



Dhan Stock & Share Brokers Pvt. Ltd.

BSE(SEBI Regn No.) INB011242733/INF010997137 | NSE(SEBI Regn No.) INB/INF/INE231242737 | CIN :U67120WB1997PTC137112

Regd. Office: Poddar Court, 18, Rabindra Sarani, Gate No.3, 4th Floor, Kolkata - 700001

Phone: (033) 3985 0030, 2225 1439-41, Fax: (033) 2225 1440, E-mail: info@dhanstock.in / dhanstock97@gmail.com

INACTIVE\DORMANT ACCOUNT POLICY DHAN STOCK & SHARE BROKERS PVT.LTD

This is an internal policy for INACTIVE\DORMANT ACCOUNT. This policy is applicable to all clients.

Inactive accounts policy:

DSSBPL, shall at regular intervals, fixed by the Board, shall review and analyze the client trading accounts and classify them as "Dormant", "Inactive" accounts, as part of customer due diligence, Risk Management System & Internal Control.

Classification of Dormant and Inactive Accounts:

"Dormant Account" is an account where client has not executed any trade in the last 730 days with the company.

"Inactive Account" is an account where client has not executed any trade in the last 730 days with the company & KYC is activated before 730 days.

Treatment of identified Dormant & Inactive clients:

Dormant Account: At the End of every day Transaction done by Dormant Client has to verify by RMS team by confirming it from client.

Inactive Account: In the first Week of every month RMS team shall identified Inactive Account (for all Exchanges) i.e for company & suspend identified clients from trading on all types of trading platforms (whether online or offline) of all Exchange with or without any notice to clients.

DHAN STOCK & SHARE BROKERS PVT. LTD.


Compliance Officer



Dhan Stock & Share Brokers Pvt. Ltd.

BSE(SEBI Regn No.) INB011242733/INF010997137 | NSE(SEBI Regn No.) INB/INF/INE231242737 | CIN :U67120WB1997PTC137112

Regd. Office: Poddar Court, 18, Rabindra Sarani, Gate No.3, 4th Floor, Kolkata - 700 001

Phone: (033) 3985 0030, 2225 1439-41, Fax: (033) 2225 1440, E-mail: info@dhanstock.in / dhanstock97@gmail.com

Resumption of Trading:

Inactive Account: Suspended "Inactive" account be reactivated for trading on receipt of application for re-activation from the client along with one of the below-mentioned self-Attested supporting documents.

- PAN Card
- Latest Address proof
- Bank Account statement

DSSBPL employee **may** carry out "In person" verification of the Inactive client and shall validate the supporting documents submitted by the client with the originals. The trading account **may** get reactivated within 15 working days of submission of the application of re-activation with valid supporting documents.

When Management thinks or whenever changes are mandated by statutory authorities, this policy is to be reviewed.

DHAN STOCK & SHARE BROKERS PVT. LTD.

Sangam K. K.
Compliance Officer