

## **Policies Related to Inactive Account**

The Back office operations team shall carry out a quarterly review of the client accounts. The client who has not done even a single trade in the 24 months pre-ceding the quarter in which the review is carried out will be treated as an "Inactive Client" and such client accounts will be treated as "Inactive Client Accounts".

The Back office team shall communicate in writing to the Client thirty days prior to Inactivation in the system.

Inactive Client Accounts shall be de-activated by the Back office operations team with the prior approval from the Head-Operations.

**The following shall be done immediately at the back office once a Client Account has been identified as Inactive:**

1. Communicate in writing to the client at-least a month prior to Inactivation.
2. Obtain approval from Head -Operations to mark as 'Inactive'.
3. Mark 'Inactive' Status in Back Office system
4. Mark 'Inactive' status in Front Office system which will not allow trades to be executed on the Inactive client code.
5. Communicate the status to Dealers.
6. Dealers must exercise caution and escalate the case when orders are received for an 'Inactive' account.

**Return of client money's, if any in the account:**

The balance remaining in the client account as on the date of Inactivation, if any, shall be refunded to the client within one week of Inactivation of the Client Account.

**Procedure for Reactivation:**

The Back office operations team can reactivate a client account which has been made Inactive only when the following documents are obtained from the client:

- a. Communication in writing requesting the account to be reactivated stating the reasons for being inactive in the past.
- b. Updated financial details (IT returns in case of all clients, Financial Statements in case of corporate clients )

Reactivation of the client account shall be done by the Back office operations team only after obtaining approval from the Head-Operations and Managing Director.

# SMK SHARES AND STOCK BROKING PRIVATE LIMITED

## ACCOUNT RE-ACTIVATION FORM

To,

SMK SHARES AND STOCK BROKING PVT LTD.

617 Palm Spring Centre,

Link Road, Malad (W),

Mumbai – 400064.

PARTICULARS	DETAILS (To be filled by the client)
Client Code	
Client Name	
Branch Code	
Reason for Reactivation	
Introduced by / Name of the Sub broker	

I/We hereby request you to please reactivate my /our account and treat this form as intimation for re-opening of the account. I/We hereby confirm that all the information's provided to you with initial account opening are the same, and I/we do agree to abide by the Exchange Rules and Notifications issued till date.

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Client's Signature

Date :

**FOR OFFICE USE ONLY**

<b>Client Code</b>	
<b>Client Name</b>	
<b>Date of Last transaction</b>	
<b>Date of Activation</b>	
<b>Are all account documents are complete</b>	
<b>Checked and updated by</b>	

**ADDENDUM FOR CLIENTS OPTING FOR EQUITY Y TRADING**

<b>Applicant Status</b>	Individual /Non Individual			
<b>Form Number</b>				
<b>Further to the KYC already signed with SMK Shares &amp; Stock Broking Private Limited , I have to submit the following additional details</b>				
<b>Name of the Applicant / Entity</b>				
<b>Net Worth</b>				
<b>Pan No.</b>				
<b>Address</b>				
<b>Telephone/Mobile no.</b>				
<b>Email id :</b>				
<b>Financial Details along with supporting documents : (Tick for Applicable)</b>	<input type="checkbox"/>	Below Rs.1,00,000	<input type="checkbox"/>	Rs.1,00,000 to 5,00,000
	<input type="checkbox"/>	Rs. 5,00,000 to 10,00,000	<input type="checkbox"/>	Rs.10,00,000 to 25,00,000
	<input type="checkbox"/>	Above Rs.25,00,000	<input type="checkbox"/>	-----
<b>Name of supporting document</b>				

<p><b>Details of any action taken by SEBI/FMC/Stock Exchange /Commodity Exchange/ any other authority:</b></p>
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The details furnished by me/us are true to the best of my/our knowledge and belief, and I/we undertake to inform you of any changes therein immediately in writing. In case if any of the above information is found to be false or untrue then I am /we are to be held liable for it.

I/we further undertake that i/we shall indemnify and keep indemnified SMK Shares & Stock Broking Private Limited or its Directors or its employees from and against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, proceedings or liability suffered or fastened due to any incorrect, wrong, false , misleading representations provided /disclosed by me/us to SMK Shares & Stock Broking Private Limited .

**Client's Signature,**

**Name :**

**Place :**

**Date :**