

Member of : Bombay Stock Exchange • National Stock Exchange • Central Depository Services (India) Ltd.

POLICIES AND PROCEDURES FOR DORMANT ACCOUNTS

(as required by SEBI circular MIRSD/ SE /Cir-19/2009 dated December 3, 2009)

Date November 1, 2012

DORMANT ACCOUNT POLICY

OBJECTIVE:

This Policy defines the treatment of Dormant/Inactive accounts of the clients maintained with the Company. The objective of the policy is to appropriately deal with the Inactive/dormant clients, where clients have not traded for more than 6 continuous months

The policy is also applicable for accounts which have been marked inactive on account of Rules, Bye laws, circulars and guidelines issued by Sebi, Exchanges and Internal Risk Management Policies.

MEANING OF DORMANT ACCOUNT / INACTIVE ACCOUNT:

In case of trading account the term dormant/Inactive account refers to such account wherein no transactions have been carried out since last 6 (SIX) calendar months. In case of Demat account the term Dormant/Inactive accounts refers to such accounts where no debit transaction had taken place for a continuous period of 12 (Twelve) months.

TRANSACTION IN DORMANT ACCOUNT:

The Dormant accounts identified based on the above criteria shall be flagged as such in company's record. Company reserves the right to freeze/deactivate such account and refuse to Permit to carry out any fresh transactions in such account.

The clients account would be reactivated only after undertaking proper due diligence process and fulfillment of such conditions as may be deemed fit, in the cases where the account is frozen / deactivated.

In case of transaction request in a dormant account, a telephonic call is made to the client confirming the desire to transact.

For Shree Naman Securities and Finance Pvt. Ltd.

(Director / Authorised Signatories)

