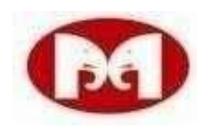
FRAMEWORK FOR FACILITY OF VOLUNTARY FREEZING/ BLOCKING THE ONLINE ACCESS TO TRADING ACCOUNTS



MUTHOOT SECURITIES LTD

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Policy for Voluntary Freezing/Blocking of Online Access to Trading Accounts

1. Introduction

This policy outlines the framework for facilitating clients' voluntary freezing/blocking of online access to their trading accounts in cases of suspected fraudulent or suspicious activities. This policy is in compliance with the SEBI Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024, NSE Circular no. NSE/INSP/60277 dated January 16, 2024, BSE Notice No. 20240112-30 dated January 12, 2024 and MCX/INSP/218/2024 dated April 09, 2024.

2. Objective

The primary objective of this policy is to provide clients with a mechanism to safeguard their trading accounts in instances where they observe suspicious activities. By offering voluntary freezing/blocking of online access, clients can prevent unauthorized transactions and protect their investments.

3. Scope

This policy applies to all clients utilizing internet-based trading, mobile trading, or other online access for trading, registered with Muthoot Securities Ltd.

4. Procedure

4.1 Initiating Request for Freezing/Blocking:

Clients noticing suspicious activities in their trading accounts may initiate a request for voluntary freezing/blocking through the following channels:

Direct phone call to **0484-4337531** from the registered mobile number between 9:00 a.m. and 5:00 p.m., on all trading days.

OR

Sending an email from the registered e-mail ID to stoptrade@muthootsecurities.com

OR

Through Voluntary Freezing menu available in online trading software

<u>4.2 Acknowledgment and Validation:</u>

Upon receiving the request, the company shall acknowledge the receipt within the specified timelines.

The validity of the request shall be verified before proceeding with the freezing/blocking process.

4.3 Freezing/Blocking Process:

After validating the request, the company shall initiate the process of freezing/blocking the online access to the client's trading account.

All pending orders associated with the client's account shall be cancelled prior to freezing/blocking.

4.4 Communication:

Following the freezing/blocking of the client's trading account, the company shall communicate the action taken to the client's registered mobile number and email ID.

Details of open positions, if any, including contract expiry information, shall be communicated within one hour from the freezing/blocking of the trading account.

4.5 Re-enabling Access:

The company shall re-enable online access to the trading account after conducting necessary due diligence.

This includes validating the client's request and unfreezing/unblocking the online access to the trading account.

5. Timelines

The timelines for acknowledgment and freezing/blocking of online access are as follows:

Request received during the trading hours and within 15 minutes before the start of trading - Within 15 minutes.

Request received after trading hours and up to 15 minutes before the start of the next trading session - Before the commencement of the next trading session.

6. Review

This policy shall be subject to periodic review to ensure its effectiveness and compliance with regulatory requirements. Any necessary updates or amendments shall be made accordingly.

7. Compliance

All employees and stakeholders involved in implementing this policy are required to adhere to its provisions in full compliance with regulatory guidelines.

8. Conclusion

Muthoot Securities Ltd. is committed to providing clients with robust mechanisms to protect their investments. This policy ensures that clients have the necessary tools to mitigate risks associated with fraudulent activities in their trading accounts.

Muthoot Securities Ltd. reserves the right to amend or modify this policy as deemed necessary to align with changing regulatory requirements and industry best practices.
