# Santosh Kumar Kejriwal Securities Pvt Ltd

## Policy for inactive clients account:-

☐ As per company policy any client who has not traded during last 12 months immediately preceding the end of the previous month will be considered as inactive.

☐ 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 NEAT, CTCL, FAW (Fastrade) terminals.

☐ The concerned department shall mark the client status as "inactive" or "dormant" in various front office 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 or introducer.

☐In order to reactive the account , client needs to make an application in writing in advance at the Head Office. The account may be reactivated on receipt of written request from the Client along with a copy of PAN Card, Copy Latest Bank Statement/ Passbook, latest financial documents with a declaration that no change has taken place in the information provided in know your Client Form. In case the details has changed updated documents such as proof of address, DP client master, copy of bank passbook /statement, email id, mobile no. etc taken from the clients.

☐ Dormant client has to update their KYC details at the time of fresh order, if required.

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