

## **Policy Framework for Voluntary Freezing/Blocking of Online Trading Account Access for Clients**

### **Annexure to Risk Management Policy of M.S.N. SECURITIES PVT LTD**

#### **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.

Whenever client notices any suspicious activities in their online trading account and/or suspect that login credential of their trading account are breached/hacked and there is an urgent need to address the situation and block/freeze the access and/or activities in their trading account, the client can choose any of the following mode of communication to intimate/send a request to M.S.N. Securities Pvt. Ltd. for Voluntary Freezing/Blocking of their online Trading Account.

**Option A :** Clients can Call on **9867198522** only from their registered Mobile Number.

**Option B :** Clients can send an email to **stoptrade@msnsecurities.com** only from their registered email ID.

The intimation should contain the minimum identity details required viz Trading account code / PAN / Name of Account Holder so that the correct account information is identified within shortest time. Upon receipt of the email/sms, the team will carry out the validation process as under;

1. Verify the sender's email Id/Mobile Number:

- In case the request is received from registered email ID/Mobile Number:

- Call the client on the registered mobile number.
- Confirm the identity of client and reconfirm the request for block/freeze and reasons for such request.
- Send the acknowledgement of receipt of the request/instruction to the sender's email/mobile and Block/Freeze the trading activity in the particular trading code at the earliest and within the time frame that may be specified by the authorities from time to time.
- Cancel all the pending orders in the trading system for that trading code.
- Review and confirm the executed orders and outstanding position of the client for the day and take instructions/orders to square off any positions and execute such square off orders through

RSM terminal as per instructions of clients at the earliest and within the time frame as may be specified by the authorities from time to time.

- 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 .

2. Time frame to freeze/block trading account.

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

Note: The applicable timeframe shall be as per prevailing guidelines from the authorities updated from time to time.

3. Procedure to Unfreeze/Unblock the Account

Clients wishing to unfreeze/unblock their account must send an email to [msn@msnsecurities.com](mailto:msn@msnsecurities.com) or message on 9867198522\_ only from their registered email ID/ Mobile No. Upon receipt of the email/ Message the M.S.N. securities Pvt. Ltd. team will contact the client to confirm the identity of client and genuineness of request, reset the login access credentials to the system default and communicate it to clients through its registered email Id / Mobile Number and unfreeze the trading account.