



PRABHAT FINANCIAL SERVICES LIMITED

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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

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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 Exchanges Circulars 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 Exchanges Circulars 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.

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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)