



PAKISTAN STOCK BROKERS ASSOCIATION

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

Regd Office: Mezzanine Floor, Trading Hall, Stock Exchange Building, Stock Exchange Road,
Off I.I Chundrigar Road, Karachi.

Tel: 021-32401278, E-mail: secretariat@psba.pk, Web: www.psba.pk, Fax: 021-32401279

Bilal Farooq Zardi
Secretary General

Ref: PSBA/P1221-02

December 7, 2021

MR. AJEET KUMAR
Chief Regulatory Officer
Pakistan Stock Exchange Ltd
Karachi.

Subject: **IMPLEMENTATION OF REVISED FORMAT OF CLIENT'S ASSETS SEGREGATION STATEMENT (CASS) AND ITS ONLINE SUBMISSION THROUGH THIMS**

Dear Sir,

This refers to your notice PSX/N-1416 dated November 30, 2021, in respect to the captioned subject, whereby, the TRE Certificate Holders have strongly recommended to allow members to submit their CASS of November 30, 2021, and onward in uploaded format using the revised format available on THIMS.

In this regard, please note that the said reporting requires manual feeding of each field which is a very time-consuming exercise and there is a probability of human error while feeding the required fields manually. You may please refer to the compliance of Liquid Capital Balance in present NCHS where the system allows to upload the excel sheet so that to ensure smooth and proper reporting.

Therefore, we request your authority to kindly provide the option of uploading the excel sheet into the system as we believe that this proposed development would save time with more accuracy and transparency of the information being put into this system manually.

We hope for a positive response from your good self in this regard.

Regards,

Cc: **MR. FARRUKH KHAN** - Chief Executive Officer - PSX.



PAKISTAN STOCK EXCHANGE LIMITED

Stock Exchange Building, Stock Exchange Road, Karachi - 74000, Pakistan.

UAN: 111-001-122 Fax: 32410825

Website: www.psx.com.pk Email: info@psx.com.pk

Ref. No. PSX/ RAD/O-2391

December 8, 2021

The Secretary General

Pakistan Stock Brokers Association
Mezzanine Floor, Trading Hall,
Stock Exchange Building,
Stock Exchange Road,
Karachi.

Subject: **IMPLEMENTATION OF REVISED FORMAT OF CLIENTS' ASSETS SEGREGATION STATEMENT AND ITS ONLINE SUBMISSION THROUGH THIMS**

Dear Sir,

This is with reference to your letter dated December 07, 2021 in relation to the subject matter wherein you have requested to provide an option on THIMS to upload excel sheet of Clients' Assets Segregation Statement [**CASS**] on revised format notified by PSX on November 30, 2021.

PSX agrees with your suggestion and would like to inform that PSX is already in the process of making development in THIMS to provide **UPLOAD OPTION** for submission of CASS through a compatible format. As soon as the said functionality is developed, PSX shall notify the same to TRE Certificate Holders.

In the meantime, you are requested to ensure that TRE Certificate Holders submit CASS manually on revised format available on THIMS, so that the relevant queries of TRE Certificate Holders can be addressed before the implementation date of **December 31, 2021** for revised format of CASS and its online submission on THIMS.

Yours truly,

AJEET KUMAR

Chief Regulatory Officer

Cc: The Chief Executive Officer, PSX