

## Website Compliance Report

Prepared By : Compliance & Audit Department First Quarter (Jul to Sep 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
<b>Profile of the company</b>			
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	
<b>Governance</b>			
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	
<b>Investor Information</b>			
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	
<b>Investor Portal</b>			
20	Investor Grievances	Compliant	
21	Pending investor complaints against brokerage firms	Compliant	
22	Contact details of person(s) designated to investor complaints (if any)	Compliant	
23	Details of penal action taken by Exchange & SECP against the Brokerage Firm	Compliant	
24	SECP Online Complain Lodge Link <a href="http://secp.gov.pk/form_compliant_online.asp">http // secp.gov.pk/ form_compliant_online.asp</a>	Compliant	
25	PSX Online Complain Lodge Link <a href="http://www.csir.psx.gov.pk/?type=2">http //www.csir.psx.gov.pk/?type=2</a>	Compliant	
26	Feedback Form	Compliant	
<b>Investor Education Program/Guide</b>			
27	The Web Link of SECP investor education program "Jamapunji"	Compliant	
<b>Miscellaneous</b>			
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

Signature

Signature



**KARACHI BRANCHES 1 :** Room No. 807 & 808, 8th Floor, PSX New Building, and Office No. 725, 7th Floor PSX Main Building Stock Exchange Road, Karachi.  
Tel: (92-21) 32460161-68, (92-21) 32470156-57

**2 :** Room No. 510, 5th Floor, Business & Finance Centre, I.I. Chundrigar Road, Karachi. Tel: (92-21) 32470632

**LAHORE BRANCHES 1 :** 2nd Floor, Associated House, Building No. 1 & 2, 7-Kashmir Road, Lahore-54000, (Pakistan). Tel: (92-42) 3637 3041-43, Fax: (92-42) 3637 3040

**2 :** Room No. 607, 6th Floor, LSE Plaza, 19-Khayabân-e-Aiwan-e-Iqbal, Lahore. Tel: (92-42) 3637 3045, (92-42) 3630 0181, (92-42) 3630 0554, (92-42) 3637 4710