

Website Compliance Report

Prepared By : Compliance & Audit Department Third Quarter (Jan to Mar 2025)

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 | |

D.M Operations
Muhammad Sajjad Ansari

Manager Compliance
Muhammad Ashraf



Signature

Signature

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