



DELSTOX STOCKS AND SHARES LIMITED

CIN No. : U67110DL1996PLC079973

Registered Office : 3/1, Asaf Ali Road, New Delhi - 110 002
Phones: 011-23284055, 011-23284123, 011-40769028, 011-40108603
E mail: dse_financial@yahoo.co.in
Investors' Grievances E mail : grievances@dssl.co.in
Website : www.dssl.co.in



FRAMEWORK FOR VOLUNTARY FREEZING/BLOCKING THE ONLINE ACCESS OF TRADING ACCOUNT

In reference to SEBI Circular no. **SEBI/HO/MIRSD/POD-1/P/CIR/2024/4** dated January 12, 2024 and Exchange Circular no. **NSE/INSP/60277** dated **January 16, 2024** on the subject "Ease of Doing Investments by Investors - Facility of voluntary freezing/blocking of Trading Accounts by Clients", **Delstox Stocks And Shares Limited (DSSL)** has framed such policy.

The framework for providing the facility of voluntary freezing/ blocking the online access of the trading account to clients on account of suspicious activities is as follows:-

- 1) The clients, availing internet based trading/ mobile trading/ other online access for trading, may request for voluntary freezing/ blocking the online access of trading account if any suspicious activity is observed in the trading account through following modes: -
 - a) Email from registered e-mail ID at **stoptrade@dssl.co.in**
 - b) Call us at our Contact No. **9599083008**
- 2) Following actions will be taken by the **DSSL**, on the receipt of request through any modes of communications as above provided for freezing/blocking of the online access of the trading account from the client:
 - a. Validate that the request is received from the client as per below point no. 3 and issue the acknowledgement as well as freeze/block the online access of the client's trading account and simultaneously cancel all the pending orders of the said client.

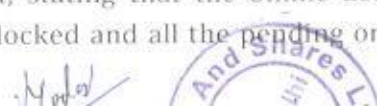
The timelines for freezing/blocking of the online access of the clients' trading account is as under: -

Scenario	Timelines for issuing acknowledgement as well as freezing/blocking of the online access of the trading account.
Request received during the trading hours ¹ and within 15 minutes before the start of trading.	Within 15 minutes ²
Request received after the trading hours and 15 minutes before the start of trading.	Before the start of next trading session

(1 Trading hours shall be as follows: Capital Market Segment: 9.15 a.m. to 3.30 p.m., Equity Derivatives Segment: 9.15 a.m. to 3.30 p.m.)

2 To begin with, the time limit of 15 minutes is being specified for the purpose of issuing acknowledgement as well as freezing/blocking of the online access of the trading account. This time limit shall be contracted after a review in next six months after the date of its applicability to enhance protection of investors from suspicious activities)

- b. Post freezing/blocking the client's trading account, **DSSL** will send a communication 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 and all the pending orders in the client's trading account, if



any, have been cancelled along with the process of re-enablement for getting the online access to the trading account.

- c. Details of open positions (if any) should also be communicated to the client alongwith contract expiry information* within one hour from the freezing/blocking of the trading account. This will eliminate the risk of unwanted delivery settlement.

3) For the purpose of validation of request for freezing/blocking of the online access of the trading account is received from the respective client only, **DSSL** will:

a) verifying whether request is received from the registered phone number/e-mail Id of the client; or where request is received from other than registered phone number/e-mail Id of the client, the **DSSL** shall use a client authentication procedure (2 Factor Authentication) in place.

4) **DSSL** 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 client

5) RE-ENABLING THE CLIENT FOR ONLINE ACCESS OF THE TRADING ACCOUNT

DSSL shall re-enable the online access of trading account after carrying out necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account. For Re-enabling the online access of trading account, the client should sent request through client registered E-Mail or Physical mode undergo with in person verification live or through video call.

Policy Review:

The said policy shall be a part of Risk Management Policy and shall be reviewed along with the said policy on a half year basis.

