

POLICIES & PROCEDURES

Return of Excess Securities: -

In compliance with SEBI Circular CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20, 2019 and FAQ issued by the Exchanges on the said Circular, Client may transfer the securities in “Client Collateral Account”/“Collateral Account” towards the margin obligations. Excess securities of the clients, if any, held in “Client Collateral/Collateral” account shall be released to clients along with their funds’ settlement (i.e. once in every 30/90 days) after making necessary retention in accordance with NSE circular NSE/INSP/36889 dated 02-Feb-2018. In case there are no fund payables to clients, securities shall be settled to the client in the same periodicity as consented by the client for the settlement of fund.

Liquidation of Securities in case of Non-fulfillment of client’s funds obligation –

In compliance with SEBI Circular CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20, 2019 and FAQ issued by the Exchanges on the said Circular, if the client is not able to fulfill Funds Obligations, then the unpaid securities shall be transferred to “client unpaid securities account” either to be disposed-off within 5 trading days from the date of pay-out or may be transferred to client’s demat account as per the Risk Management (RMS) Policy of the “Pluswealth Capital Management LLP”.

Payment Terms:-

As per the SEBI Circular CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20, 2019 and FAQ issued by the Exchanges on the said Circular, the client is required to fulfill the pay-in obligations on or before T+2 day. If the client fails to meet its funds pay-in obligation on T+2 day, then the securities may be liquidated within 5 days from the Pay-out date or returned to the client as per the RMS policy of the Pluswealth Capital Management LLP . Profit/loss on the liquidation of the unpaid securities, if any, shall be transferred to/adjusted from the respective client account. The losses, if any, incurred due to liquidation of the unpaid securities shall be adjusted from the other collateral of the client deposited with Pluswealth Capital Management LLP.

Freezing/Unfreezing/Blocking of client’s account:

In reference to SEBI Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 and Exchange Circular no. NSE/INSP/60277 dated January 16, 2024 on the subject “Ease of Doing Investments by Investors - Facility of voluntary freezing/ blocking of Trading Accounts by Clients”.

The framework for trading members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients on account of suspicious activities as finalized in accordance with SEBI Circular is mentioned below:

In case of online/IBT/Mobile Trading clients, if any suspicious activity is observed by client in their trading account client can email on email id stoptrade@pluswealth.net for voluntary freezing/ blocking of the online access of its trading account or can contact on office Mobile No: +91-7290070613 via call or SMS for the same from their registered mobile no with us, client needs to verify their UCC, name or 2 Factor Authentication as may be required by our team for verification of genuine request for the same. After verification of identification our team will process request for freeze/block of trading account temporarily.

The timelines for freezing/ blocking of the online access of the clients' trading account is as under:

Scenario	Timelines for issuing acknowledgement as well as freezing / blocking of the online access of the trading account.
Request received during the trading hours and within 15 minutes before the start of trading.	Within 15 Minutes
Request received after the trading hours and 15 minutes before the start of trading.	Before the start of next trading session

Post freezing/ blocking of client's trading account acknowledgement for the above and details of open positions (if any) would be communicated to the client along with contract expiry information within one hour from the freezing/blocking of the trading account and the same will be provided via email id stoptrade@pluswealth.net for above transaction on client's registered email Id and mobile no.

For Re-enabling the client for online access of the trading account, client needs to email from its registered email id on trading@pluswealth.net and stoptrade@pluswealth.net for the same and after verification account will be re enabled.

Please note:

- a. Freezing/blocking is only for the online access to the client's trading account, and there will be no restrictions on the Risk Management activities of the Trading Member (Pluswealth Capital Management LLP).
- b. The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the Exchange records.

