

Policy for Voluntary Freezing/Blocking of Trading Accounts

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1. Introduction

This policy outlines the procedures and guidelines for clients who wish to voluntarily freeze or block their online trading accounts with CAPSTOCKS AND SECURITIES INDIA PRIVATE LIMITED (CAPSTOCKS). The policy ensures a clear and efficient process for clients to communicate their requests, receive acknowledgments, and have their accounts managed according to their instructions.

2. Modes of Communication for Freezing/Blocking Accounts

Clients can request to freeze or block their trading accounts through the following modes:

- **Email:** Clients can send an email to **stoptrade@capstocks.com** from their registered email address.
- **Website:** Clients can submit a request through the online Capstocks website **www.capstocks.com**
- **Phone Call:** Clients can call the customer service helpline at 0471 4093356 from their registered phone number.
- **In-person:** Clients can visit any of our branch offices and submit a written request.

3. Acknowledgement of Requests

Upon receipt of the request, the Trading Member will issue an acknowledgment to the client:

- **Email:** An acknowledgment email will be sent to the client's registered email address within 1 hour of receiving the request.
- **In-person:** A receipt will be provided immediately to clients who visit a branch office.

4. Processing Time for Freezing/Blocking Accounts

The Trading Member will process the request to freeze or block the trading account within 2 hours on business days from the time of acknowledgment.

5. Actions by the Trading Member

Upon receiving the request to freeze/block the trading account, the Trading Member will:

- Verify the identity of the client.
- Review the request to ensure it meets all necessary criteria.
- Freeze/block the trading account and confirm the action to the client through email.
- Update the status of the account in the trading system to reflect the freeze/block.

6. Re-enabling Trading/Transfers

Clients who wish to re-enable their trading accounts must submit a request through one of the aforementioned modes of communication. The process for re-enabling includes:

- **Verification:** The Trading Member will verify the client's identity.
- **Review:** The Trading Member will review the re-enabling request and ensure all criteria are met.
- **Processing:** The request to re-enable the trading account will be processed within 24 hours on business days from the time of acknowledgment.
- **Confirmation:** A confirmation of the re-enabling of the account will be sent to the client through email.

7. Intimation to Clients

The Trading Member will inform all clients about the introduction of the facility to freeze/block trading accounts through:

- **Email:** An email notification will be sent to all registered email addresses.
- **Website Notification:** A notification will be posted on the Trading Member's official website.

8. Record Keeping

The Trading Member will maintain detailed records of all requests for freezing/blocking and re-enabling of trading accounts, including:

- **Client Requests:** Copies of all client requests (emails, forms, etc.).
- **Acknowledgments:** Records of acknowledgments sent to clients.
- **Verification Records:** Documentation of the identity verification process.
- **Processing Logs:** Logs of the actions taken to freeze/block and re-enable accounts.
- **Communications:** Copies of all communications with clients regarding their requests.

These records will be securely stored and retained for a minimum period of 2 years in accordance with regulatory requirements and internal policies.

9. Contact Information

For any queries or further assistance, clients can contact:

- **Customer Service Helpline:** 0471 4093356
- **Email Support:** stoptrade@capstocks.com