

Chapter 22: BROKERS' OFFICE/BRANCH OFFICE REGULATIONS

22.1. DEFINITIONS:

In this chapter, unless there is anything repugnant in the subject or context:

- (a) "Branch Head" shall mean a permanent employee of a Broker appointed or authorized to operate, manage and supervise the Office/Branch Office in accordance with the Regulations of the Exchange and who is registered in the UIN database of NCCPL.

Provided that the Chief Executive Officer of a Broker shall be deemed to be the Branch Head of the Broker's Main Office.

- (b) "Broker's Main Office" shall mean an office where the Chief Executive Officer of a Broker supervises the said office himself/herself, provided number of such offices shall not exceed one at any time.
- (c) "Broker's Telephone Booth(s)" shall mean the space within the Trading Hall of the Exchange where additional Trading Systems Terminals and telephones are provided to the Brokers and it shall be deemed to be a part of the Broker's Main Office.
- (d) "Capital Market Hub" shall mean a compound or building designated as Capital Market Hub by the Commission from time to time.
- (e) "Certificate" shall mean a Certificate of Registration of the Office/Branch Office issued by the Exchange.
- (f) "Head Office" shall mean a Broker's Office/Branch Office designated as the principal place of business.
- (g) "Office(s) or Branch Office(s)" shall mean an Office/Branch/Shop opened and maintained by a Broker within or outside the premises of the Exchange and includes Broker's Main Office but excludes the Broker's Telephone Booth.

Provided that the operation of Trading Systems Terminal, a terminal linked with the CDS in the capacity of CDC Participant, and/ or computer connected with the NCSS in the capacity of a Clearing Member within or outside KSE Building shall also be treated as Office(s)/Branch Office(s) for the purpose of these Regulations.

Provided further that in case where a Broker has only one location of operation and does not have an Office/Branch Office at an alternate/second location, he/she shall mandatorily be required to install one Remote Disaster Recovery (DR) Terminal in accordance with the Trading Systems Regulations of the Exchange, and may be installed at any place which shall not be deemed to be Office/Branch Office under these Regulations.

22.2. ELIGIBILITY CRITERIA FOR OPENING OFFICE(S) OR BRANCH OFFICE(S):

Only a Broker complying with the following conditions shall be eligible to open Office(s) or Branch Office(s):

- (a) Any significant disciplinary action has not been taken against the Broker by the Commission, Exchange or CDC during the last 3 years for any material violations in relation to misuse or unauthorized use of customers' assets or segregation of customers' funds or where it has been found that an unauthorized person was involved in dealing with customers on commission basis for trading through the Broker;
- (b) Any Sponsor, Director (excluding independent director and nominee director of the Government and financial institutions), or Senior Management Officer of the Broker has not been engaged in the capacity of Sponsor, Director or Senior Management Officer with any other Broker declared defaulter by Exchange or NCCPL or whose TRE Certificate has been forfeited or cancelled by the Exchange due to non-compliance of any applicable rules, regulations, notices, procedures, guidelines, etc.;
- (c) The Broker should not be a party in litigation with the Commission or Exchange in respect of any criminal offence or a matter relating to non-payment of customer claims or in any other manner prejudicial to interests of customers and the general public;
- (d) The general compliance history and past track record of the Broker in dealing with complaints and arbitration award(s) must be to the satisfaction of the Exchange.

EXPLANATION: For the purpose of this clause, the term 'significant disciplinary action' shall mean the following:

- (a) Fine has been imposed;
- (b) Trading terminal(s) has been suspended by the Exchange as a final decision after granting the Broker an opportunity of being heard;
- (c) TRE Certificate has been suspended; or
- (d) CDC has suspended the Broker as its participant.

