

# SW Capital Private Limited

4th Floor, Sunteck Centre, 37-40, Subhash Road, Vile Parle (East), Mumbai - 400 057, India  
CIN: U67120MH1994PTC081512, Tel.: +91-22-4268 7474, Fax: +91-22-4268 7436  
E-mail: helpdesk@swcapital.in & compliance@swcapital.in, Website: www.swcapital.in

## Policy on Framework for Voluntary Freezing/Blocking of Online Trading Account Access for Clients

### Annexure to Risk Management Policy

#### Introduction

In an effort to enhance the ease of business operations and investment activities for investors, and to safeguard investors from suspicious activities, SEBI, through its circular ref. No. **SEBI/HO/MIRSD/POD-1/P/CIR/2024/4** dated January 12, 2024, has mandated a framework for stock exchanges. This framework requires Trading Members to provide clients with the facility to voluntarily freeze/block online access to their trading accounts. Consequently, stock exchanges have issued circulars detailing this framework. In line with these directives, the following policy has been formulated for the voluntary freezing/blocking of trading accounts.

#### 1. Mode of Request for Freezing/Blocking the Trading Account

Clients can choose from the following options to freeze/block their trading account:

**Option A:** Clients can send an email to [stoptrade@swcapital.in](mailto:stoptrade@swcapital.in) from their registered email ID mentioning Trading Code. Upon receipt of the email, the Customer Support team will call the client to confirm the request. The client must accept the call and complete the necessary confirmation steps.

**Option B:** Clients can directly call on the telephone number "022-42687431" or on the contact details provided on our website - <http://swcapital.in/Contact-Us> to voluntarily freeze/block their account.

**Note:** Any of the above options can be used to freeze/block the trading account. Once the account is frozen/blocked, all online access will be unavailable.

#### 2. Procedure to Unfreeze/Unblock the Account

Clients wishing to unfreeze/unblock their account must send an email to [stoptrade@swcapital.in](mailto:stoptrade@swcapital.in) from their registered email ID mentioning Trading Code. Upon receipt of the email, the Customer Support team will contact the client to confirm the request. The account will be unfrozen only after the client confirms the request over the call and completes the reactivation process by submitting a reactivation form to Head Office.

#### Timelines for Freezing/Blocking the Online Access:

Scenario	Timelines for Issuing Acknowledgement and Freezing/Blocking
Request received during trading hours and within 15 minutes before the start of trading	Within 15 minutes
Request received after trading hours and 15 minutes before the start of the next trading session	Before the start of the next trading session

**Note:** By opting to block/freeze the account, you are only blocking online access to your trading account. There will be no restrictions on the risk management activities of SW Capital Private Limited.

#### \*Clarifications

- The request for freezing/blocking does not equate to marking the client's Unique Client Code (UCC) as inactive in the Exchange records.

This policy shall be effective from July 01, 2024 and shall be amended as and when directed by the regulatory authorities.