

Website Compliance Report

Prepared By : **Compliance & Audit Department** Third Quarter (January to March 2024)

Required under clause 16 (1) (q) of Securities Brokers (Licensing and Operations) Regulations, 2016, within seven (07) days from the end of each quarter.

In accordance with SRO 634 (I) / 2014.

Sr	Regulatory Requirements	Status	Details
Profile of the company			
1	Vision & Mission and details of permissible business activities	Compliant	
2	Details of registered agents with their contacts, branches with addresses	Compliant	
3	Brief Introduction of the company including its form, Incorporation, including license details	Compliant	
4	Management Profile	Compliant	
5	Details of Associated Companies, if any	Compliant	
6	Management Rating	Compliant	
7	Name of Auditor/Legal Advisors or the Company (Names Only)	Compliant	
8	Address of the registered office, Head office/Principal Office, branches etc	Compliant	
9	Contact details including phone No., Fax no., Email Address Etc	Compliant	
10	Services	Compliant	
Governance			
11	Board Of Directors	Compliant	
12	Profile of Board of Directors	Compliant	
13	Details of Sponsors along with ShareHolding Pattern of the Company	Compliant	
14	Details Of Audit Committee	Compliant	
Investor Information			
15	Annual/Half Yearly/Quarterly Financial Statements	Compliant	
16	Statutory Auditor Details(Including Addresses, contacts and ICAP/SBP ratings)	Compliant	
17	NCB auditor details along with NCB for last 05 years	Compliant	
18	Policies and Procedures: CDD/KYC Policy, etc.	Compliant	
19	Account Opening Form	Compliant	
Investor Portal			
20	Investor Grievances	Compliant	
21	Pending investor compliants against brokerage firms	Compliant	
22	Contact details of person(s) designated to investor compliants (if any)	Compliant	
23	Details of penal action taken by Exchange & SECP against the Brokerage Firm	Compliant	
24	SECP Online Complain Lodge Link http:// secp.gov.pk/ form_compliant_online.asp	Compliant	
25	PSX Online Complain Lodge Link http://www.csir.psx.gov.pk/?type=2	Compliant	
26	Feedback Form	Compliant	
Investor Education Program/Guide			
27	The Web Link of SECP Investor education program "Jamapunji"	Compliant	
Miscellaneous			
28	Useful Links	Compliant	
29	Media	Compliant	
30	Research	Compliant	
31	FAQ	Compliant	
32	Search	Compliant	

Sr. Manager Audit & Controls

Muhammad Umair Ansari

Manager Compliance

Muhammad Ashraf



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Signature

(Handwritten Signature)

Signature

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