



ISO 27001 Certified

National Clearing Company of Pakistan Limited

8th Floor, Pakistan Stock Exchange Building, Stock Exchange Road, Karachi

NCCPL/CM/MARCH-17/05

March 06, 2017

Mobile Numbers and Email Addresses of the Investors registered through NCSS UIN Database

Dear Broker Clearing Members,

This is with reference to our earlier circulars **NCCPL/CM/JULY-16/07** and **NCCPL/CM/NOVEMBER-16/02** dated July 18, 2016 and November 1, 2016 respectively regarding the commencement of “Trade Alert Services” effective from July 18, 2016.

In this respect, on the basis of ongoing review of NCSS UIN Registration Details of the clients registered by Broker Clearing Members “BCM”, it has been observed that mobile number and/or email addresses of certain clients have still not been provided by the BCMs in the UIN Registration Details of NCSS despite lapse of considerable time.

Please note that as per the provisions stipulated under Regulation 9.15 of National Clearing Company of Pakistan Limited “NCCPL” Regulations, 2015, Broker Clearing Members (“BCM”) shall be required to provide mobile numbers and/or email addresses of all their existing clients in the UIN Registration Details of NCSS within the time prescribed by the Company. If a Broker Clearing Member fails to provide the mobile number and/or email address of an existing client within the time prescribed, the UIN of such client shall be restricted and only sale transactions and closing of open positions shall be allowed till such time a valid mobile number and/or email address is provided in the UIN Registration Details of NCSS.

As required under NCCPL Regulations, “Email Address” (for foreigner and corporate clients) and “Mobile Number” (for local individual client) are mandatory fields to complete the registration of investors in the NCSS, therefore, BCMs are hereby advised to immediately look into the matter and provide email addresses and mobile numbers of their clients in the UIN Registration Details of NCSS latest by March 31, 2017. In case of failure to provide the required information through NCSS within the stipulated time period, the NCCPL may proceed to take appropriate action as per the applicable provisions of the NCCPL Regulations.

Guideline for BCMs

- (i) The Broker Clearing Member shall be responsible for the correctness and completeness of the mobile numbers and email addresses of their clients entered in UIN Registration Screen of NCSS;
- (ii) The Broker Clearing Member shall ensure that a particular mobile number and/or email address is not used for more than one UIN. The Broker Clearing Member shall not use its own mobile number(s) or email address(es) or the mobile number(s) or email address(es) of any of its agents, traders or other employees for the UIN Registration Details of a client, unless it is for the account of Broker Clearing Member or its agents, traders or other employees;
- (iii) The Broker Clearing Member shall obtain from and maintain the documentary evidence of the mobile number(s) and email address(es) for each of its clients;



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- (iv) Where requested by the Company, a Broker Clearing Member shall provide to the Company all required documentary evidence of the client's mobile number and /or email address, entered in the UIN Registration Screen;
- (v) The Broker Clearing Member shall be responsible for obtaining all necessary authorizations from its clients for the purposes of providing mobile numbers and email addresses to the Company;

BCMs are advised to strictly follow the above mentioned guidelines to complete the registration in NCSS for their existing and new investors.

For any further queries or concerns, please feel free to contact the Customer Support Services of your respective locations.

City	Telephone Number	UAN Number	Fax Number
Karachi	021-32460811-19 Ext. 209, 214, 217 & 218 Dir. 021-32438531-32-33	021-111-111-622	021-32462825
Lahore	042-36280815-7		042-36280818
Islamabad	051-2895460-62		051-2895463

Regards,

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Muhammad Asif
Head of Operations

CC:

1. Executive Director - Policy, Regulation and Development Department - SMD
Securities & Exchange Commission of Pakistan - Islamabad
2. Managing Director - Pakistan Stock Exchange Limited
3. Chief Executive Officer - Central Depository Company of Pakistan Limited
4. Chief Executive Officer - Mutual Fund Association of Pakistan
5. Chairman - Pakistan Banking Association