



# **HORIZON FINANCIAL CONSULTANTS PVT. LTD.**

## **Policy for "Inactive" OR "Dormant" Clients Account**

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Horizon Financial Consultants Pvt. Ltd. as a matter of policy accepts and realizes that the investor community is made of traders as well as investor. Whereas traders trade frequently, the investors trade with long gaps. The inactive client policy is framed keeping the same in mind:

- Inactive client means client who is inactive during last 2 years immediately preceding the end of the previous month. Any client will be moved to the "inactive" category if required by law.
- A list of inactive clients shall be prepared from the back office software on the last day of every month.
- We shall mark the client status as "inactive" or "dormant" in back office accounting software.
- 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.
- Dormant client has to update their KYC details at the time of fresh order, if required.
- This policy has been adopted by the Company and may have been revised over time.

