



J V EQUITIES PVT. LTD.

Member of NSE-CDSL-MCX-NCDEX

POLICY FOR VOLUNTARY FREEZING OF ONLINE ACCESS OF CLIENT'S TRADING ACCOUNT

Version 1.1 Review dated: August 19, 2024



Policy for voluntary freezing of client's online access

1. **Background :**

SEBI vide its circular SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 and NSE Exchange Circular no. NSE/INSP/60277 dated January 16, 2024, BSE Circular No. 20240408-12 dated 08th April 2024 MCX Circular No. MCX/INSP/036/2024 dated January 19, 2024 and NCDEX Circular No. NCDEX/COMPLIANCE-009/2024 dated January 17, 2024 mandated trading members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients on account of suspicious activities.

The said circular also requires the trading members to frame a policy in line with the framework specified by the Exchanges, which shall be the part of the trading member's Risk Management Policy. The trading members shall disclose the said policy on their website. The said policy shall also form a part of the account opening kit for all new clients on boarded with effect from July 01, 2024.

2. **Scope:**

This policy shall be applicable as and when clients requires to freeze / block online access to their trading account and subsequently desires to unfreeze the same.

3. **Framework for voluntary freezing of online access of client's trading account –**

a. Request for freezing

- i. Client may request for voluntary freezing / blocking the online access to their trading account through any one of the following modes that shall be made –

Through Email

Clients can send an email to **stoptrade@jvgroups.com** from their registered email ID. Upon receipt of the email, the Defined team will call the client to confirm the request. The client must complete the necessary confirmation steps.



Through Mobile number

Clients can call to Mobile number **99047 51501** from their registered Mobile number. Upon receipt of the call the Defined team will verify and validate the client details. The client must complete the necessary confirmation steps.

Through IVR/tele Calling

Clients can call to tele Calling No **0281-6169901/02/03/04/05** from their registered Mobile number. Upon receipt of the call the Defined team will verify and validate the client details. The client must accept the call and complete the necessary confirmation steps.

Through Website

Clients can request for freeze through J V GROUP Website Link: <https://www.jvgroups.com/voluntary-freezing-blocking-of-online-trading-account> Upon receipt of the Request the Defined team will verify and validate the client details. The client online trading access freeze after the necessary confirmation steps.

Through Mobile Application*

*Accepting request for freeze through Mobile Applications is under process. Once developed, the said be displayed on J V GROUP website

- ii. On receipt of such request, the online access of the client's trading account shall be freeze/blocked and simultaneously all the pending orders shall be cancelled.
- iii. Post freezing/blocking the client's trading account, a communication shall be sent on the registered mobile number and registered e-mail ID of the client, stating that the online access to the trading account has been frozen/blocked. The communication shall also provide the details of all pending orders in the client's trading account, that have been cancelled along with the process of re-enablement for getting the online access to the trading account.
- iv. Details of open positions (if any) shall also be communicated to the client along with contract expiry information within such time as prescribed by regulators. This will eliminate the risk of unwanted delivery settlement.
- v. Once the online access of the trading account is frozen / blocked such client may place orders through alternate channels such as call and trade.



b. Request for Un-freezing

Clients wishing to unfreeze/unblock their account must send an email to jvequities@gmail.com from their registered email ID. Upon receipt of the email, the Defined 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 request and unfreezing / unblocking the online access of the trading account.

c. Important points

- i. All The Trading Member shall maintain the appropriate records/logs including, but not limited to, request received to freeze/block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, sent to the clients.
- ii. 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 J V EQUITIES PRIVATE LIMITED.
- iii. The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the Exchange records.
- iv. The freeze, unfreeze, issue of communication shall be within the timelines specified by SEBI / Exchanges in this regard.

4. Policy Review:

The said policy shall be a part of J V EQUITIES PRIVATE LIMITED Risk Management Policy and shall be reviewed along with the said policy on a half yearly basis.

Review Date: 19/08/2024