

Policy Framework for Voluntary Freezing/Blocking of Online Trading Account Access for Clients

Annexure to Risk Management Policy of OHM Stock Broker Pvt. Ltd.

Introduction

In an effort to enhance the ease of business operations and investment activities for investors, and to safeguard investors from suspicious activities, SEBI, through its circular ref. No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024, has mandated a framework for stock exchanges. This framework requires Trading Members to provide clients with the facility to voluntarily freeze/block online access to their trading accounts. Consequently, stock exchanges have issued circulars detailing this framework. In line with these directives, the following policy has been formulated for the voluntary freezing/blocking of trading accounts.

Whenever a client of OHM stock broker pvt ltd. notice any suspicious activities in their online trading account and/or suspect that login credential of their trading account are breached/hacked and there is an urgent need to address the situation and block/freeze the access and/or activities in their trading account, the client can choose any of the following mode of communication to intimate/send a request to for Voluntary Freezing/Blocking of their online Trading Account.

Block online access to Trading account

To initiate a blocking access to an online trading account, clients are required to submit a request using below mode of operations.

Mode of operation

- 1) Offline Via Email from registered email id
- 2) Online process via website (<https://lite.goatbroking.com/>)

Offline Process:

1. Clients must send an email from their registered email address to **stoptrade@ohmbrk.com**
2. They need to electronically sign their Pan card.

3. The signed Pan card should be attached to the email as a file attachment.
 - a. Process to e-sign the Pan card.
 - b. Login to digilocker.gov.in.
 - c. Click on *Drive*.
 - d. Click on *Documents* and click on *UPLOAD FILE*.
 - e. Upload a document (pan card) and click on *Sign*.
 - f. Enter the Aadhar number and click on *Get OTP*.
 - g. Enter OTP and tick on consent.
 - h. Click on *Submit*.
 - i. Download the signed document (pan card) by clicking on the download icon.

4. Note: All pending orders will be canceled, and clients should download any required documents, as access to the trading account will be blocked.

Timeline to process the request after verification of request:

Requests received during trading hours will be processed within 15 minutes after verification process. Requests received after trading hours and within 15 minutes before the start of trading will be processed before the start of the next trading session.

Online process-

1. The process involves logging in to the website (<https://lite.goatbroking.com/>),
2. Close all pending orders and download all required reports.
3. Navigate to menu, and selecting the "Freeze Account option"

Note: All pending orders will be canceled, and clients should download any required documents, as access to the trading account will be blocked.

Timeline to process the request:

Requests received during trading hours will be processed within 15 minutes .Requests received after trading hours and within 15 minutes before the start of trading will be processed before the start of the next trading session.

Verification/ Office process:

Back Office Process:

1. After a user requests to block the account, the system will send an email to Backoffice or when the back office receives an email from the client on Email account stoptrade@ohmbrk.com
2. Verify the details of the account and if it looks good process the request. An E-signed pan card must be attached in the email and it should match our records.
3. Requests received during trading hours will be processed within 15 minutes after the verification process. Requests received after trading hours and within 15 minutes before the start of trading will be processed before the start of the next trading session.
4. Backoffice will send an email to the client and acknowledge the request as per timeline mentioned above.
5. The Back Office will follow the below steps to block the account.
Cancel all pending orders (if any) for that account and download the list. Download open position details (if any) and then block the account.
6. Backoffice will send the email to the user confirming the Blocking the access and attached the canceled order list (if any)

Email format:

Subject: Confirmation: Access Blocked to Your Trading Account

Dear [Client's Name],

I am writing to confirm that we have blocked your access to your trading account on your request. Attached is the list of canceled orders.

To unblock the access email to stoptrade@ohmbrk.com

Process to unblock the account:

- To initiate an un-blocking access to an online trading account, a user is required to submit a request through email to **stoptrade@ohmbrk.com**
- Clients must send an email from their registered email address to stoptrade@ohmbrk.com . Clients need to provide Pan no, Trading account no and valid email address and Phone no.
- They need to electronically sign their Pan card.
- The signed Pan card should be attached to the email as a file attachment.Process to e-sign the Pan card.
 - Login to digilocker.gov.in.
 - Click on *Drive*.
 - Click on *Documents* and click on *UPLOAD FILE*.
 - Upload a document (pan card) and click on *Sign*.
 - Enter the Aadhar number and click on *Get OTP*.
 - Enter OTP and tick on consent.
 - Click on *Submit*.
 - Download the signed document (pan card) by clicking on the download icon.

Should you have any further inquiries or require assistance during this process, please do not hesitate to reach out to us. We are committed to ensuring a smooth and efficient resolution for you.

Thank you for your cooperation and understanding in this matter.

Best regards,

Ohm Stock Broker Pvt. Ltd.

301-A,Poonam Chambers,"B" Wing, 3rd Floor, Dr. A.B. Road, Worli,

7. Send details of open positions (if any) should be emailed to the client along with contract expiry information within one hour from the freezing/blocking of the trading account.

Unblock the trading account access

- 1) To initiate an un-blocking access to an online trading account, a user is required to submit a request through email to **stoptrade@ohmbrk.com**
 - 2) Clients must send an email from their registered email address to stoptrade@ohmbrk.com . Clients need to provide Pan no, Trading account no and valid email address and Phone no.
 - 3) They need to electronically sign their Pan card.
 - 4) The signed Pan card should be attached to the email as a file attachment.
 - a. Process to e-sign the Pan card.
 - b. Login to digilocker.gov.in.
 - c. Click on *Drive*.
 - d. Click on *Documents* and click on *UPLOAD FILE*.
 - e. Upload a document (pan card) and click on *Sign*.
 - f. Enter the Aadhar number and click on *Get OTP*.
 - g. Enter OTP and tick on consent.
 - h. Click on *Submit*.
 - i. Download the signed document (pan card) by clicking on the download icon.
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Email format:

Dear Team,

Need your assistance in un- blocking online access to my trading account.

Find the details below:

Pan no -

Trading account no -

Email address -

Phone no. -

Attached copy of e-signed pan card for your reference. Thank you again for your attention to this matter.

Best regards,

[Client Name]

Back office process:

1. The Back Office team will verify the details (name, Trading account no , Email address and e-signed Pan card)
2. After verification, send an acknowledgement email to the client.
3. After due diligence and verification back office, should Un- block the account.
4. Send confirmation email in format Email format:

Subject: Confirmation: Unblocked your Access to Your Trading Account

Dear [Client's Name],

I am writing to confirm that we have unblocked your access to your trading account on your request.

You should be able to login to <https://lite.goatbroking.com> and can trade.

Should you have any further inquiries or require assistance during this process, please do not hesitate to reach out to us. We are committed to ensuring a smooth and efficient resolution for you.

Thank you for your cooperation and understanding in this matter.

Best regards,

Ohm Stock Broker Pvt. Ltd.

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Clarifications

1. Freezing/blocking only restricts online access to the client's trading account. There will be no restrictions on the risk management activities of OHM Stock Broker Pvt. Ltd.
 2. The request for freezing/blocking does not equate to marking the client's Unique Client Code (UCC) as inactive in the Exchange records.
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