

Policy Statement on Freezing/Blocking of Trading Account

We, PK Investments, hereby confirm that we have implemented and adhere to the provisions laid out in SEBI Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024, and Exchanges vide their circulars dated April 08, 2024, concerning the "Framework for Trading Members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients."

****Policy Framework:****

1. ****Compliance Confirmation:**** We ensure full compliance with the directives specified by SEBI and MCX regarding the voluntary freezing/blocking of trading accounts.

2. ****Risk Management Policy Integration:**** The policy and process for freezing/blocking trading accounts are integrated into our Risk Management Policy to mitigate potential risks associated with client accounts.

3. ****Communication to Clients:**** The formulated Policy and Process have been effectively communicated to all existing clients. These details are an integral part of the account opening kit provided to new clients.

4. ****Transparency and Accessibility:**** Our website prominently displays the Policy and Process for freezing/blocking trading accounts. Clients can access this information at any time. The timelines for processing client requests related to freezing/blocking are also clearly outlined on our website.

5. **Procedure for Freezing/Blocking:**

1. Email from registered e-mail ID: pkinvestments@gmail.com here clients can send their request for freezing/ blocking from their email ID registered with us. Clients are requested to send their freezing/ blocking request without any ambiguity along with UCC. Similarly for un-freezing/ un-blocking, clients are requested to send their request at the email ID: pkinvestments@gmail.com from their registered email ID mentioning

the same. Requests sent for such freezing/ blocking and unfreezing/ un-blocking may not be addressed by PK Investments if it is not sent from the client's registered email ID or sent to any other email ID of PK Investments.

Requests sent for such freezing/ blocking and unfreezing/ un-blocking may not be addressed by PK Investments if it is not sent from the client's registered mobile number or sent to any other mobile number of PK Investments.

PK Investments shall take the following actions on the receipt of such request through any modes of communications for freezing/blocking of the online access of the trading account from the client:

- Verify whether request is received from the registered mobile number/e-mail ID of the client.
- Freeze / block the online access of the client's trading account and simultaneously cancel all the pending orders, if any, of the said client.
- Issue the acknowledgement to the registered email ID or mobile number of the client stating that the online access to the trading account has been frozen / blocked and all the pending orders in the client's trading account, if any, have been cancelled.

- Details of open positions (if any) would also be communicated to the registered email ID of the client along with contract expiry information within one hour from the freezing/blocking of the trading account.
- The timelines for freezing/ blocking of the online access of the clients' trading account is as under:

Scenario	Timelines for issuing acknowledgement as well as freezing / blocking of the online access of the trading account.
Request received during the trading hours and within 15 minutes before the start of trading hour.	Within 15 minutes of receiving the request.
Request received after the trading hours and 15 minutes before the closure of trading hour.	Before the start of next trading session

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SHREE BALAJI MULTICOMMODITIES PVT LTD shall maintain the appropriate records/logs including request received to freeze/block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, and sent them to the clients for the time limit as prescribed by the Regulator.

Re-enabling the client for online access of the trading account: - SHREE BALAJI MULTICOMMODITIES PVT LTD shall re-enable the online access of trading account after carrying out necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account.

6. ****Client Support and Notification:**** Throughout the process, clients are kept informed about the status of their request. Upon completion of the freezing/blocking process, clients receive confirmation along with relevant details.

7. ****Periodic Review:**** We conduct periodic reviews of our freezing/blocking procedures to ensure they remain aligned with regulatory updates and best practices in risk management.

This Policy serves to uphold the principles of transparency, compliance, and client service excellence in managing the voluntary freezing/blocking of trading accounts at SHREE BALAJI MULTICOMMODITIES PVT LTD.

FOR SHREE BALAJI MULTICOMMODITIES PVT LTD

DESIGNATED
DIRECTOR
SHREE BALAJI MULTICOMMODITIES PVT LTD

Date: 20-08-2024