



DSSL
Delstox Stocks and Shares Limited

DELSTOX STOCKS AND SHARES LIMITED

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DORMANCY/INACTIVE POLICY

DORMANCY/INACTIVE POLICY (AS PER SEBI CIRCULAR DECEMBER 03, 2009)

1. Introduction

Delstox Stocks and Share Limited (DSSL) is a SEBI Registered Market Intermediary engaged in retail broking business in equities. The SEBI Circular which has a mention about the framing of dormancy policy by Intermediaries issued on December 03, 2009 forms the basis of formulating and implementing this Policy.

2. Scope of the Policy

The scope of this policy is to formulate clear guidelines for identification, suspension and reactivation of client codes which has been categorized as dormant / inactive as per the DSSL Dormancy policy

3. Definitions & Abbreviations

Client	A person (including a corporate body) who has been enrolled as a client of DSSL as per the provisions of SEBI/Exchange(s)/Depository (ies).
Dormant/ Inactive accounts	An account where there have been no transactions for defined period shall be defined as dormant accounts
Suspended Accounts	An account which has been disabled so that no transaction is allowed is termed as suspended accounts
Management	Management of DSSL
Risk Management Committee	A Committee appointed by the Board of Directors to mitigate risk factors
DSSL	Delstox Stocks and Share Limited , a Company incorporated under the Companies Act 1956, and authorized by SEBI to act as Stock Broker under SEBI (Stock-Brokers and Sub-Brokers) Regulations, 1992 as a Stock Broker of BSE Limited (BSE), National Stock Exchange of India Limited (NSE), {herein after referred to as Stock Exchange(s)}
SEBI (Regulator)	The Securities Exchange Board of India

4. Dormancy

Client will be marked as dormant, when given below conditions below are be fulfilled

No transactions for the last 12 months shall be identified as a dormant account. Transactions here mean the following:

- i. No purchase or sale transaction in the Cash Segment of NSE & BSE
- ii. No purchase or sale transaction in the Derivative segment of NSE & BSE
- iii. No Bank Receipts or Payments (Client Funds Pay-in or Pay-out)
- iv. Any other Financial or Security transaction as provided on the website or through the offline mode affecting the common ledger of the customer maintained in the back office for DSSL.

5. Identification & Suspension:

The process of identifying the dormant accounts based on the above mentioned criteria shall be run either daily / weekly /monthly basis post the EOD activities for the day. Accounts identified as dormant shall be flagged as dormant in the trading system, back office system. Intimation to the client in the form of an email / SMS shall be sent to the client informing that the client account has beenmade inactivate due to the dormancy.

6. Reactivation Offline Process: For activation of such accounts, clients shall be required to submit a written request/KYC to the customer support at the Head Office along with the copy of PAN. Online Process: Clients shall also be given an optionto reactivate the accounts which are marked as Dormant. Client can use the "Reactivate Account" facility given online.

