



Trimbhak Investment & Finance Services Pvt. Ltd.

Share & Stock Broker
(Member : National Stock Exchange (I) Ltd.)
(Member : Bombay Stock Exchange Ltd.)
CIN No. : U67120TG1995PTC019232

803/804/903, Unique Tower, Gaiwadi Street, Off S. V. Road,
Goregaon (West), Mumbai - 400 104.

Tel. : 022-4056 6800 / 2876 3962 / 2876 4353 Fax : 022-4056 6801

Policy on Dormant account/Inactive Account

DORMANTACCOUNTS

This Policy defines the treatment of Dormant/Inactive accounts of the clients maintained with the Company.

Definitions In case of trading account the term dormant/Inactive account refers to such account wherein no transactions have been carried out since last 12 (Twelve) calendar months. In case of account the term Dormant/Inactive accounts refers to such accounts where no debit transaction had taken place for a continuous period of 12 (Twelve) months.

Transaction in Dormant/Inactive Trading Accounts

The Dormant accounts identified based on the above criteria shall be flagged as such in company's record. Company reserves the right to freeze/deactivate such account and refuse to Permit to carry out any fresh transactions in such account. The clients account would be reactivated only after undertaking proper due diligence process and fulfillment of such conditions as may be deemed fit, in the cases where the account is freezed/deactivated. The client's request through letter (ANNEXURE I) /registered email ID/recorded telephone lines may be impressed upon to reactivate the account or carry out any fresh transactions in a Dormant/inactive accounts.

Debit Transaction in Dormant Accounts

The accounts wherein no debit transaction had taken place for a continuous period of 12 (Twelve) months shall be flagged as Dormant/Inactive accounts.

Debit transactions shall be permitted in dormant accounts only on completion of the following procedure:

1. The physical DIS received for transaction in a dormant account shall in addition to the normal verification process also be verified by another employee (additional check)
2. Independent confirmation shall be obtained from the client before processing of the DIS.
3. The Employee verifying such transaction with the Client shall record the details of the process, date, time etc. of verification on the Instruction Slip under his signature and stamp of dormant account.

MONITORING OF TRANSACTIONS

1. Sudden activity in dormant accounts may be viewed as a suspicious transaction
2. Any debit transactions in dormant accounts or any transactions in dormant trading account.
3. Trading accounts shall be reported as an Alert.
4. Such alerts/reports shall be reviewed by the Authorised Official.
5. Transactions found to be suspicious shall immediately be reported to the Risk Management and Compliance Department.

The above stated policy may vary depending on various rules, regulations and bye laws as may be prescribed by SEBI, exchanges or any other authority or as per Internal policy of company from time to time. This Policy for dormant accounts is over and above the transaction monitoring in Dormant account as per Anti-Money laundering Policy of the Company.



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Annexure I

Dormant Account Activation – Request

Date: _____

To, The Compliance Officer

Trimbhak Investment and Finance Services Pvt Ltd.

Dear Sir,

Re: Request for Activation of Dormant Account No. _____ I/We, Mr./Ms.

_____ are maintaining the above Trading account with you.

The said Trading account has not been operated by me / us for a long time now. I / We understand that due to security reasons, the company has classified the said account as "dormant".

I / We now agree to operate the said Trading account regularly and request you to re-classify the account as "active".

I am / we are agreeable to pay all the pending / recoverable charges in my account.
Yours truly,

Signature(s) – to be signed by account holder/s.

Client Code & BO ID : _____

FOR OFFICE USE ONLY

Signatures Verified by	
Account Activated	

Date: _____

Signature (s) of Broker/DP official