

**SHUBHAM STOCK BROKING SERVICES PRIVATE
LIMITED**

DORMANT / INACTIVE POLICY

1. Introduction:

Shubham Stock Broking Services Pvt. Ltd. (Shubham) is a SEBI Registered Stock Broker & Depository Participant (CDSL) engaged in retail broking business in Cash and Derivatives Segments. The SEBI Circular which has a mention about the framing of dormancy policy by Intermediaries issued on December 03, 2009 and amended from time to time, forms the basis of formulating and implementing this Policy.

2. Scope of the Policy:

The scope of this policy is to formulate clear guidelines for identification, suspension and reactivation of client codes which has been categorized as dormant / inactive as per the Shubham Dormancy policy

3. Dormancy:

Client will be marked as dormant, when the below conditions are be fulfilled

1. No transactions for the last 24 months shall be identified as a dormant account. Transactions here mean the following:
 - No purchase or sale transaction in the Cash Segment of NSE & BSE
 - No purchase or sale transaction in the Derivative segment of NSE & BSE
 - No purchase or sale transaction in the currency derivative segment of NSE
 - No Bank Receipts or Payments (Client Funds Pay-in or Pay-out)
 - Any other Financial or Security transaction as provided on the website or through the offline mode affecting the common ledger of the customer maintained in the back office for Arch.

4. Identification & Suspension:

The process of identifying the dormant accounts based on the above-mentioned criteria shall be run either daily basis post the EOD activities for the day. Accounts identified as dormant shall be flagged as dormant in the trading system, back office system. Intimation to the client in the form of an email / SMS shall be sent to the client informing that the client account has been made inactive due to the dormancy.

5. Reactivation Process:

For activation of such accounts, clients shall be required to submit a written request to the customer support at the branches / Head Office along with the copy of Re-KYC documents. Online Process: Clients shall also be given an option to reactivate the accounts which are marked as Dormant. Call and Trade Desk: Clients shall also be given an option to reactivate the accounts by calling at call and trade desk, client has to give Re-KYC documents + User ID for activating his account through call and trade desk. The IPV should be mandatory.