22.3. PROCEDURE FOR OPENING OF OFFICE/BRANCH OFFICE:

A Broker may open its Office(s)/Branch Office(s) within and outside the premises of the Exchange for conducting business and trading of securities in accordance with these Regulations as well as the law applicable in this behalf subject to prior approval of the Exchange in writing and completion of the following formalities:

- (a) making of an application on the form attached as Annexure-A;
- (b) an undertaking on the form attached as Annexure-B;
- (c) list of existing branches along with copy of the respective agreements;
- (d) business plan with capital outlay;
- (e) business prospects for opening the branch;
- (f) list of products/services to be offered at the new branch;
- (g) system of supervision and controls employed at the new branch;
- (h) name, number and location of branches of other Brokers in the vicinity;
- (i) detail of payment of Registration/Renewal fee per office/per branch as prescribed by the Exchange from time to time;
- (j) copy of the documents evidencing ownership of the Office or Branch Office and/or Agreement with owner of the office, if that office is not owned by the Broker;
- (k) name of the Branch Head of the office, his/her residential and permanent addresses, copy of CNIC, two latest photographs, three references from the vicinity where Offices(s)/Branch Office(s) is to be opened, detailed profile and specimen signature;
- (l) branch-wise list of employees, along with their CNIC and residential and permanent addresses and the same information shall be updated on UIN database of NCCPL before opening of such branch;
- (m) the Broker shall submit details of the proposed Trading Terminals to be made operational at the new Office(s)/Branch Office(s) including details of Internet Protocols (IP) addresses of each Trading Terminals, the number of trading workstations connected through Fix Gateway, Internet Based Trading System (IBTS) and Karachi Internet Trading System (KiTS).

Provided that no brokers shall open an Office/Branch Office in the Capital Market Hub without prior approval of the Commission. The broker shall submit an application through the Exchange for opening of a branch in the Capital Market Hub for onward submission to the Commission for approval, which shall accompany with the aforementioned information/documents along with the recommendation of the Exchange.

Provided further that the Broker shall complete and submit above information with the Exchange at least 30 days prior to proposed date of opening of its Office/Branch Office.

22.4. ELIGIBILITY FOR THE PERSON TO BE APPOINTED AS BRANCH HEAD OF THE BROKER'S OFFICE/BRANCH OFFICE:

The person to be appointed as Branch Head of the Office/Branch Office shall fulfill the following conditions:

- (a) He is not less than 21 years of age.
- (b) He has not been convicted of any offense, involving fraud or breach of trust.
- (c) He has passed at least graduation examination and possesses at least three years' experience in the capital markets or one year's experience as trader in a brokerage house.
- (d) He has sufficient stock market experience and knowledge.
- (e) He has not been adjudicated as insolvent or has suspended payments or has compounded with his creditors.
- (f) NOC from his previous employer.

Provided that the above conditions shall not be applicable on the Chief Executive Officer of the Broker supervising the Broker's Main Office.

22.5. GRANT OF CERTIFICATE OF REGISTRATION:

On completion of all requirements, the Exchange shall visit the Office/Branch Office to confirm that the Office/Branch Office fulfils the regulatory requirements including sufficient infrastructure, appropriate number of qualified personal, sufficient systems for transmitting clients' records to Head Office and additional eligibility requirements being mentioned herein. Upon its satisfaction, the Exchange shall grant a Certificate of Registration of Office/Branch Office in the prescribed form annexed as Annexure-C.

22.6. OBLIGATIONS OF A BROKER WITH RESPECT TO OFFICE/BRANCH OFFICE:

22.6.1. DISPLAY OF NAME OF STOCK EXCHANGE BROKER:

The Broker desirous of opening office/branch within or outside Exchange must prominently display his/its name outside the Broker's Office/Branch Office.

22.6.2. MAINTENANCE OF PROPER BOOKS OF ACCOUNTS, RECORDS ETC.:

The Broker shall keep and maintain all the client related record/information of the Office/Branch Office at the Head Office/Registered Office and shall make necessary arrangements to provide at all reasonable times respective information/record to their clients dealing through such Office(s)/Branch.

22.6.3. DISPLAY OF INFORMATION AT OFFICE/BRANCH OFFICE:

The Broker shall keep displaying at all the times at a visible location at the reception/front office of the Office(s)/Branch Office(s) the following information:

- (a) Certificate of Registration of Office/Branch Office.
- (b) Names of persons and their signatures authorized by the Broker to deal with the customers.
- (c) The standard text provided by the Exchange after due approval of the Commission, disclosing the remedy and process how to approach the Exchange in case of non-resolution of complaints.
- (d) Standees about the products, the Broker is selling and the procedures of how investments can be made therein as per the specimen attached as Annexure-D. Such information shall be displayed in Urdu language in a clear and concise manner with the logo of "Jama Punji" covering the following contents:
 - (i) Who is Stock Broker;
 - (ii) Procedure for investment in stock market;
 - (iii) Procedure for opening an account with CDC.
- (e) Investors Guide, issued by the Exchange.

