

POLICY FRAMEWORK FOR FACILITY OF VOLUNTARY FREEZING /BLOCKING THE ONLINE ACCESS TO TRADING ACCOUNTS.

INTRODUCTION:

This policy outlines the framework for facilitating clients' voluntary freezing/blocking of online access to their trading accounts in cases of suspected fraudulent or suspicious activities. This policy adheres to the SEBI Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024, NSE Circular no. NSE/INSP/60277 dated January 16, 2024, and BSE Notice No. 20240112-30 dated January 12, 2024.

OBJECTIVE:

The primary objective of this policy is to provide clients with a mechanism to safeguard their trading accounts when they observe suspicious activities. By offering voluntary freezing/blocking of online access, clients can prevent unauthorized transactions and protect their investments.

SCOPE:

This policy applies to all clients utilizing internet-based trading, mobile trading, or other online access for trading, registered with Rainbow Securities Private Limited.

PROCEDURE INITIATING REQUEST FOR FREEZING /BLOCKING:

Clients noticing suspicious activities in their trading accounts may initiate request for voluntary freezing/blocking through the following channels:

- 1) Direct phone call to **033-22135183/5184** from their registered mobile number between 10.00 a.m. - 5:00 p.m. on all trading days.
- 2) Sending an email from the registered e-mail ID to stoptrade@rainbowindia.co.in.

ACKNOWLEDGEMENT AND VALIDATION:

Upon receiving the request, Rainbow Securities Private Limited shall acknowledge the receipt within the specified time lines. The validity of the request shall be verified before proceeding with the freezing/blocking process.

COMMUNICATION:

Following the freezing/blocking of the client's trading account, the company shall communicate the action taken to the client's registered mobile number and email ID. Details of open positions, if any, including contract expiry information, shall be communicated within one hour from the freezing/blocking of the trading account.

RE –ENABLING ACCESS:

Rainbow Securities Private Limited. Shall re-enable online access to the trading account after conducting necessary due diligence. This includes validating the client's request and unfreezing/unblocking the online access to the trading account.

TIMELINES:

The timelines for acknowledgment and freezing/blocking are as follows:

Request received during trading hours and within 15 minutes before the start of trading:
Within 15minutes.

Request received after trading hours and up to 15 minutes before the start of the next trading session:

Before the commencement of the next trading session.

REVIEW:

This policy shall be subject to periodic review to ensure its effectiveness and compliance with regulatory requirements. Any necessary updates or amendments shall be made accordingly.