

# Policy on providing the facility of voluntary freezing/blocking the Online access of the trading account to clients.

As per SEBI Circular **No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4** dated **January 12, 2024**, and Exchange Circular **No. NSE/INSP/62822** dated **July 05, 2024**, trading members are mandated to provide the facility of voluntary freezing/blocking of trading accounts by clients. This initiative, effective from July 01, 2024, aims to enhance the security and ease of investment for investors.

In compliance with the aforementioned circulars, SUNRISE GILTS & SECURITIES (P) LIMITED has established this policy to provide a clear and structured approach to voluntary freezing or blocking of trading accounts for its clients.

## Purpose:

This policy outlines the framework and procedures for facilitating voluntary freezing/blocking of trading accounts. It aims to safeguard client interests, ensure compliance with regulatory guidelines, and enhance operational transparency.

## Major Parameters of the Policy:

### I. Mode of Intimation:

Clients wishing to freeze or block their trading accounts must submit a formal request through one of the following channels:

a) **Email:** Send an email from the registered email ID to:  
Mr. Mayank Neel (Grievance Officer)  
Phone: [+91 96870 46466](tel:+919687046466)  
Email: [grievance@sunrisegilts.com](mailto:grievance@sunrisegilts.com)

b) **Phone:** Call the Executive at the registered number:  
Mr. Mayank Neel (Grievance Officer)  
Phone: [+91 96870 46466](tel:+919687046466)  
Email: [grievance@sunrisegilts.com](mailto:grievance@sunrisegilts.com)

The request will be validated against the company's records. Upon successful validation, an acknowledgment will be sent to the client. The online access to the trading account will then be frozen or blocked, and any pending orders will be canceled.

### Time Period for Processing Requests:

The timeline for resolving such requests is as follows:

Request Received	Resolution Time Period
During trading/working hours	By the end of the same trading day
After trading/working hours	By the end of the next trading day

## II. Trading/Working Hours:

Debt Segment: 9:30 A.M. to 6:30 P.M.

## III. Communication Post Freezing:

After the trading account is frozen or blocked, a confirmation will be sent to the client's registered mobile number and email ID. This confirmation will indicate the freezing/blocking status and the cancellation of any pending orders.

## IV. Record Maintenance:

The following records will be maintained for compliance and future reference:

- Requests received for freezing/blocking online access.
- Confirmations sent to clients regarding freezing/blocking.
- Cancellation of pending orders, if applicable.

## V. Process for Re-Enablement:

To restore online access, clients must submit a signed request letter for re-enablement and send it from their registered **email ID to Mr. Mayank Neel, Grievance Officer, at [grievance@sunrisegilts.com](mailto:grievance@sunrisegilts.com)**. For any further assistance, clients can also contact Mr. Desai directly at +91 96870 46466.

## **VI. Effect of Freezing:**

While the account is frozen, clients will be unable to place or execute buy/sell orders. Trading activities will resume only after the account is reactivated following due diligence.

## **VII. Effective Date:**

This policy is effective from July 01, 2024.

## **VIII. Compliance Reporting:**

The Exchange requires trading members to submit compliance status through 'ENIT New Compliance.' The procedure for submission is detailed in Annexure A of Circular No. NSE/INSP/62822. The compliance report must be submitted by July 22, 2024.

## **IX. Review and Update:**

This policy will be reviewed and updated on an annual basis or as required due to changes in regulations or operational needs.

## **Disclaimer:**

SUNRISE GILTS & SECURITIES (P) LIMITED reserves the right to amend or withdraw any part of this policy without prior notice. Updates to the policy will be made available on the company's official website. Any exemptions or permissions will be granted on a case-to-case basis at the company's discretion.