22.6.4. A BOARD AT A CONSPICUOUS PLACE AT THE RECEPTION/FRONT OFFICE WHICH SHOULD CONTAIN:

- (a) Name of the person authorized to deal with the customers.
- (b) A warning that the branch cannot deal in cash, except as provided in the Standardized Account Opening Form.
- (c) That the customer must demand deliveries as per these Regulations.
- (d) That nobody is authorized to take deposit money on fixed profits which is illegal.

22.6.5. PUBLICATION:

The Broker shall at the time of change of Branch Head of its Office/Branch Office, publish a public notice in two (English and Urdu) newspapers having wide circulation in the province(s) where registered office and Branch Office(s) is situated. The said notice should also be displayed at visible place in Office(s)/Branch Office(s).

22.6.6. STATIONERY:

The Broker shall ensure that all stationery, i.e. confirmation/contract/cash memo/any other document will be issued only in his name. The Broker(s) will also be required to clearly state on the printed stationery the addresses of all his offices/branch offices simultaneously.

22.6.7. STAFF, SECURITY ARRANGEMENTS AND CUSTOMER SUPPORT:

The Broker shall ensure the following with respect to their Office(s)/Branch Office(s):

- (a) It shall employ any person who has not been convicted of any non-compliance and violation by the Exchanges, Commission and/or any other competent authority;
- (b) Properly trained staff/human resources;
- (c) Security arrangements including installation of CCTV cameras for the safety of staff and record;
- (d) Proper arrangement for guidance and customer support for filling up of Account Opening Forms and completion of documentation;
- (e) Drop box facility for collection of complaints;
- (f) Product information related to various products/services being offered by the Broker at the Office/Branch Office through printed brochure for the information of potential/existing clients.

22.6.8. OTHER OBLIGATIONS:

The Broker shall ensure the following:

- (a) All the dealings at the Office(s)/Branch Office(s) shall be subject to these Regulations;
- (b) The Broker shall be fully responsible for all the dealings at the Office(s)/Branch Office(s), acts of Branch Heads /employees in accordance with these Regulations, Securities Act, 2015, Securities Brokers (Licensing and Operations Regulations), 2016 and shall be liable thereof;

- (c) Status of Office(s)/Branch Office(s) including their closure or change of Branch Head shall be notified along with reasons of closure in writing to the Exchange within 24 hours for updating the status of Office(s)/Branch Office(s) on its website;
- (d) The location where online trading terminals through IBTS, KiTS or any other online trading service platform(s) are provided to the individuals for trading on behalf of other individuals/clients shall be considered as Office(s) or Branch Office(s) of the Broker and subject to all requirements of this Chapter.
- (e) In addition to regular monitoring, the Compliance Officer of the Broker shall confirm to the Exchange on a bi-annual basis that the Office(s) or Branch Office(s) of the Broker is/are in compliance with the applicable regulations of Commission and Exchange. In case of any non-compliance, the Compliance Officer shall report the same to the Broker, Exchange and Commission; and
- (f) The premises for its Office(s) or Branch Office(s) may be used only to carry out business activities as securities broker and any other regulated securities activity for which the Broker is duly licensed under the Securities Act, 2015.

22.7. OFFICE(S)/BRANCH OFFICE(S) OF A BROKER:

A Broker while opening Office(s)/Branch Office(s) shall also comply with all the above regulations and shall provide the necessary information to the Exchange duly supported by the Board Resolution.

22.8. SUSPENSION, CANCELLATION OF REGISTRATION ETC. BY THE EXCHANGE:

If the Broker fails to comply with any of the provisions or requirement of these Regulations, the Exchange can take action against such Broker(s) including suspension of registration of a particular office/branch and/or suspension of his/its TRE Certificate.

22.9. SUSPENSION OR SHIFTING/CLOSURE OF OFFICE(S)/BRANCH OFFICE(S) BY THE BROKERS:

The Broker may temporarily suspend trading facility at the Office(s)/Branch Office(s) with a one month prior notice in writing to the Exchange and all its clients. However, the Broker will ensure that the Office(s)/Branch Office(s) remain open for a period of at least one month thereafter for disposal of pending matters.

