approved by: Shri Prakash Kabra (Director)

REGD OFFICE : 118/610-A, Kaushal Puri , Kanpur-208012 (U. P.) Mobile-9889533633, Ph.0512-2526347

HEAD OFFICE : Second Floor, J-42 Saket, New Delhi- 110017 Ph. 011-65653125