

## **Policies & Procedure related to Capital Market Operations**

### **Inactive Policy/Suspension of trade in Inactive client accounts**

Client accounts having no trade continuously for a period of 1 year will be suspended for any trade and will be activated only subject to the following:

- a) There shall not be any dues in the client a/c when reactivation is requested for; or else the client should settle the outstanding in the account fully.
- b) The client shall provide margins in the forms of cash/securities.
- c) The client should confirm in writing that there is no change in the particulars (specifically clients permanent address, address for communication, Telephone numbers, e-mail ID, bank account number) furnished in KYC submitted at the time of initial account opening. In case of any change the client should furnish the changed particulars with such admissible proof as the case may be in respect of each changed information.
- d) In cases where the reactivation request is made after the close of a financial year in which the clients' trade is suspended, the client shall provide fresh financial details.

### **Clients not to indulge in Fraudulent or unfair trade practices**

Attention of the clients is drawn to PFUTP Regulations issued by SEBI and to take utmost care in not indulging in any of the fraudulent or unfair trade practices detailed in the said SEBI regulations. The client shall also not resort to circular trades/synchronized deals in any share. In the event of default by the clients in this regard the company reserves its right to suspend the trade in the account of the client. In such cases the client shall be fully responsible for the consequences and shall be accountable for and bear the damage loss or expenses that may be caused to the company in that regard.

### **Blocking of Trading in specified securities**

Trading in exchange specified inactive shares i.e. the shares placed in "T" segment and 'Z' segment by BSE and 'BE' segment by NSE will be blocked. No jobbing/squaring off trades in such securities will be allowed. The company however reserves its right to permit delivery based trade in such securities in the case of those clients who may request for trade in the same on provision by the clients of 100% margin.