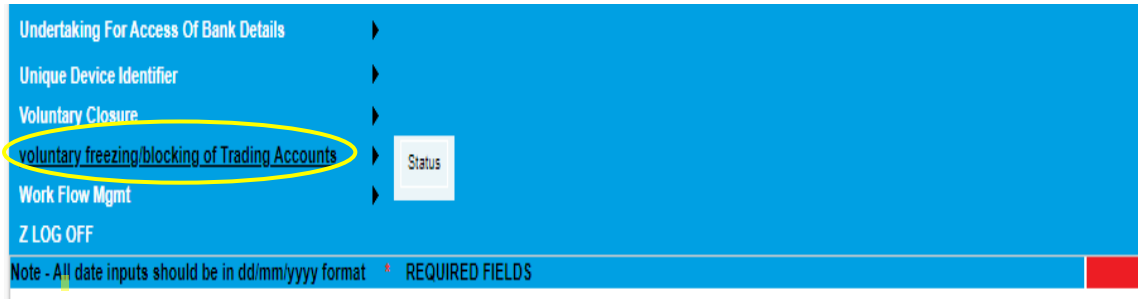


Annexure A

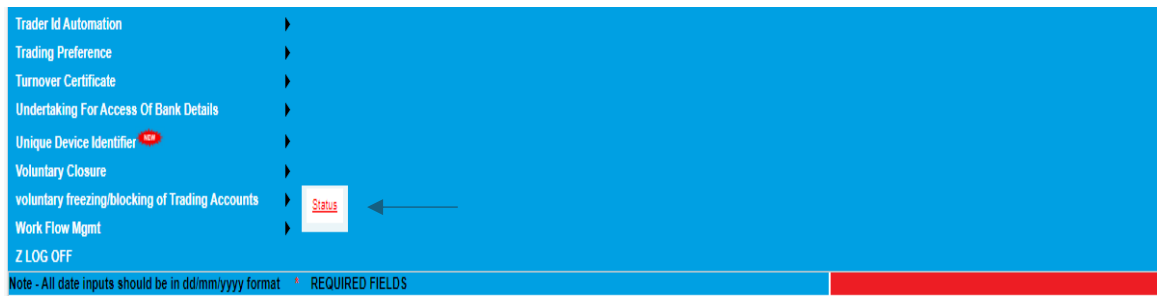
MANUAL FOR SUBMISSION OF CERTIFICATE

Certificate is to be submitted in electronic form only through BEFS (BSE Electronic Filing System) and the module for submission is available on <https://bef.s.bseindia.com>

Login to BEFS Portal, click on the tab “Voluntary freezing/blocking of Trading Accounts” on left side



After Clicking on Voluntary freezing/Blocking of Trading Accounts →select on Status as per below screenshot.



Post Selecting “Status”, below Screen will appear

Member has to select the option “Yes” or “No” Under Applicability

Annexure A

Hide Menu

Voluntary Freezing/Blocking Of Trading Accounts By Clients

Member Code : 1231 Member Name : DUMMY_1231

Applicability :*

SELECT

SELECT

YES

NO

I confirm that details mentioned above are true and correct*

SUBMIT

If the Member selects Applicability as Yes

Step 1: If the Member selects Yes → Status box will appear with the option compliance or Non-Compliance.

Hide Menu

Voluntary Freezing/Blocking Of Trading Accounts By Clients

Member Code : 1231 Member Name : DUMMY_1231

Applicability :*

YES

Status :*

SELECT

SELECT

Compliance

Non-Compliance

I confirm that details mentioned above are true and correct*

SUBMIT

If Member Selects Status as Compliance

Step 2: If Member selects Compliance Option → Fill all the details

A. Date by which compliance will be ensured

Annexure A

Voluntary Freezing/Blocking Of Trading Accounts By Clients

Member Code : 1231 Member Name : DUMMY_1231

Applicability :* YES

Status :* Compliance

Date by which compliance will be ensured :*

Detailed policy for voluntary freezing/ blocking trading account of the client :*

[File Naming Convention : MemberCode_PolicyName_DDMMYYYY.pdf]

Choose File NO FILE CHOSEN

Choose File NO FILE CHOSEN

I confirm that details mentioned above are true and correct*

SUBMIT

B. upload file → Detailed policy for voluntary freezing/blocking trading account of the client with the nomenclature MemberCode_PolicyName_DDMMYY.pdf

Voluntary Freezing/Blocking Of Trading Accounts By Clients

Member Code : 1231 Member Name : DUMMY_1231

Applicability :* YES

Status :* Compliance

Date by which compliance will be ensured :*

Detailed policy for voluntary freezing/ blocking trading account of the client :*

[File Naming Convention : MemberCode_PolicyName_DDMMYYYY.pdf]

Choose File NO FILE CHOSEN

Choose File NO FILE CHOSEN

I confirm that details mentioned above are true and correct*

SUBMIT

C. Upload Proof of Compliance (Signed by Compliance officer/DD/Internal Auditor)

Voluntary Freezing/Blocking Of Trading Accounts By Clients

Member Code : 1231 Member Name : DUMMY_1231

Applicability :* YES

Status :* Compliance

Date by which compliance will be ensured :*

Detailed policy for voluntary freezing/ blocking trading account of the client :*

[File Naming Convention : MemberCode_PolicyName_DDMMYYYY.pdf]

Choose File NO FILE CHOSEN

Choose File NO FILE CHOSEN

I confirm that details mentioned above are true and correct*

SUBMIT

If the Member selects Status as Non-Compliance

Step 3: If Member selects Non-Compliance Option → Upload the Reason for Non-compliance.

Annexure A

Voluntary Freezing/Blocking Of Trading Accounts By Clients

Member Code : 1231 Member Name : DUMHY_1231

Applicability :* YES

Status :* Non Compliance

Reason for Non-Compliance :*

I confirm that details mentioned above are true and correct*

SUBMIT

Step 4: Tick on the below undertaking and submit

Voluntary Freezing/Blocking Of Trading Accounts By Clients

Member Code : 1231 Member Name : DUMHY_1231

Applicability :* NO

Status :* Compliance

Date by which compliance will be ensured :*

Detailed policy for voluntary freezing/ blocking trading account of the client :*

[File Naming Convention : MemberCode_PolicyName_DDDMMYYYY.pdf]

Proof of compliance (Signed by Compliance officer/ DD/ Internal Auditor) :*

I confirm that details mentioned above are true and correct*

SUBMIT

If the Member selects **Applicability as No**

Step 1: If the Member selects No → Member will find dialog box as per below screen.

Voluntary Freezing/Blocking Of Trading Accounts By Clients

Member Code : 1231 Member Name : DUMHY_1231

Applicability :* NO

Reason for Non-Applicability :*

I confirm that details mentioned above are true and correct*

SUBMIT

Step 2: Upload Reason for non-Applicability

Annexure A

The Power of Vibrance

Hide Menu

Voluntary Freezing/Blocking Of Trading Accounts By Clients

Member Code : 1231 Member Name : DUMMY_1231

Applicability :* NO

Reason for Non-Applicability:*

I confirm that details mentioned above are true and correct*

SUBMIT

Step 3: Tick on the undertaking and submit

The Power of Vibrance

Hide Menu

Voluntary Freezing/Blocking Of Trading Accounts By Clients

Member Code : 1231 Member Name : DUMMY_1231

Applicability :* NO

Reason for Non-Applicability:*

I confirm that details mentioned above are true and correct*

SUBMIT