- (a) In case of permanent closure of any Office/Branch Office, the Broker shall:
 - (i) give 90 days prior notice to the Exchange and all its clients for closure of any of its Office/Branch Office along with the specific reason thereof.
 - (ii) visibly display notice for closure of its Office/Branch Office at the respective location at least 30 days prior to closure of such Office/Branch Office.
 - (iii) publish of closure at least 30 days prior to closure of Office/Branch Office in two (English and Urdu) newspapers having wide circulation in the province(s) where its Head Office, Main Office and branch Office(s) is situated.
 - (iv) submit copy of the published notices of closure to Exchange and the Commission within two days of their publication.
 - (v) inform its clients in writing about future correspondence address/mechanism, names and contact details of relevant contact person(s) and transfer of their relevant record to their Head Office or nearest Office/Branch Office as deemed appropriate.
 - (vi) submit a final statement at least 15 days prior to the closure of Office/Branch Office to the Exchange.
- (b) The Broker may relocate its existing Office/Branch Office within nearby vicinity of 15 KM provided the Broker shall:
 - (i) report the same to the Exchange 15 days prior to shifting.
 - (ii) inform its clients in writing about new address.
 - (iii) visibly display the information for shifting of Branch shall be at the respective Office/Branch Office at least 15 days prior to its relocation.

22.10. INSPECTION OF RECORDS AT OFFICE(S)/BRANCH OFFICE(S) AND OFFSITE MONITORING:

- (a) The Exchange:
 - (i) shall conduct periodic visit/inspection of the Office(s)/Branch Office(s) and submit a report to the Commission on annual basis as per Annexure-E; and
 - (ii) shall conduct periodic offsite monitoring of the Office/Branch Offices and take further appropriate actions in case of any violation/non-compliance of the Regulations.
- (b) The Exchange may ask for any information or documents and/or appoint one or more of its employees to undertake inspection of books of accounts, other accounts and documents if the Office(s)/Branch Office(s) maintained either at the Head Office or any other Office(s)/branch Office(s) and the broker shall ensure to provide such information/documents and assistance which may be required.
- (c) The Exchange shall ensure that an appropriate investors' grievance redressal system /mechanism is in place at all Office(s)/Branch Office(s) for prompt and effective resolution of investors' complaints.

Annexure-A

ON THE LETTERHEAD OF THE BROKER

Dated: _____

The Managing Director
Pakistan Stock Exchange Limited
Karachi.

**APPLICATION FOR CERTIFICATE OF REGISTRATION
OF OFFICE/BRANCH OFFICE WITHIN/OUTSIDE THE EXCHANGE**

Dear Sir,

I am/we are enclosing herewith the documents for grant of registration for opening of Office/Branch Office at _____ and issuance of Certificate of Registration in this regard.

Thanking you.

PARTICULARS

1. Name of the Broker with Code No. _____

2. Address of Office/Branch Office: _____
Phone No. _____
Fax No. _____

3. Form of Organization: Corporate Body other than SMC Financial Institution

4. Please give names of Proprietor / Directors: _____

5. Whether Broker of more than one Stock Exchange? If so, please give name(s) of the other Stock Exchange(s) with Code Number(s). _____

6. Name of Branch Head along with CNIC and residential address. _____

(In case of Broker's Main Office, details of Broker/Nominee Director be mentioned)

7. Whether the premises of Branch Office are _____
on ownership basis or rented. In case of _____
rented premises, state the name of landlord _____
and provide a copy of Tenancy Agreement. _____
8. List of employees, along with their CNICs _____
and residential address. _____
9. List of authorized persons who will operate _____
bank accounts at the Office/Branch Office. _____
10. Details of Telephone Booth(s) _____
(In case of Broker' Main Office)

I/we declare that the information given in this form is true to the best of my/our knowledge and belief.

I/we further undertake to abide by all the applicable Exchange in the matter.

