‘’To be Printed on letterhead of TRE Certificate Holder’’

**Quarterly Website Compliance Report**

**For the quarter ended-----------**

|  |  |  |  |
| --- | --- | --- | --- |
| **Description** | **Compliant** | **Non-Compliant** | **Reason for non-compliance** |
| Section on ‘’ **About Us /Profile’’** |  |  |  |
| Vision & Mission and detail of permissible business activities |  |  |  |
| Brief introduction of the company including ITS form,  Incorporation, including licence details |  |  |  |
| Management Profile |  |  |  |
| Details of Associated Companies, if any |  |  |  |
| Management Rating |  |  |  |
| Name of Auditors/Legal Advisors of the company (Names Only) |  |  |  |
| Address of the registered office, Head Office/Principal Office, branches etc. |  |  |  |
| Contact details including phone no., fax no., email address etc. |  |  |  |
| Services |  |  |  |
| Detail of registered agents with their contacts , branches with addresses |  |  |  |
| Section no **‘’Governance’’** |  |  |  |
| Board Of Directors |  |  |  |
| Profile of Board of Directors |  |  |  |
| Detail of Sponsors along with shareholding pattern of the Company |  |  |  |
| Details of Audit Committee |  |  |  |
| Section on **‘’Investor Information’’** |  |  |  |
| Annual/Half yearly/Quarterly Financial Statements (For current Financial Year as well as last five years) |  |  |  |
| Statutory Auditor details (Including addresses, contacts and ICAP/SBP ratings) |  |  |  |
| NCB auditor details along with NCB for last 5 years |  |  |  |
| Policies & Procedures: CDD/KYC Policy, etc. |  |  |  |
| Account opening form |  |  |  |
| Section on **‘’Investors Portal’’** |  |  |  |
| Investor Grievances |  |  |  |
| Pending investor complaints against the brokerage firms |  |  |  |
| Contact details of person (s) designated to handle investors complaints ,if any |  |  |  |
| Detail of penal action taken by Exchanges & SECP against the brokerage firms |  |  |  |
| SECP Online Complaint Lodge Link  http;//www.secp.gov.pk/form\_complaint\_online.asp |  |  |  |
| PSX Online Complaint Lodge Link  http://csir.psx.com.pk/?type=2 |  |  |  |
| Feedback Form |  |  |  |
| Section on **‘’Investor Education Program / Guide’’** |  |  |  |
| The web link of SECP investor education program “Jama Punji” along with its logo & slogan should be placed at the prominent place on home page of websites of brokerage companies as a mandatory requirement. |  |  |  |
| Section on **“Miscellaneous”** |  |  |  |
| Useful links |  |  |  |
| Media |  |  |  |
| Research |  |  |  |
| FAQ |  |  |  |
| Search |  |  |  |

**Undertaking with the Brokerage House:**

We hereby declared that the information furnished in this statement is correct and complete and understand that we shall be bound to submit to Pakistan Stock Exchange (PSX) all relevant information and / or supporting document(s) that the PSX may require to verify the above information at any time. We further acknowledge and agree that in case of non-submission of this statement or submission of incorrect, inaccurate or misleading information in this statement, the PSX shall initiate disciplinary action(s) in accordance with relevant provisions of PSX Regulations.