



PAKISTAN STOCK EXCHANGE LIMITED

Stock Exchange Building, Stock Exchange Road, Karachi-74000

UAN: 111-001-122 Fax: 32437560

PSX/N - 5791

October 24, 2016

REMINDER NOTICE

TO ALL TRE CERTIFICATE HOLDERS

**Submission of 'Customer Grievances Details' as required under the Securities Brokers
(Licensing and Operations) Regulations, 2016**

Attention of all TRE Certificate Holders is drawn to clause 27(4) of the Securities Brokers (Licensing and Operations) Regulations, 2016 ("**Regulations**") which is reproduced below:

"27. Customer Complaints:-

(4) A securities broker shall at the end of each quarter submit information about the number of customer grievances received, redressed and those remaining unresolved beyond three months of the receipt to the securities exchange along with the reasons thereof for delay."

As the Regulations were implemented w.e.f. June 30, 2016, it is reminded to all TRE Certificate Holders that the aforesaid information for the quarter ended September 30, 2016 is required to be submitted with Pakistan Stock Exchange Limited.

Therefore, all TRE Certificate Holders are advised to submit this information latest by **October 31, 2016** at efiling.complaints@psx.com.pk as per the format attached herewith as **Annexure A**.

SHAFQAT ALI

Chief Regulatory Officer

Distribution: TREC Holders of PSX based at Karachi through Karachi Office
TREC Holders of PSX based at Lahore through Lahore Office
TREC Holders of PSX based at Islamabad through Islamabad Office

Cc:

1. Executive Director (PRDD), SMD, SECP
2. Managing Director, PSX
3. Chief Executive Officer, CDC
4. Chief Executive Officer, NCCPL
5. Chief Executive Officer, PMEX
6. All Heads of Departments, PSX
7. PSX Notice Board & Website

"ANNEXURE-A"

ON THE LETTERHEAD OF THE BROKERAGE HOUSE

"CUSTOMER GRIEVANCES DETAIL"

Quarter Ended _____

S.#	PARTICULARS	NUMBER
1	Number of customer grievances as on June 30, 2016	
2	Number of customer grievances received during the quarter	
3	Number of customer grievances redressed during the quarter	
4	Number of customer grievances unresolved as on September 30, 2016	
5	Number of customer grievances unresolved beyond three months of the receipt	
	Reasons for delay (complaint-wise):	
	1.	
	2.	
	3.	
	Add more reasons, if needed	

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COMPLIANCE OFFICER

