

Voluntary Freezing/Blocking of the Online Trading Account Policy

Version 1.1 Date 1st April 2026 Board Resolution Passed

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FIRSTOCK BROKING PRIVATE LIMITED

"Formerly NCO SECURITIES AND SHARE BROKING PRIVATE LIMITED"

CIN No: U67120KA2007PTC044047

Registered Office Address: No: 46, 1st Floor, 36th F Cross Road, 4th T Block,
Jayanagar, Bengaluru, Karnataka 560041

Email: support@firststock.in

Tel: (+9180) 46702020 / 46702050

Website: www.firststock.in

1. Introduction

This policy is prepared in accordance with SEBI Circular SEBI/HO/MIRSD/POD1/P/CIR/2024/4 dated January 12, 2024, and Exchange Circular NSE/INSP/60277 dated January 16, 2024. As per the framework issued by NSE vide Circular NSE/INSP/61529 dated April 08, 2024, trading members must offer clients the facility to voluntarily freeze or block online access to their trading accounts in case of suspected unauthorized activity.

This document explains how clients of Firststock Broking Private Limited (Herein after referred to as Firststock) can initiate such requests, including timelines, modes of request, verification steps, and reactivation procedures.

2. Purpose

This facility empowers clients to protect their accounts from misuse if any suspicious activity is observed. Suspicious activity may include:

- Unauthorized trades or fresh positions
- Sale of holdings not initiated by client
- Inability to log in
- Unauthorized changes to bank/email/mobile
- Unrecognized share transfers via gift/easiest

3. Scope & Applicability

This policy is applicable to all of Firststock's resources, across all levels of data sensitivity. It shall apply to the following entities:

- All clients of Firststock
- All employees who are part of the relevant departments or terms at Firststock.

4. Periodic Review

This document plays a key role in mitigating client-related risks and is therefore an integral component of Firststock's internal Risk Management Policy. It shall be reviewed annually, or earlier if required, to ensure alignment with the latest regulatory guidelines and industry best practices.

Any modifications to this policy shall be carried out solely by the document owner and must be approved by Management. A change log will be maintained and updated promptly to reflect all revisions made to this document.

5. Procedure to Freeze / Block Trading Account

5.1 Timelines

As per regulatory guidelines, upon receiving a client's explicit request to block online access to their trading account, Firststock will make every effort to act within the following timelines:

- During Trading Hours: Requests will be processed within 15 minutes.
- After Trading Hours: Requests received after market hours (up to 15 mins before market open) will be addressed before the next trading session begins.

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5.2 Accepted Modes of Request

Clients can raise a freeze/block request via:

- Email: stoptrade@firststock.in
- Firststock's Trading application
- Phone: 080-4670-2050 (9:00 AM to 6:00 PM)

5.3 Mandatory Verification

- For phone requests: clients must call from their registered mobile number. Strict identity verification will be conducted, so they should keep basic personal details ready for quick processing.
- Email/Portal Requests: Must be raised using the registered email ID, with relevant details of the suspicious activity. Clients will receive a verification callback, which they are requested to answer without fail.

5.4 Basic Checks & Initial Steps (Mandatory)

Firststock personnel will ask a few basic questions to understand the seriousness of the request. These may include details about open positions, shared login credentials or OTPs, orders placed, and devices used for trading.

Clients should cooperate with Firststock personnel and provide necessary details to assess the situation. After verification, the client will be informed of any open positions and asked for clear instructions. Based on the client's request, Firststock may square off positions and cancel orders, with applicable charges. A support ticket will be created (if not already), and all updates will be shared through it.

6. Procedure to Unfreeze / Unblock

- Clients can request to unfreeze/unblock their trading account through any mode listed in *Section 5.2*
- Upon completion of required checks, the client will be informed of the status via ticket or email.

7. Clarifications

- Freezing/blocking only stops online access to the client's trading account. Risk Management activities by Firststock will continue as usual.
- A freeze request does not deactivate the Unique Client Code (UCC) from exchange records

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