



Policy for Dormant and Inactive Client Account

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Policy for Dormant and Inactive Client Account:

Definition of Inactive Trading accounts:

In case of trading account, the term inactive account refers to such account wherein any of below mentioned activities has not been carried out by client since last 24 (Twenty-Four) months:

- Trading or participation in OFS/buy-back/Open Offer across any of the exchanges/segments of the exchanges through Samurai Securities Private Limited or
- Transaction in nature of applying/subscribing IPOs (where the IPO bid is successful & not cancelled)/SGBs/Mutual Funds (lumpsum investment or investments through successful SIP instalment payments) on the Mutual Fund platform of the stock exchanges through Samurai Securities Private Limited or
- Modification/updation of e-mail Id/Mobile Number/Address in KYC record of client through Samurai Securities Private Limited and the same has been uploaded to KRA to ensure Validated/Registered status.

Treatment in Inactive Trading accounts:

The Inactive accounts identified based on the above criteria shall be flagged as 'Inactive' by Samurai Securities Private Limited (SSPL) in back office and UCC database of all the respective Exchanges as well.

Reactivation of Inactive Trading Accounts:

- 1) While reactivating the client account, SSPL shall collect Reactivation Letter along with ID proof and update other proof (if any)
- 2) Mandatorily comply with In-Person Verification/Video In-Person Verification (IPV/VIPV) requirement
- 3) Seek confirmation from the client if there is any change in clients' basic details such as Address, Mobile number, Email ID, Bank/DP account, income, etc. as registered with SSPL. In case of changes in any of the said details, SSPL shall seek the updated details along with the necessary documents and update in its records as well in the UCC records of the respective Exchanges.

Once an inactive trading account is re-activated as per the procedure prescribed above, the computation of next 24 months for the purpose of identifying client as inactive in the subsequent period shall be considered from the date of last reactivation of trading account.

Return of Clients Assets: SSPL is required to ensure that all client accounts are settled on monthly or quarterly basis (as per the client preferences) in the manner prescribed from time to time. In case a SSPL is unable to settle the client accounts due to non-availability of client's account details and non-traceability of client, SSPL

shall make all efforts to trace the clients to settle client account and maintain an audit trail for such efforts made for tracing such clients and settling their account. In case of receipt of any claims from such clients, SSPL shall to settle the accounts immediately and ensure that the payment/delivery is made to the respective clients only. SSPL shall ensure to keep such unsettled funds upstreamed to Clearing Corporations.