

VOLUNTARY FREEZING OF THE ONLINE TRADING ACCOUNT POLICY

Index

Sr No	Particulars	Page no
1	Introduction	2
2	Purpose	2
3	Scope and Applicability	2
4	Review	2
5	Procedure to Freeze Online Trading Account	2
6	Procedure to Unfreeze Online Trading Account	3
7	Important Points to Note	3
8	Clarifications	3
9	Circular references	4



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1. INTRODUCTION

This policy outlines the procedures for voluntary freezing of trading accounts for clients of Adroit Financial Services Private Limited (hereinafter referred to as AFSPL) in accordance with SEBI & Exchange Circulars.

2. PURPOSE

This policy aims to guide AFSPL 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 AFSPL clients who wish to voluntarily freeze their online trading accounts.

4. REVIEW

This policy is part of AFSPL'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 ONLINE TRADING ACCOUNT

(A) Calling a Dedicated Support Line:

- Call AFSPL at the dedicated number **0120-455320** from your registered mobile number (between 9:00 am – 5:30 pm excluding Saturday / Sundays and public holidays).
- The customer support agent will verify the client's identity and may request additional information.
- Once verified, we will proceed to freeze your trading account immediately.

(B) Email from registered e-mail ID

- Send account freezing request to dedicated email id **stoptrade@adroitfinancial.com** from your registered email id (between 9:00 am – 5:30 pm excluding Saturday / Sundays and public holidays) having subject line – "Account Freezing Request" along with your Client Id.
- The customer support agent will validate the request.
- Once verified, we will proceed to freeze your trading account immediately.

Upon freezing the account, here is what will happen:

- All your pending orders will be cancelled with immediate effect.
- Your open positions will NOT be squared off.
- You will be logged out of all active sessions.



6. PROCEDURE TO UNFREEZE ONLINE TRADING ACCOUNT

- Clients can call the dedicated support line at **0120-4550320** 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 AP terminal.

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, including process to unfreeze 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.
- Clients will receive details of any open positions along with contract expiry information within an hour of freezing the account.
- Upon freezing, the client will be logged out of the app but can log in for exploratory purposes without the ability to place trades.
- New SIPs will not be executed while the account is frozen.
- Fund addition and withdrawal will be allowed, but profile modifications will not be permitted.
- 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 the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of Adroit Financial Services Private Limited. 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. Client 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 **0120-4550320** 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

