



# Goldmine Stocks Pvt. Ltd.

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## Policy for Inactive/Dormant Accounts

### Scope:

The scope of this policy is to formulate clear guidelines for identification, reactivation of client codes which has been categorised as dormant/Inactive as per SEBI/exchange guidelines.

### Policy for treatment of Inactive/Dormant accounts:

In case of any account(s), the term dormant / inactive account refers to such account wherein no transaction/trade(s) have been carried out since last 12 continuous months. The funds / securities of such clients must be returned and the account must be having zero balance. The said clients are not permitted to carry out any fresh transactions/trades in such account.

The process of identifying the dormant/inactive account based on the above mentioned criteria shall be run daily / weekly / monthly basis post the end of the day activities depending on the criteria set by the management from time to time. Account identified as dormant/inactive shall be flagged as “Inactive/Dormant” in the trading software, back-office system and respective exchange’s UCC data base and also such account restricted for further trading/transaction till the client is not re-active their account as per process mentioned below.

### Process for reactivation of Inactive/Dormant account:

Client can get the account reactivated after provided fresh documents, sufficient due diligence and also provided the updated information through the any process mentioned below. In a part of due diligence we have carried out IPV at the time of client is coming for reactivation.

IPV should be undertaken only when the client seeks reactivation after a period of 12 months (1 year) of being flagged as inactive/dormant i.e. after 2 years from their last trading date.

The Client can follow any of the below processes for reactivation of account:

- a. Client can submit the duly signed account re-activation form along with necessary documents at any of branch/main office.
- b. By placing request of re-activation of account through our online account re-activation system/facility.

**Date: 02.01.2023**