

LEO FINANCIAL SERVICES LIMITED

Member: National Stock Exchange of India Ltd, Depository Participant: NSDL
Regd off: 403-404 Chanana Building, 2214 Hardhiyan Singh Road, Karol Bagh, NEW DELHI- 110005
Email Id:leofinancial00@gmail.com, Phone No:(011)43464489, 9350991161
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Policy on Voluntary Freezing/Blocking of Trading Accounts

1. Introduction:

This policy outlines the framework for providing clients the facility to voluntarily freeze/block their trading accounts in case of suspicious activities, in line with SEBI Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024, and Exchange Circular no. NSE/INSP/60277 dated January 16, 2024.

2. Objective:

To enable clients to safeguard their trading accounts by offering a mechanism to voluntarily freeze/block trading accounts in case of suspicious activities and to ensure compliance with regulatory requirements.

3. Modes of Communication for Freezing/Blocking Requests:

Clients may request to freeze/block their trading accounts through at the following modes of communication:

- **Email from the registered email ID**
- **SMS from the registered mobile number**
- **Personal Visit to office with a written request.**

4. Processing Requests:

Upon receiving a request to freeze/block a trading account:

- **Validate the request** by verifying it- is received from the registered phone number/ email ID of the client.
- **Issue an acknowledgment and freeze/block the trading account** within the following timelines:
 - Requests received during trading hours: within **15 minutes**
 - Requests received outside trading hours: before the start of the next trading session

Cancel all pending orders and send a communication to the client's registered mobile number and emailed confirming the freezing/blocking of the trading account and cancellation of pending orders.

5. Notification of Open Positions:

Details of open positions and contract expiry information will be communicated to the client within **one hour** of freezing/blocking the trading account.

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6. Record Keeping:

Maintain appropriate records/logs of:

- Requests received for freezing/blocking trading accounts
- Confirmations issued for freezing/blocking trading accounts
- Cancellation of pending orders

7. Accountability:

In case of failure to freeze/block the trading account within the prescribed timelines, the Broker will be responsible for any trades executed from the time of receipt of the request until the account is blocked/frozen.

8. Re-enabling Trading Accounts:

The Broker will re-enable the trading account after:

- Carrying out necessary due diligence
- Validating the client's request for unfreezing/unblocking the trading account

9. Clarifications:

- Freezing/blocking applies only to the trading account and **does not restrict Risk Management activities.**
- The request for freezing/blocking does not constitute a request for marking the client's Unique Client Code (UCC) as inactive in the Exchange records.

10. Disclosure:

This policy, along with the process and modes through which clients can request to freeze/block and unfreeze/unblock their trading accounts, will be disclosed on the Broker's website.