



Allvest Securities Private Limited

VOLUNTARY FREEZING/BLOCKING OF ACCOUNTS POLICY



Document Revision and Version Control

Version No.	Month	Prepared by	Reviewed By	Adopted in Board
Ver 1	Feb-26	Shashikant Awale	Amit Bansal	23-02-2026



CONTENTS

INTRODUCTION	3
APPLICABILITY	3
SCOPE	3
OBJECTIVE/PURPOSE	3
PROCESS FOR FREEZING/BLOCKING/REQUEST PROCEDURE.....	3
ACTIONS TAKEN AFTER FREEZING REQUEST	4
DISCLAIMER	6
CLARIFICATION.....	6
REVIEW	6



INTRODUCTION

Allvest Securities Private Limited (hereinafter referred to as "ASPL" or "Company") is incorporated under the Companies Act, 2013, with Corporate Identification Number (CIN) U66120MH2025PTC440678. ASPL is registered as Stock Broker with SEBI having Registration number INZ000330839 and is registered as Trading Cum Self Clearing Member with National Stock Exchange of India Ltd and NSE Clearing Ltd. (Member Code: 90469), as a Trading Member with BSE Ltd. (Member Code:6973), as a Trading Cum Self Clearing Member with Multi Commodity Exchange of India Limited (Member Code :57650) and ASPL is also registered with SEBI as a Depository Participant having Registration No.: IN-DP-837-2026 and with NSDL having DP ID: IN304949.

APPLICABILITY

This policy applies to all clients including Institutional Clients holding trading accounts with Broker who wish to voluntarily freeze their online trading accounts.

SCOPE

To safeguard investor interests and strengthen account-level security, ASPL has implemented a Voluntary Freezing / Blocking / Unfreezing Facility in accordance with the directions issued by the Securities and Exchange Board of India (SEBI) vide circular number SEBI/HO/MIRSD/POD-1/P/CIR/2024/4, the National Stock Exchange of India Limited (NSE) and BSE Limited, vide Circular No. NSE/INSP/60277 dated January 16, 2024, NSE/INSP/61529 dated April 08, 2024 and Notice no. 20240112-30 dated January 12, 2024, Notice no. 20240408-12 dated April 08, 2024 respectively pertaining to "Ease of Doing Investments by Investors - Facility of voluntary freezing/ blocking of Trading Accounts by Clients" and Framework for Trading Members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients.

OBJECTIVE/PURPOSE

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.

This policy aims to provide clients with the option at their request to voluntarily freeze or block online access to their trading accounts, ensuring enhanced security and preventing unauthorized transactions.

PROCESS FOR FREEZING/BLOCKING/REQUEST PROCEDURE

Initiations: Clients may voluntarily freeze their ASPL Trading account through any of the following authenticated modes:

Modes for Requesting Account Freeze:

1. Customer Support (request via Email)
 - Contact ASPL 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/Client ID>". Also mention PAN & Registered Mobile Number in the Email.



- The client's request will be processed after necessary validation. ASPL shall verify the client's identity using method of 2 factors authentication.
2. Customer Support (request via Phone Call)
- Contact ASPL support at Tollfree No. 1800 210 4545 from registered Mobile Number.
 - The client's request will be processed after necessary validation. ASPL shall verify the client's identity using method of 2 factors authentication.

Actions Taken After Freezing Request

3. Action Taken After Freezing Request:

Once a valid request is received and verified, ASPL 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

ASPL's approach blends SEBI/RMS requirements and best practices:

Type of Position	ASPL 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	ASPL 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.
- ASPL 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 Trading Hours & Within 15 minutes before start of trading.

- Cancellation of pending orders → within 15 minutes



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

4.2. Requests After Trading Hours & 15 minutes before start of trading

- Pending order cancellation → before the start of next trading session
- RMS/Intraday square-offs → within 15 minutes of market open
- RMS/Intraday square-offs → within 15 minutes of market open

5. Risk Management Policy Considerations

ASPL 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.

ASPL 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

Customer Support (request via Email)

- Contact ASPL support from registered contact details.
- Send an email to stoptrade@allvest.co from your registered email ID with Subject line as “Unfreezing of My Trading Account _____ <UCC/Client ID>“. Also mention PAN & Registered Mobile Number in the Email.
- The client’s request will be processed after necessary validation. ASPL shall verify the client's identity using method of 2 factors authentication.

Customer Support (request via Phone Call)

- Contact ASPL support at Tollfree No. 1800 210 4545 from registered Mobile Number.
- The client’s request will be processed after necessary validation. ASPL shall verify the client's identity using method of 2 factors authentication.

6.1. Cooling-Off Period

- The trading member shall unfreeze/unblock the online access of trading account after validating the client request.
- A minimum 24-hour cooling period after freezing may be applied.



DISCLAIMER

7. Disclaimer

ASPL will take all reasonable measures to process freeze/unfreeze requests promptly. However:

- RMS actions remain fully at ASPL's discretion and obligation
- ASPL shall not be liable for consequential losses arising from freeze/unfreeze events
- Final responsibility for account security lies with the client

CLARIFICATION

In case of any clarification/information required on the implementation of the Policy, please contact the Compliance Officer on Email – complianceofficer.aspl@allvest.co, Tel No.022-46656436.

REVIEW

This policy will be reviewed and updated as required to incorporate any changes introduced by regulatory authorities. Additionally, it will undergo periodic reviews at least once in a year to ensure continued relevance, effectiveness, and alignment with current regulatory requirements and industry standards.

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