(Rubber Stamp of Broker)

Yours faithfully,
(Signature of Broker)

Annexure-B

UNDERTAKING

(On Non-Judicial Stamp Paper of Rs. 200/-)

I/we, _____ Broker of the Pakistan Stock Exchange Limited, having office at _____ and an applicant for Certificate of Registration for opening a Office/Branch Office within / outside the Exchange premises, hereby agree and undertake as under:

1. That I/we will abide by all these Regulations governing the trading and operations of Office/Branch Office, which are in force and/or are amended from time to time.
2. That I/we hereby undertake to stop trading facility at any our Office/Branch office with a notice in writing to the Exchange. I/ we further undertake to ensure that the Office/Branch Office will remain open for disposal of pending matters for a period of at least one month after the suspension of trading at the Office/Branch Office.
3. That I/we undertake to settle all claims and transactions carried out by or through my/our Office/Branch with any outside person(s) as per these Regulations.
4. That I/we undertake that the stationery such as letterheads, receipts, various forms and stamps will bear the name of the head office and no fake and manipulated stationery will be used.
5. That I/we undertake that in case of removal of the Branch Head, I/we shall communicate such change to my/our respective clients dealing with my/our Branch Office.
6. That I/we undertake to provide any information/record asked by the Exchange from time to time and further undertake to allow inspection of all my/our records and books maintained in relation to our Office/Branch, to any representative of the Exchange at all times as and when desired.
7. That I/we hereby undertake to indemnify you and promise to keep you indemnified against all losses, charges, penalties, damages, expenses or other costs, which you may have to incur at any time, or in case of claims made by any authority or any other person as a result of you relying on the above information provided by me.
8. That whatever stated above is correct and true to the best of my/our knowledge and belief and nothing has been concealed hereof.

Signed this undertaking on _____ day of _____, _____ in presence of the following witnesses.

Common Seal

Signature of the Broker

WITNESSES:

1. _____

Name: _____

CNIC No.: _____

Address: _____

2. _____

Name: _____

CNIC No.: _____

Address: _____

Annexure-C

(On the Exchange Letter Head)

OFFICE/BRANCH OPENING AUTHORIZATION

Certified that in pursuance of Scheme(s) of Integration approved by the Securities and Exchange Commission of Pakistan vide Order No. _____ dated _____, M/s. _____ holding TREC No. _____ having its office at _____, a Broker of the Pakistan Stock Exchange Limited is hereby authorized to operate an Office / Branch Office at _____ subject to these Regulations applicable in this regard.

The persons authorized to manage and supervise the Office/Branch Office are Mr. /Mrs. /Miss. _____ s/o, w/o, d/o _____ holding CNIC No. _____ whose photograph and specimen signature are affixed on this Certificate.

This Certificate is issued for the purpose of prominently displaying at the above Office/Branch Office.

Issued at Karachi on this _____ day of _____, _____.

PHOTOGRAPH

Specimen Signature _____

Authorized Signatory of the Exchange

This Certificate has been issued in lieu of Certificate No. _____ dated _____.

Annexure-D

اسٹاک بروکر کون ہے؟

1. بازارِ حصص (اسٹاک ایکسچینج) ایسی جگہ ہے جہاں سرمایہ کار، اسٹاک بروکر کے ذریعے، پبلک لسٹڈ کمپنیوں کے حصص کی خرید و فروخت کر سکتے ہیں۔
2. صرف اسٹاک بروکر، اسٹاک ایکسچینج کے ذریعے، حصص کی خرید و فروخت کے لئے، سرمایہ کاروں کی رہنمائی کر سکتا ہے جس کے عوض وہ فیس یا کمیشن وصول کرتا ہے۔
3. سرمایہ کاری صرف رجسٹرڈ اسٹاک بروکر کے ذریعے سے ہی کی جا سکتی ہے۔
4. اسٹاک بروکر پاکستان اسٹاک ایکسچینج کاتریک (TREC) ہولڈر ہوتا ہے اور بطور اسٹاک بروکر کام کرنے کے لئے ایس ای سی پی کے پاس رجسٹرڈ اور اس سے لائسنس یافتہ ہوتا ہے۔
5. کسی بھی بروکر آفس یا اس کی کسی بھی برانچ میں، سرمایہ کاری کرنے سے قبل، اس بات کی تسلی کر لیں کہ اس کا SECP کا منظور شدہ رجسٹریشن سرٹیفیکیٹ نمایاں جگہ پر آویزاں ہے۔
6. بروکر کے بارے میں تصدیق کے لئے، رجسٹریشن نمبر 8181 پر میسج کریں۔ مزید تفصیلات کے لئے ایس ای سی پی کے جمع پونجی پورٹل jamapunji.pk اور ایس ای سی پی کی ویب سائٹ www.secp.gov.pk وزٹ کریں۔
7. رجسٹرڈ شدہ بروکر کی طرف سے مہیا کی جانے والی سہولتوں کے بارے میں جاننے کے لئے، بروکر کی ویب سائٹ کا مطالعہ بھی کیا جا سکتا ہے۔
8. قواعد و ضوابط کے بارے میں مزید جان کاری کے لئے پاکستان اسٹاک ایکسچینج کی ویب سائٹ www.psx.com.pk اور ایس ای سی پی کی ویب سائٹ وزٹ کریں۔

