

ANNEXURE – C

(To be on the letterhead of the Member)

Submission of Compliance Certificate-Freezing/Blocking of Account

Member Name: M/s. _____

Member Code: _____

Applicability: Yes / No

Declaration

I/We, M/s. _____, hereby confirm that I/We have **Complied** with the provisions of SEBI Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 and MSE Circular No. MSE/INSP/15168/2024 dated April 09, 2024 on "Framework for Trading Members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients"

Further, I/We have formulated the policy and process in line with the framework as prescribed by Exchange that forms part of our Risk Management Policy. The Policy and Process have been communicated to the existing clients and made the part of account opening kit. This Policy and Process have also been displayed on our website along with the timelines that will be followed to process the request of the client for freezing/blocking of their trading account.

The updated RMS policy and proof of compliance digitally signed by Compliance Officer / Designated Director enclosed herewith.

Further, the following modes have been provided to the clients to place the request to freeze/block the trading account: (kindly mentioned minimum 2 modes)

- Email ID : _____
- Mobile No. : _____
- IVR/Tele Calling No. : _____
- Chatbot : _____
- Application : _____
- Website : _____
- Any other Mode : _____

We hereby confirm that the above-mentioned details are true and correct.

For M/s. _____

Name of Compliance Officer / Designated Director

Signature of Compliance Officer / Designated Director

Date:

Place:

Encl:

1. Updated RMS Policy
2. Proof of Compliance