



R.B. JAJU SECURITIES INDIA PVT. LTD.

MEMBER : BOMBAY STOCK EXCHANGE LTD.
MEMBER : MCX-SX LTD.

Dormant Policy for Broking Account

Inactive / Dormant Accounts

In case of trading account, the term dormant/Inactive account refers to such account wherein no transactions have been carried out since last 180 days and does not have any outstanding position.

To ensure complete security of Client Accounts and assets, a list of inactive clients shall be generated from the back office software and shall be submitted to the concerned department after confirmation with the management.

Accounts identified as dormant shall be flagged as dormant in the trading system and also in back office system.

All the accounts marked as "INACTIVE/DORMANT" needs to be monitored carefully in order to avoid unauthorized transactions in the account. The clients account would be reactivated only after undertaking proper due diligence process and fulfilment of such conditions as mentioned below;

- Checking KYC of Dormant Client's & Identify any missing documents or any change in the Information such as; address mobile numbers, email id, bank/demat account, financial Documents provided at the time of registration should be maintain in a separate excel Sheet.

Client due diligence will be done before activating the account;

- a) Calling to client at Contact no. provided in KYC at the time of Registration.
- b) Verifying the authenticity of person by asking few questions. For e.g. Date of birth, Bank Account Nos. or period of last transaction etc.
- c) Collecting documentary proof such as latest financial documents duly self attested by client.
- d) Any Missing/Updated documents of changes incurred in client details

On verification of the same the compliance officer / risk department in-charge can authorize the activation of such Inactive accounts subject to Rules, Bye laws, circulars and guidelines issued by SEBI Exchanges and Internal Risk Management Policies.

Resumption of trading by dormant clients:

Once a client is classified as dormant and deactivated in the trading system, the trades will be allowed in that account only after receipt of specific request from the Compliance Officer.

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