



POLICY FOR DORMANT ACCOUNTS

The provisions specified herein shall replace the provisions pertaining to dormant/inactive account as specified in the existing Policy of the Company for Prevention of Money Laundering.

DEFINITIONS

The following accounts shall be categorized as Dormant Accounts:

I. Demat accounts

A Demat account having no transactions in the last 6 (six) calendar months shall be classified as Dormant account.

II. Trading account

A Trading account in which no transaction has been carried out for a period of more than 6 (six) calendar months shall be classified as a Dormant Account.

TREATMENT OF DORMANT ACCOUNTS

Transactions in Dormant Trading Accounts

In case of Online or Offline dormant trading accounts in which no transaction has been placed during the last 6 (six) calendar months, the account of the client shall be locked and the client shall not be permitted to execute a fresh transaction in the account unless;

- An on-site request to reactive the account and process the transaction is received; or
- A written request to reactive the account and process the transaction duly signed by Client and submitted to R. Wadiwala Securities Pvt. Ltd.; or
- A telephonic request to reactive the account and process the transaction.

Locking of Code in Back-office

In case the client has not trading for a period of 6 months, client shall be marked "Freeze for Trades" and thus no transactions in the account will be accepted.

Locking of Code in Trading Terminal

Same way, a file shall be prepared from back-office at the end of the day showing list of dormant clients and accordingly it shall be deactivated in trading terminal so that further trading in not carried out.

R Wadiwala Securities/ Commodities Private Limited

Member Broker: NSE, BSE, MCX & NCDEX, DP: CDSL & Portfolio Manager



REACTIVATING DORMANT ACCOUNT

To re-activate clients marked as dormant account, Client verification process is done by verifying correct Date of Birth, PAN details and Address.

Once, verified a confirmation call is given to client's registered mobile or telephone number regarding re-activating client's account.

Accordingly, clients account is again activated.

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