اسٹاک مارکیٹ میں سرمایہ کاری کا طریقہ کار

رجسٹرڈ اسٹاک بروکر کے پاس اکاؤنٹ کھلوانے کا طریقہ کار

1. اسٹاک مارکیٹ میں سرمایہ کاری کرتے وقت مندرجہ ذیل نکات کو مد نظر رکھیں۔
1. رجسٹرڈ اسٹاک بروکر سے، اکاؤنٹ کھلوانے کا فارم لیں، اسے پُر کر کے ضروری دستاویزات جیسا کہ قومی شناختی کارڈ کی کاپی، کے ساتھ بروکر کے پاس جمع کرائیں۔
2. اکاؤنٹ کھلوانے والے فارم میں وہ ساری تفصیلات ہونی چاہیے جو کہ ایکسچینج کے عمومی ضوابط میں دی گئی ہیں۔ یہ ضوابط پاکستان اسٹاک ایکسچینج کی ویب سائٹ www.psx.com.pk پر دستیاب ہیں۔
3. اکاؤنٹ کھلوانے کا فارم پُر کرتے وقت، سرمایہ کار، فارم پر دی گئی تمام ہدایات کا بغور مطالعہ کرے، کسی بھی قسم کی غلط فہمی کی صورت میں اسٹاک بروکر سے رابطہ کرے۔ تسلی بخش جواب نہ ملنے کی صورت میں سرمایہ کار، اسٹاک ایکسچینج سے اس کے نمبر 021 111 00 11 22 یا ایس ای سی پی کے نمبر 051 111 117 327 پر رابطہ کر سکتا ہے۔
4. اکاؤنٹ کھلوانے کا فارم پُر کرتے وقت، سرمایہ کار کو کسی بھی صورت میں، بروکریج ہاؤس، بروکر یا ایجنٹ کو، اپنا مختار کل نہیں بنانا چاہئے۔ سرمایہ کار، صرف اپنا ای میل ایڈریس اور موبائل نمبر (جو اس کے نام پر رجسٹرڈ ہو) بروکر کو مہیا کرے تا کہ ضروری معلومات کی اطلاع اسے ملتی رہے۔
5. اکاؤنٹ کھلوانے کے فارم کی مصدقہ، باقاعدہ دستخط شدہ کاپی، اپنے ریکارڈ کے لئے ضرور حاصل کریں۔
6. بروکریج ہاؤس کے پاس اپنا آرڈر، تحریری طور پر یا باقاعدہ رجسٹرڈ موبائل نمبر کے ذریعے لکھوائیں اور اس کی تصدیق حاصل کریں۔
7. سرمایہ کار کو اپنا اکاؤنٹ یا ذیلی اکاؤنٹ سینٹرل ڈیپازٹری کمپنی (CDC) کے پاس کھلوانا چاہیے۔ یاد رکھیں، ذیلی اکاؤنٹ کھلوانے کے فارم میں، کلائنٹ کی سیکیورٹیز کی دیکھ بھال کے لئے، بروکر کو عمومی مختار بنانے کے حوالے سے کوئی اجازت نامہ شامل نہیں ہوتا۔
8. بروکریج ہاؤس یا اس کا کوئی نمائندہ، گاہکوں سے نقد کیش وصول کرنے کا مجاز نہیں۔ ادائیگی ہمیشہ بروکریج ہاؤس کے نام کر اس چیک کی صورت میں کی جائے اور اس کی رسید حاصل کی جائے۔

