

# YOGEN BABU SECURITIES PVT. LTD.

Member : National Stock Exchange Of India Ltd.

## POLICY FOR INACTIVE CLIENTS

1. Inactive client means client who is inactive during last 12 months immediately preceding the end of the previous month.
2. A list of inactive clients shall be prepared from the back office software on the last day of every month and shall be submitted to the concerned department after confirmation with the management. The management will approve a final list of inactive clients.
3. A copy of the list is also forwarded to dealers who operate our BOLT or NEAT terminals.
4. The concerned department shall mark the client status as "inactive" or "dormant" in various front office software of CTCL and IML and back office accounting and DP software.
5. After inactive marking, if any orders are received, the dealer shall take reasonable steps to identify the identity of the client and to ensure that the orders are received from the same client. The dealer shall use various techniques like call back, asking personal detail questions, last trade date, outstanding positions etc to confirm the identity of the caller. They may use any other technique which is reasonable. In case of a doubt the case shall be referred to the management or concerned Sub-Broker or introducer.
6. Dormant client has to update their KYC details at the time of fresh order, if required.



The image shows a handwritten signature in black ink over a circular purple stamp. The stamp contains the text 'YOGEN BABU SECURITIES PVT. LTD.' around the perimeter and some illegible text in the center.