



SVV Share & Stock Brokers Pvt. Ltd.

Member : The Stock Exchange, Mumbai Ctg. No. 662

603-A, P. J. Tower, Dalal Street, Fort, Mumbai - 400 023.

Tel. : 022 - 2272 3133 / 37 / 38 • Fax : 2272 3134 • E-mail : svvcm662@rediffmail.com

CIN No. : U67120MH1997PTC105633

INACTIVE/DORMANT ACCOUNT POLICY

INACTIVE / DORMANT ACCOUNT

POLICY & PROCEDURE

SVV Share has formulated policies and procedure to be followed for inactive / dormant client. The policy broadly covers the aspects of time period and procedure for reactivation of account of the clients as stated here under:

About Dormant Account:

- Inactive client means client who is inactive during last 12 months immediately preceding the end of the previous month.
- A list of inactive clients shall be prepared from the back office software on the last day of every month and shall be submitted to the concerned department after confirmation with the management. The management will approve a final list of inactive clients.
- A copy of the list is also forwarded to dealers who operate our terminals.
- The concerned department shall mark the client status as "Inactive" or "Dormant" in various front office software and back office accounting software.
- After inactive marking, if any orders are received, the dealer shall take reasonable steps to identify the identity of the client and to ensure that the orders are received from the same client. The dealer shall use various techniques like call back, asking personal detail questions, last trade date, outstanding positions etc to confirm the identity of the caller. They may use any other technique which is reasonable. In case of a doubt the case shall be referred to the management or concerned Sub-Broker/Authorised Person or Introducer.
- Dormant client has to update their KYC details at the time of fresh order, if required.

Policy for return of Clients' Assets' for Inactive Accounts:

- We have a process of Quarterly Settlement of Client Funds & Securities. The Demat accounts of Clients trading with us are opened with CDSL. The Securities pertaining to the client are transferred to the respective client account and the funds are also settled.
- In case of inactive account where the client are not traceable, we have a procedure of following up with the client through the registered email address and contact numbers provided by the client at the time of account opening.
- The securities of inactive client who are not traceable are kept in the client individual beneficiary account.

Handwritten signature



ANNEXURE - I

From:

Date:

To,
M/s. SVV Share and Stock
Brokers Pvt Ltd.,

Sub: **Reactivation of Trading Account.**

Ref: Trading Account No. / Client Code: _____

Sir,

I/We _____ (name of the Client-Individual/Non-individual), having trading account with Unique Client Code _____ allotted to me/us by your broking house situated at _____ (Branch name). I/We am/are not trading in Cash /Futures & Options) on the BSE / NSE trading platform since _____ (last trade date).

However, I/We am/are desirous to start trading again in Cash / Futures & Options Derivatives Segment(s) on the BSE / NSE trading platform. In this regard, you are requested to reactivate my/our trading account and allow trading with immediate effect.

I/We hereby undertake that:

1. I/We have completed all the KYC formalities and submitted all the required documents thereof (Proof of Identity, Address Proof, Bank Proof, PAN, etc.), at the time of opening the trading account originally and enrolling as a client with you.
2. There are no changes in respect of my/our Address, Bank account, PAN details, as provided to you earlier. Further, there is no material change in the other information provided to you in KYC Form.

I/We declare that the information given above is true to my/our knowledge. I/We, therefore, request you that the requirement of fresh KYC may not be insisted upon.

Yours Faithfully,

(Name & Signature of the Individual Client)