



# UNLOCK WEALTH SECURITIES LIMITED

(FORMERLY UPSE SECURITIES LIMITED)

CIN : U67120UP2000PLC025330

MEMBER : BSE, MSEI, NSE  
SEBI Regn. No. : INZ000159835

DP-CDSL SEBI Regn. No. IN-DP-CDSL-691-2013  
IDs BSE-298, NSE-11168, MSE-15000, DP-CDSL-13061300



Regd. Office : PADAM TOWERS, 14/113, CIVIL LINES, KANPUR - 208 001  
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## POLICY FOR VOLUNTARY FREEZING/BLOCKING OF THE TRADING ACCOUNT BY THE CLIENTS

Version 1.0

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## 1. Introduction

This policy (v 1.1) has been framed as per the SEBI Circular no. [SEBI/HO/MIRSD/POD-1/P/CIR/2024/4](#) dated January 12, 2024 and NSE Circular no. NSE/INSP/60277 dated January 16, 2024 and BSE Circular no: 20240408-12 dated 08.04.2024 on the subject “Ease of Doing Investments by Investors - Facility of voluntary freezing/ blocking of Trading Accounts by Clients”.

Accordingly, this document has been derived from the framework presented by the exchanges in response to the aforementioned circulars, via the NSE Circular no.: [NSE/INSP/61529](#) dated April 08, 2024 and BSE Circular no: 20240408-12 dated 08.04.2024 on the subject: “Framework for Trading Members to provide the facility of voluntary freezing/blocking the trading account to their clients”.

This document is a handbook for the clientele of Unlock Wealth Securities Limited (*hereinafter referred to as UWSL*), outlining the process and mode(s) through which they can request to freeze / block & unfreeze/unblock their trading account.

## 2. Purpose

The procedures outlined herein as per regulatory requirements in the aforementioned circulars. All clients are requested to note that the forthcoming guidelines are issued to facilitate the freezing/blocking of their trading accounts upon explicit requests from the client’s end in case they notice any suspicious activity in their trading accounts.

A few instances of suspicious activities would include:

- Fresh positions being taken without the client’s knowledge or action.
- Holdings being sold without the client’s knowledge or action.
- A client is unable to access his/her account.
- A client notices a change in their linked bank account/ email/ mobile number without them having placed a request.
- A share transfer via gift/ easiest is initiated without the client’s knowledge or action.

## 3. Scope and Applicability

This policy applies to all Authorised Persons and their clients who wish to voluntarily freeze or block their trading accounts.

## 4. Procedure to Freeze/Block the Trading Account

### 4.1 Timelines

In line with regulatory requirements, upon the explicit request from a client to block their trading account through any of the modes mentioned in the forthcoming sections, all efforts will be taken by UWSL Personnel to fulfill the request as per the below timelines:

- a. For requests received within trading hours, all efforts shall be taken to block the account within 15 minutes.
- b. For requests received after trading hours up until 15 minutes before the market opening time, all efforts will be taken to block the account before the start of the next trading session.



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### **4.2 Mediums**

Clients can report suspicious activities on their trading account via the following mediums:

- By mailing on the dedicated email ID: [stoptrade@upsecindia.com](mailto:stoptrade@upsecindia.com)
- By calling the dedicated number: +91 8004252128 (between 8:30 am and 5:00 pm)

### **4.3 Verification (Mandatory)**

- Requests raised on calls
  - Clients should call the dedicated number, +91 8004252128, from their registered Mobile number (number registered with UWSL).
  - Please note that stringent identity verification will be conducted before considering any client's block /Freeze requests. Hence, all clients are requested to keep all basic Personal Identification Information (PII) handy to facilitate the smooth and fast processing of requests.
- Requests raised via dedicated Email
  - Clients are recommended to mail from their registered email address (email ID registered with UWSL).
  - Clients are requested to give relevant and detailed information regarding the suspicious activity they have noticed on their trading accounts.
  - Clients who have raised block /Freezing requests by mail shall receive a call back promptly from UWSL personnel. Hence, they are advised to answer the call without fail.

### **5. Procedure to Unfreeze/Unblock the Trading Account**

- Clients can unfreeze/unblock their trading accounts by raising a request via any of the modes prescribed under section 4.2.
- Requests to unfreeze or unblock accounts must be processed promptly to restore client access.

### **6. Duration and Conditions**

- Clients can specify the duration for which they want their accounts to be frozen. If no duration is specified, the freeze will remain until the client requests to unfreeze it.
- Blocking requests are considered long-term and will require a formal request to lift the block.

### **7. Clarifications**

It is clarified that:

- Freezing/blocking is for the client's trading account, and there shall be no restrictions on the Risk Management activities of UWSL.
- The request for freezing/blocking does not constitute a request for marking the client's Unique Client Code (UCC) as inactive in the Exchange records.

**Effective Date:** July 01<sup>st</sup>, 2024

**Approved by:** Jagesh Kumar Dixit (CEO)