

Jaypee Capital Services Ltd

Framework for Trading Members to provide the facility of voluntary freezing/ blocking the online access of the trading account to their clients on account of suspicious activities

(As per requirements of SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024) & Exchange Circular no. NSE/INSP/60277 dated January 16, 2024

The Trading Members providing internet-based trading/ mobile trading/ other online access for trading shall make available to the clients at least two modes of the communications through which the client may request for voluntary freezing/ blocking the online access of trading account if any suspicious activity is observed in the trading account,

Accordingly, if any client finds/observes any suspicious activity/trading in his trading account he may please send us request by any one of the following modes for freezing/ blocking of his trading account: -

- a) Email from your registered e-mail ID at stoptrade@jaypeeindia.com
- b) SMS from registered mobile number at +91 7428584403

We would validate that the request is received from the client as per above mode 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.

We would verify 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, we would follow client authentication procedure by calling at his registered mobile number and/or email also at his registered email id .

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

| 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 |

Post freezing/blocking the client's trading account, we would 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.

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

We 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 clients.

In case of failure in freezing/ blocking the online access within the prescribed timelines (15 minutes in case the request is received during the trading hours and within 15 minutes before the start of trading / Before the start of the next trading session in case the request is received after the trading hours and 15 minutes before the start of the trading), we shall be responsible for any trades executed from the time of receipt of such request till such time the online access is blocked / frozen.

Re-enabling the client for online access of the trading account: -

We 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.

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