



PAKISTAN STOCK BROKERS ASSOCIATION

(A company setup under section 42 of the Companies Act 2017)

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NOTICE FOR MEMBERS

CONSOLIDATION OF REGULATORY AUDITS / INSPECTIONS OF SECURITIES BROKERS INTO JOINT INSPECTION REGIME

Dear Members,

The Oversight Committee, comprised of the representation of three SROs, the Pakistan Stock Exchange, the Central Depository Company of Pakistan, and the National Clearing Company of Pakistan, has shared its presentation with respect to the Consolidation of Regulatory Inspections into Joint Inspection Regime. The presentation is based on our recommendations to the Regulators to introduce a Consolidated Mechanism for multiple audits.

The Oversight Committee has invited further suggestions/recommendations/feedback/advise in this regard from the Association.

Therefore, members are requested to kindly share feedback after going through the attached presentation enabling us to convey the same to the authorities.



SECRETARIAT
Pakistan Stock Brokers Association