

## PROCESS NOTE - RUPEESEED

### FACILITY OF VOLUNTARY FREEZING/ BLOCKING THE ONLINE ACCESS OF THE TRADING ACCOUNT TO THEIR CLIENTS ON ACCOUNT OF SUSPICIOUS ACTIVITIES

#### **Framework for Trading Members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients**

This is with 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".

Client will request for Voluntary Freezing of Account on dedicated Email and Land Line Number

#### **PROCESS TO FREEZE/UNLOCK CLIENT ACCOUNT:**

##### **1. Client to Email on stoptrade@ysil.in**

YSIL customer service desk (dedicated agent for stoptrade@ysil.in) will validate request received from client by following means

1. Verify if request received from Registered Email ID
2. Verification to be done via 2 FA authentication
3. To verify request, customer desk will give a call back (*Customer will be called as soon as the request is received*) on recorded line for confirmation and follow the process as vetted in Point 3 - Process to be followed post receipt of client request received and validation.

##### **2. Client to call 022-68841888**

YSIL customer service Calling desk (dedicated agent for 022-68850286) will validate request received from client by following means

1. Verify if request received from Registered phone number
2. Verification to be done via 2 FA authentication
3. Point 3 - Process to be followed post receipt of client request received and validation

**\*Appropriate Log and records of request received to voluntary freezing or blocking of account is kept with YSIL**

##### **3 - Process to be followed post receipt of client request received and validation.**

On successful validation,

1. Customer service calling desk will inform Risk Team and KYC Team within 5 minutes of client request received

## PROCESS NOTE - RUPEESEED

### FACILITY OF VOLUNTARY FREEZING/ BLOCKING THE ONLINE ACCESS OF THE TRADING ACCOUNT TO THEIR CLIENTS ON ACCOUNT OF SUSPICIOUS ACTIVITIES

2. Risk Team and KYC Team will ensure Client UCC is **INACTIVE** at Broker Level and **NOT AT THE EXCHANGE LEVEL**
3. Client will **NOT** be able to Trade **ONLINE** and **OFFLINE**
4. Risk Team will **CANCEL** All Pending Order(s) including **Trades**,
5. Online Profile updating or any modifications will be disallowed
6. SIP Orders registered by the client:

**E - SIP registered:** Post processing the freeze request & account status marked as "Freeze", all the registered SIPs with the future trigger dates will be "Paused". In case of "Pause" functionality not available then the SIP will be "Cancelled". On the successful processing of the unfreeze request, the SIP with the status as "Paused" will be "resumed" & with the status as "Cancelled" will be restarted.

**MF - SIP registered** on the Exchange (BSE Star MF): The MF SIP registered on BSE Star MF platform remain to continue as per the client per the SIP schedule, as the same are triggered by the Exchange & the funds are directly debited from the client's mapped bank account.

7. Details of open positions (if any) with Contract Expiry Information will also be communicated to the Customer Desk
8. Customer Desk, post freezing/blocking the client's trading account, a mail will be sent on the registered e-mail ID of the client, stating that the online access to the trading account has been frozen/locked and all the pending orders in the client's trading account, if any, have been cancelled
9. Risk Team to ensure there shall be no restrictions on the Risk Management activities of the Trading Member.

#### EXCHANGE TIMELINES GUIDELINES FOR FREEZING AND UNFREEZING OF VOLUNTARY FREEZING OF ACCOUNT

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 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

## PROCESS NOTE - RUPEESEED

### FACILITY OF VOLUNTARY FREEZING/ BLOCKING THE ONLINE ACCESS OF THE TRADING ACCOUNT TO THEIR CLIENTS ON ACCOUNT OF SUSPICIOUS ACTIVITIES

Client will not be able to trade **ONLINE** and **OFFLINE** once the request to voluntary freeze or block of account is received and validated for further process

#### **PROCESS TO UNFREEZE/UNBLOCK CLIENT ACCOUNT:**

Client will request for UnFreeze/Unblock of Voluntary Freeze Account on dedicated Email and Land Line Number

##### **1. Client to Email on stoptrade@ysil.in**

YSIL customer service desk (*dedicated agent for stoptrade@ysil.in*) will validate request received from client by following means

- 1) Verify if request received from Registered Email ID
- 2) Verification to be done via 2 FA authentication
- 3) To verify request, customer desk will give a call back (*Customer will be called as soon as the request is received*) on recorded line for confirmation and follow the process as vetted in Point 3 - Process to be followed post receipt of client request received and validation.

##### **2. Client to call 022-68841888**

YSIL customer service Calling desk (dedicated agent for 022-68850286) will validate request received from client by following means

- 1) Verify if request received from Registered phone number
- 2) Verification to be done via 2 FA authentication
- 3) Process to be followed post receipt of client request received and validation

##### **3. Process to be followed post receipt of client request received and validation.**

On successful validation,

- 1) Customer service calling desk will inform Risk Team and KYC Team within 5 minutes of client request received
- 2) Risk Team and KYC Team will ensure Client UCC is **ACTIVE** at Broker Level
- 3) Client will be able to Trade **ONLINE** and **OFFLINE**
- 4) Customer Desk, Post Unfreezing/Unblocking the client's trading account, a mail will be sent on the registered e-mail ID of the client, stating that the online access to the trading account has been Activated

**\*Appropriate Log and records of request received to voluntary freezing or blocking of account is kept with YSIL**