9. بروکریج ہاؤس کسی بھی صورت میں طے شدہ منافع کی گارنٹی نہیں دے سکتا۔ اگر بروکر کسی بھی قسم کے طے شدہ منافع کا وعدہ کے نام پر رقم وصول کرے تو فوری طور پر پاکستان اسٹاک ایکسچینج اور ایس ای سی پی کو اطلاع کریں۔
10. اپنے اکاؤنٹ کی تفصیل اور سٹیٹمنٹ، بروکریج ہاؤس سے باقاعدگی سے حاصل کریں۔ کسی بھی شکایت کی صورت میں فوراً ایکسچینج یا ایس ای سی پی کو اطلاع دیں۔
- انتباہ: اسٹاک مارکیٹ میں سرمایہ کاری کو خطرات لاحق ہوتے ہیں، حصص کی قیمت میں اتار چڑھاؤ ہو سکتا ہے، حصص میں سرمایہ کاری سے پہلے یہ بات مدنظر رکھنی چاہیے۔

سی ڈی سی کے پاس اکاؤنٹ کیسے کھولا جا سکتا ہے؟

1. سرمایہ کار براہ راست سی ڈی سی کے پاس اپنا اکاؤنٹ کھول سکتا ہے۔
2. سرمایہ کار کو اکاؤنٹ کھولانے کا فارم پُر کرنا ہوتا ہے جو کہ سی ڈی سی کے دفاتر میں قائم کسٹمر سپورٹ کاؤنٹریا سی ڈی سی کی ویب سائٹ (<http://cdcpakistan.com/>) سے حاصل کیا جا سکتا ہے۔ اکاؤنٹ کھولانے کا فارم، درکار دستاویزات کے ساتھ، مناسب طریقے سے پُر کیا جائے۔
3. اکاؤنٹ کھانے کے بعد، سرمایہ کار سیکیورٹیز اپنے اکاؤنٹ میں منتقل کر کے لین دین کر سکتا ہے۔
4. سرمایہ کار کو اپنے کوائف میں کسی بھی تبدیلی مثلاً موبائل نمبر یا رہائشی پتہ میں تبدیلی کے بارے میں فوراً سی ڈی سی کو آگاہ کرنا چاہئے۔
5. سرمایہ کار، سی ڈی سی کی طرف سے فراہم کردہ ویلیو ایڈڈ سروسز جیسا کہ موبائل یا ای میل پر ایس ایم ایس الرٹ حاصل کر سکتا ہے۔
6. سرمایہ کار <https://www.cdcaccess.com.pk> کے ذریعے اپنے اکاؤنٹ کے بارے میں معلومات حاصل کر سکتا ہے۔
7. سی ڈی سی نے ایک کال سینٹر بھی قائم کیا ہے جس کا نمبر 0800 23275 ہے اس پر صبح 9 بجے سے شام 6 بجے تک، پیر تا جمعہ، مفت کال کی جا سکتی ہے۔

Annexure-E

I.

Detail of all Branches of TREC Holders as on _____						
Name of TREC Holder	Name and address of Branches at the start of year	Name and address of the Branches opened during the year	Name and address of the Branches Closed during the year	No. of branches at the end of year	Name of city where branches opened	Name of city where branches closed
-1-	-2-	-3-	-4-	-5-	-7-	-8-

II.

Detail of Branches in Capital Market Hubs				
Name of TREC Holder	Name and address of Branches at the start of year	Name and address of Branches opened during the year	Name and address of Branches Closed during the year	No. of branches at the end of year
-1-	-2-	-3-	-4-	-8-

III.

Detail of Branches opened by TREC holders During the year _____ -						
Name of TREC Holder	Location of Branch(City)	Name of Branch Head appointed	No. of employees posted in the branch	No. of terminals at the branch	Detail of TREC holders having branch in same vicinity	
					Name of TREC holders	No. of branches
-1-	-2-	-3-	-4-	-5-	-7-	-8-

IV.

Detail of Branches closed by TREC holders During the year _____					
Name of TREC Holder	Name and address of Branch	Date of notice given by TREC holder for closure of branch	Date of Closure of branch	Duration for which branch remain operative	Reason for closure
-1-	-2-	-3-	-4-	-5-	-6-

V.

Detail of Branches shifted by the TREC holders during the year _____					
Name of TREC Holder	Name and address of Branch prior to shifting	New address of branch	Name of Branch Head prior to shifting	Name of Branch Head after shifting	Reason for shifting
-1-	-2-	-3-	-4-	-5-	-6-