

RBC Financial Services Pvt. Ltd

Policy Framework for Voluntary Freezing/Blocking of Online Trading Account Access for 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.

1. Mode of Request for Freezing/Blocking the Trading Account

Clients can choose from the following options to freeze/block their trading account:

Option A: Clients can send an email to **stoptrade@rbcfm.com** from their registered email ID. Upon receipt of the email, the RBC team will call the client to confirm the request. The client must accept the call and complete the necessary confirmation steps to validate the request.

Option B: Clients can send SMS on mobile number **9811672548** from registered mobile number.

Note: Any of the above options can be used to freeze/block the trading account. Once the account is frozen/blocked, all online access will be unavailable.

2. Procedure to Unfreeze/Unblock the Account

Clients wishing to unfreeze/unblock their account must send an email to **stoptrade@rbcfm.com** from their registered email ID. Upon receipt of the email, the RBC team will contact the client to confirm the request. The account will be unfrozen only after the client confirms the request over the call.

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

Note: By opting to block/freeze the account, you are only blocking online access to your trading account. There will be no restrictions on the risk management activities of RBC Financial Services Pvt Ltd.

Clarifications

- Freezing/blocking only restricts online access to the client's trading account. There will be no restrictions on the risk management activities of RBC.
- The request for freezing/blocking does not equate to marking the client's Unique Client Code (UCC) as inactive in the Exchange records.

This policy shall be effective from July 01, 2024.