

R. J. Stock Broking Pvt. Ltd.

**Voluntary freezing of the Trading  
account policy**

Ver. 1.0

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## **1. Introduction**

This policy outlines the procedures for voluntary freezing of trading accounts for clients of R. J. Stock Broking Pvt. Ltd. (hereinafter referred to as RJSBPL) in accordance with SEBI & Exchange Circulars.

## **2. Purpose**

This policy aims to guide RJSBPL clients on the process, modes, timelines, and other details for facilitating the voluntary freezing of their trading accounts upon noticing any suspicious activity.

## **3. Scope and Applicability**

This policy is applicable to all RJSBPL clients who wish to voluntarily freeze their trading accounts.

## **4. Review**

This policy is part of RJSBPL's Risk Management Policy and shall be reviewed annually by the Board of Directors or earlier if necessary to ensure compliance with regulatory changes.

## **5. Procedure to Freeze Trading Account**

### **Calling a Dedicated Support Line:**

- Call RJSBPL at the dedicated number 022- 41600611/612/613/614 (between 9:30 am – 5 :30 pm excluding Sundays and public holidays).
- The customer support agent will verify the client's identity and may request additional information.
- Once verified, the agent will freeze the account.

## **6. Procedure to Unfreeze Online Trading Account**

- Clients can call the dedicated support line on 022- 41600611/612/613/614 and follow the agent's instructions. After necessary due diligence, the account will be unfrozen within approximately 30 minutes subject to necessary validations.
- After the account has been unfrozen, the client can resume trading.
- Clients will be allowed to trade through both online and offline modes, i.e. call and trade or through IBT.

## **7. Important Points to Note:**

- It is advised that the client closes all his open positions before giving the request for freezing the account.
- Client's account will be blocked, within 15 minutes of receiving the freeze request.
- Confirmation of the freeze of the account will be sent via email and SMS.
- All pending orders, whether placed online or offline by the client, will be cancelled by the system and trading access will be blocked.
- Clients will receive details of any open positions along with contract expiry information within an hour of freezing the account.
- Fund addition and withdrawal will be allowed, but profile modifications will not be permitted.
- Clients with open positions can call 022- 41600611/612/613/614 to close them.
- To unfreeze the account, clients can call 022- 41600611/612/613/614.
- In case client MTM is 80% or above, all the open positions will be auto squared off as per risk management policy of RJSBPL.
- In case of 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.
- Any open position under Intraday product will be auto squared off by the system as per the Intraday product policy.

## **8. Clarifications:**

It is clarified that-

- a. Freezing/blocking is only for access to the client's trading account, and there shall be no restrictions on the Risk Management activities of R. J. Stock Broking Pvt. Ltd. Clients will be liable to adhere to the existing risk policy already in place.
- b. The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the Exchange records.

c. Clients will be able to access the account in frozen state, although trading or profile modification options will be blocked

d. Freeze Request once submitted cannot be cancelled. Although the client can call us at 022-41600611/612/613/614 and place a request for unfreeze.

**9. Circular references:**

- 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
- MCX/INSP/218/2024 dated April 09, 2024
- NCDEX/COMPLIANCE-025/2024 dated April 09, 2024