

Annexure A – Framework on Voluntary Freezing/Blocking of the Trading Account

As per the SEBI circular SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated 12th January 2024 and Exchange circulars NSE/INSP/61529 and 20240408-12 dated 08th April 2024 on the framework for trading members to provide the facility of voluntary freezing/ blocking the online access of Trading Account to Clients, PPWB will accept requests for freezing/blocking of trading account from the clients as per the any 2 modes prescribed in the circular. After proper validation, the customer account will be frozen/blocked for online access. The request for freezing/ blocking does not constitute a request for marking the client Unique Client Code (UCC) as inactive in the Exchange records.

The client's open pending orders, if any, in Equity (Cash) or Derivatives will be cancelled after conducting proper due diligence on the client's request to freeze of online trading account and the client will be informed that the online access to the trading account has been frozen / blocked as per the Exchange circular.

Further, the client will not be able to place any new orders or square off the open position from either web or app. The client will be informed about the open position, if any, along with contract expiry information. In case a client wants to square off the open positions, the client will be required to reach out to our customer service team to give the square off instructions. The customer service team will inform the risk team about the square-off instruction received from the client.

Till the time the trading account is frozen, only square off orders will be allowed through RMS on either client request or will be initiated by the RMS team based on margin shortfall or to recover the debit in client ledger or due to non availability of physical delivery or any other such scenario as per the Risk management policy.

For unfreezing the account, before re-enabling the online access of the trading account, proper due diligence including validating the client request for unfreezing / unblocking the online access of the trading account will be carried out.

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Freezing/blocking is only for online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of the Trading Member.

The detailed process for freezing and unfreezing online trading accounts will be communicated to the existing clients and will also be a part of the account opening form w.e.f 01 July 2024. Additionally, it will be published on our website.

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