

PROCESS FOR VOLUNTARY FREEZING / BLOCKING / UNFREEZING OF TRADING

1. Introduction

- To safeguard investor interests and strengthen account-level security, Allvest Securities Pvt Ltd (“Allvest”) has implemented a Voluntary Freezing / Blocking / Unfreezing Facility in accordance with:
 - SEBI Circular dated January 12, 2024 – Ease of doing investments by investors – Facility of voluntary freezing/blocking of trading accounts by clients, and
 - Exchange circulars NSE/INSP/61529 and BSE 20240408-12, effective July 1, 2024.
- This policy defines the process, treatment of orders/positions, timelines, unfreezing procedure, and risk-management exceptions applicable when a client requests freezing of their trading account.

2. Modes for Requesting Account Freeze

- Clients may voluntarily freeze their Allvest Trading account through any of the following authenticated modes:

2.1. Modes for Requesting Account Freeze

- Log in to Allvest App → **Settings** → **Security & Privacy** → **Freeze Trading Account**
- Confirm request via OTP or in-app authentication.
- A confirmation message will appear upon successful submission.

2.2. Web Access (If mobile unavailable)

- Visit Allvest Web Portal → Profile → **Freeze Trading Account**
- Authenticate via OTP and confirm.

2.3. IVR-Based Freezing (No login access)

- Call Allvest’s dedicated number 7304646395 from your registered mobile number.
- Follow voice instructions to freeze the account.
- System auto-verifies caller ID and records the freeze request.

2.4. Customer Support (If no access to app/web/IVR)

- Contact Allvest support from registered contact details.
- Send an email to stoptrade@allvest.co from your registered email ID with Subject line as “Freezing of My Trading Account _____ <UCC>”
- Allvest may follow enhanced verification before freezing.

3. Actions Taken After Freezing Request

- Once a valid request is received and verified, Allvest will take the following actions:

3.1. Cancellation of Orders

- All pending orders, including GTT, AMO, Conditional/Smart orders, will be cancelled immediately

3.2. Treatment of Open Positions

- Allvest’s approach blends SEBI/RMS requirements and best practices:

Type of Position	Allvest Policy
Intraday positions	Squared off as per RMS intraday schedule (before market close).
Open carry-forward positions	Will not be squared off except in RMS-mandated cases such as margin shortfall, MTM losses, regulatory direction, or exchange close-outs.
Regulatory or RMS triggered actions	Allvest may square off positions anytime as required by risk or regulatory conditions.

3.3. Blocking of Online Access

- Trading access across Equity, F&O, Commodity, Currency segments will be blocked.
- The client will be logged out of all active sessions on app, web, and APIs.

3.4. Notifications to the Client

Clients will receive:

- SMS & Email confirming freeze activation
- Email summary of open positions (if any)
- Details of cancelled orders

3.5. Additional Notes

- Freeze request does not mark the client's UCC as inactive with exchanges.
- Freeze applies only to online transaction access; RMS actions remain unrestricted.
- Allvest is not liable for losses arising from cancellation of orders or non-square-off of positions due to freeze.

4. Timelines for Actions

4.1. Requests During Market Hours

- Cancellation of pending orders → within 15 minutes
- Freezing of access and logout → immediate
- RMS-related square-offs → As per real-time RMS checks

4.2. Requests After Market Hours

- Pending order cancellation → before market open next trading day
- RMS/Intraday square-offs → within 15 minutes of market open
- Access freeze → Immediate upon validation

5. Risk Management Policy Considerations

- Allvest will continue to execute RMS-related actions such as:
 - MTM-triggered square-offs
 - Margin shortfall liquidation
 - Delivery margin requirement square-offs
 - Exchange-mandated close-outs
 - Regulatory orders (SEBI/Exchange/FI handling)
- Freeze requests do not override risk protocols required for the protection of the client, the broker, or market integrity.
- Allvest shall not be liable for:
 - Losses due to RMS square-offs during freeze
 - Losses from inability to place orders post-freeze
 - Any delay in unfreezing caused by incomplete authentication

6. Unfreezing (Reactivation) Process

- Unfreezing ensures identity verification and prevents account misuse.

6.1. Cooling-Off Period

- A minimum 24-hour cooling period after freezing may be applied.

6.2. IVR Unfreezing

- Call IVR **XXXX-XXX-XXX** from registered mobile
- Authenticate via OTP/verification prompts

6.3. App / Web Unfreezing

- Log into Allvestr App/Web → **Security** → **Unfreeze Account**
- Enter OTP & confirm
- Upon successful authentication, the account is Unfrozen

- Client must reset login password & trading PIN
- Fresh login required; old sessions remain invalidated

7. Disclaimer

- Allvest will take all reasonable measures to process freeze/unfreeze requests promptly. However:
 - RMS actions remain fully at Allvest's discretion and obligation
 - Allvest shall not be liable for consequential losses arising from freeze/unfreeze events
 - Final responsibility for account security lies with the client