



ISO 27001 Certified

National Clearing Company of Pakistan Limited

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

NCCPL/CM/APRIL-17/06

April 14, 2017

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

Dear Broker Clearing Members,

This is with reference to our notice **NCCPL/CM/MARCH-17/05** dated March 6, 2017 regarding provision of mobile numbers and email address of investors by Broker Clearing Member (“BCM”) through NCSS UIN database latest by March 31, 2017.

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.

In this respect, it has been observed that mobile number and/or email addresses of certain clients have still not been provided by the BCMs, therefore, in order to complete UIN registration process of respective investors, the timeline has been extended till April 30, 2017. Accordingly, BCMs are hereby advised to provide the email addresses and mobile numbers of their clients within abovementioned timeline. However, failure to provide the required information through NCSS within the stipulated time period can lead to take appropriate action as per the applicable provisions of the NCCPL Regulations.

BCMs are advised to strictly follow the below mentioned guidelines to complete the registration in NCSS for their existing and new investor:

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;

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