

FRR Shares And Securities Limited

Policy for Voluntary Freezing / Blocking of the Online Trading account on Suspicious Activity

POLICY ON PROVIDING THE FACILITY FOR VOLUNTARY FREEZING / BLOCKING OF ONLINE ACCESS OF THE TRADING ACCOUNT TO CLIENTS

Annexure to Risk Management Policy

Introduction:

In an effort to enhance the ease of business operations and investment activities for investors, and to safeguard investors from suspicious activities, SEBI, through its circular ref. No. **SEBI/HO/MIRSD/POD-1/P/CIR/2024/4** dated January 12, 2024, has mandated a framework for stock exchanges. This framework requires Trading Members to provide clients with the facility to voluntarily freeze/block online access to their trading accounts. Consequently, stock exchanges have issued circulars detailing this framework. In line with these directives, the following policy has been formulated for the voluntary freezing/blocking of trading accounts.

Scope:

This policy shall be applicable as and when clients of FRR SHARES AND SECURITIES LIMITED (FRRSSL) requires to freeze / block online access to their trading account on account of suspicious activities and subsequently desires to unfreeze the same.

Mode of intimation by client for freezing/ blocking trading account

Client willing to freeze/block the online access of trading account on account of observance of any suspicious activity may request for voluntary freezing/blocking the online access of trading by following modes.

1. Sending Email to stoptrade@frrshares.com / compliance@frrshares.com from registered e-mail ID of Client.
2. Phone : 022-69064200 / 9320174101 / 9867378928 , from registered mobile number (Mon –Fri : 8.30 am -- 5.00 pm)

Upon receiving the request from respective clients registered email ID / Mobile No. and after verifying the details, FRR Team will freeze / block the account.

Communication post freezing/blocking on-line access of trading account:

A communication will be sent to the client's registered mobile number and e-mail ID, stating that online access to the trading account has been frozen / blocked and all the pending orders in the trading account, if any, have been cancelled.

Details of open positions (if any) will also be communicated to the client, along with contract expiry information within one hour of freezing/blocking the trading account.

Timelines for Freezing/Blocking the Online Access:

Scenario	Timelines for Issuing Acknowledgement and Freezing/Blocking
Request received during trading hours and within 15 minutes before the start of trading	Within 15 minutes
Request received after trading hours and 15 minutes before the start of the next trading session	Before the start of the next trading session

Record Maintenance:

Records/log regarding requests received to freeze/block online access of trading accounts should be preserved for future use. Confirmation given for freezing/blocking online access of the trading account and cancellation of pending orders, if any, will be sent to the clients.

Process for re-enabling the client for online access of the trading account:

Clients wishing to unfreeze/unblock their account must send an email to stoptrade@frrshares.com / compliance@frrshares.com from their registered email ID. Upon receipt of the email, the FRRSSL team will contact the client to confirm the request. The account will be unfrozen only after carrying out necessary due diligence, including validating the client's request.

Once such request has been received and authenticated, the same will be processed promptly and within a reasonable time.

Clarifications:

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

Effective Date: This policy is effective from 1st July 2024

Review and update: This policy shall be reviewed and updated annually basis or as and when changes are introduced by any statutory authority.