



RALLA TRADELINKS LLP

INACTIVE ACCOUNT POLICY

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Objective:

The objective of the policy is to appropriately deal with the Inactive/dormant clients, where clients have not traded for more than 2 continuous Year.

The policy is also applicable for accounts which have been marked inactive on account of Rules, Bye laws, circulars and guidelines issued by SEBI, Exchanges and Internal Risk Management Policies.

Background:

SEBI vide circular no. dated December 3, 2009 directed that a policy be framed by stock brokers to deal with the inactive/dormant accounts.

Procedure to handle Inactive/dormant accounts:

If there is no transaction (buy / sell) entered into by the account holder for more than 6 continuous months, the account will be marked as "INACTIVE/DORMANT".

All the accounts marked as "INACTIVE/DORMANT" need to be monitored carefully in order to avoid unauthorized transactions in the account if the client wants to make the account "ACTIVE" after 6 continuous months or after providing the required documents supporting the financial status, the client needs to submit a request to reactivate his/her account. In case there is any changes in the information such as; address, mobile number, email id, bank/demat account, financial disclosure provided in KYC at the time of registration as client, the same has to be submitted along with the request. After proper verification of the updated/ revised details and approval from the compliance officer or/ concerned department in-charge of registration of clients, the account can be made "ACTIVE" and transaction can take place.

Process for reactivation of Inactive / dormant account which are inactive for 6 continuous months:

The Client can follow any of the below processes:

1. Client can give the duly signed request in writing at any of the branch/main offices of trading member or office of sub-broker or authorized person along with documents such as Identity Proof – such as PAN Card, Aadhar Card, Passport copy etc. and financial Information required for trading in derivative segment. The Client may also courier/ post the same for activation of account or
2. Client can also send an email from registered mail id for reactivation request.



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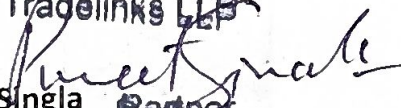
Process for reactivation of Inactive / dormant account which are inactive on account of Risk Management Policies / Non-Compliance as per Rules, Bye laws, Circulars and Guidelines issued by SEBI, Exchanges:

Client can give the duly signed request in writing at any of the branch/main offices of trading member or office of sub-broker or authorized person along with the financial Information required for trading. The Client may also courier/ post the same for activation of account.

On verification of the same the compliance officer / risk department in-charge can authorize the activation of such Inactive accounts subject to Rules, Bye laws, circulars and guidelines issued by SEBI, Exchanges and Internal Risk Management Policies.

Approval Authority:

For Ralla Tradelinks LLP


Puneet Singla Partner
(Designated Partner)