


# AMBIT BROKING SERVICES PRIVATE LIMITED (ABSPL)

# Policy on voluntary freezing/ blocking the online access of the trading account to their clients on account of suspicious activities

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## Document Control

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## 1. Introduction

This policy outlines the procedures for voluntary freezing of trading accounts for clients of Ambit Broking Services Private Limited (hereinafter referred to as ABSPL) in accordance with SEBI's circular. SEBI/HO/MIRSD/MIRSDPoD-1/P/CIR/2023/24 dated February 6, 2023, NSE circular NSE/INSP/61529 dated April 08, 2024 and BSE notice no. 20240408-12 dated July 10, 2024.

## 2. Purpose

This policy aims to guide ABSPL clients on the process, modes, timelines, and other details for facilitating the voluntary freezing of their trading accounts upon noticing any suspicious activity.

## 3. Scope and Applicability

This policy is applicable to all ABSPL online clients who wish to voluntarily freeze their online trading accounts.

## 4. Review

This policy is part of ABSPL's Risk Management Policy and shall be reviewed annually by the Board of Directors or earlier if necessary to ensure compliance with regulatory changes.

## 5. Procedure to Freeze Online Trading Account classified into two types

**Type 1**
Using the EXE:
• Log in to the Ambit Signature Exe, Click on user profile.
• Click the "Freeze Account" option.
• Follow the on-screen instructions.

**Type2**
Calling a Dedicated Support Line:
• Call ABSPL at the dedicated number +912266233035 (between 8:30 am – 5 :30 pm excluding Saturdays, Sundays and public holidays).
• The customer support agent will verify the client's identity and may request additional information.
• Once verified, the agent will freeze the account.

## 6. Procedure to Unfreeze Online Trading Account

Clients can call dedicated support line at +912266233035 and follow the agent's instructions. After necessary due diligence, the account will be unfrozen within approximately 30 minutes.

**7. Important Points to Note:**

- It is advised that the client close all his open positions before freezing the account.
- Client's account will be blocked, and an acknowledgement will be shared within 15 minutes of receiving the freeze request.
- Confirmation of the freeze will be sent via email and SMS, including instructions to unfreeze the account.
- All pending orders, whether placed online or offline by the client, will be cancelled by the Risk team and trading access will be blocked.
- Clients will receive details of any open positions within an hour of freezing the account.
- Clients with open positions can call +912266233035 to close them.
- To unfreeze the account, clients can call the support line at +912266233035.
- In case of margin shortage, client position will be squared off by the Risk team to the extent of margin shortage.
- If client's account has a negative balance, their investments will be sold by the Risk team to cover the amount owed.

**8. Clarifications:**

It is clarified that –

a. Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of Ambit Broking Services Private Limited. Clients will be liable to adhere to the existing risk policy already in place.

b. The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the Exchange records.

c. Freeze Request once submitted cannot be cancelled. Although the client can call us at +912266233035. and place a request for unfreeze.

**9. Circular references:**

NSE/INSP/61529 dated April 08, 2024, and BSE notice no. 20240408-12 dated July 10, 2024 and SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024.