



National Clearing Company of Pakistan Limited

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

NCCPL/CM/July-11/11

July 29, 2011

IMPLEMENTATION OF UIN INFORMATION SYSTEM (“UIS”)

Dear Clearing Members,

Since decades, **Investors** are playing a key role and have been considered & recognized as an essential factor for the development and steady growth of the Capital Markets. It is therefore necessary to maintain their confidence and reliance on the operations and working mechanism of the stock exchanges and other post trade service providers at all times. Accordingly, we, at National Clearing Company of Pakistan (“NCCPL”), being one of the significant institution in the Pakistani Capital Market, are in continuous process of bringing efficiency and transparency in the services being provided through our platform directly and indirectly to the market participants including investors through the state-of-the-art National Clearing and Settlement System (“NCSS”).

After the implementation of Unique Identification Number (“UIN”) through NCSS, it has been felt that, a mechanism should be in place so as to enable investors to track their trading, settlement and related information. In this respect, in order to bring transparency and to foster the investor’s confidence on capital market and to prevent any misuse of their UINs a **UIN Information System** (“UIS”) has been developed by NCCPL. The said system will enable UIN Holders to view all their trading, settlement and relevant information with their respective brokers in a smooth and efficient manner through dedicated User ID and Password. The UIN account holders shall log-on into the separate and exclusive web-based system i.e. all information of UINs is available in this system without having any access to main NCSS Database so as to ensure integrity and security of NCSS as well.

The registration in the said UIS will be started effective from Monday, August 01, 2011.

For detailed information and understanding regarding modus operandi of the UIS we are enclosing herewith the Frequently Asked Questions (FAQ’s) and Registration Form for your convenience. Such FAQs and Registration Form are also available at NCCPL website www.nccpl.com.pk



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Should you have any further queries or concerns, please feel free to contact the **Customer Support Department** of your respective locations.

City	Telephone Number	Fax Number	Email
Karachi	021-32460811-19	021-32460827	helpdesk@nccpl.pk
Lahore	042-36280815-7	042-36280818	helpdesk@nccpl.pk
Islamabad	051-2895460-62	051-2895463	helpdesk@nccpl.pk

Regards,

-sd-

Badiuddin Akber
Head of Operations

Encl: FAQ's and Registration Form

CC:

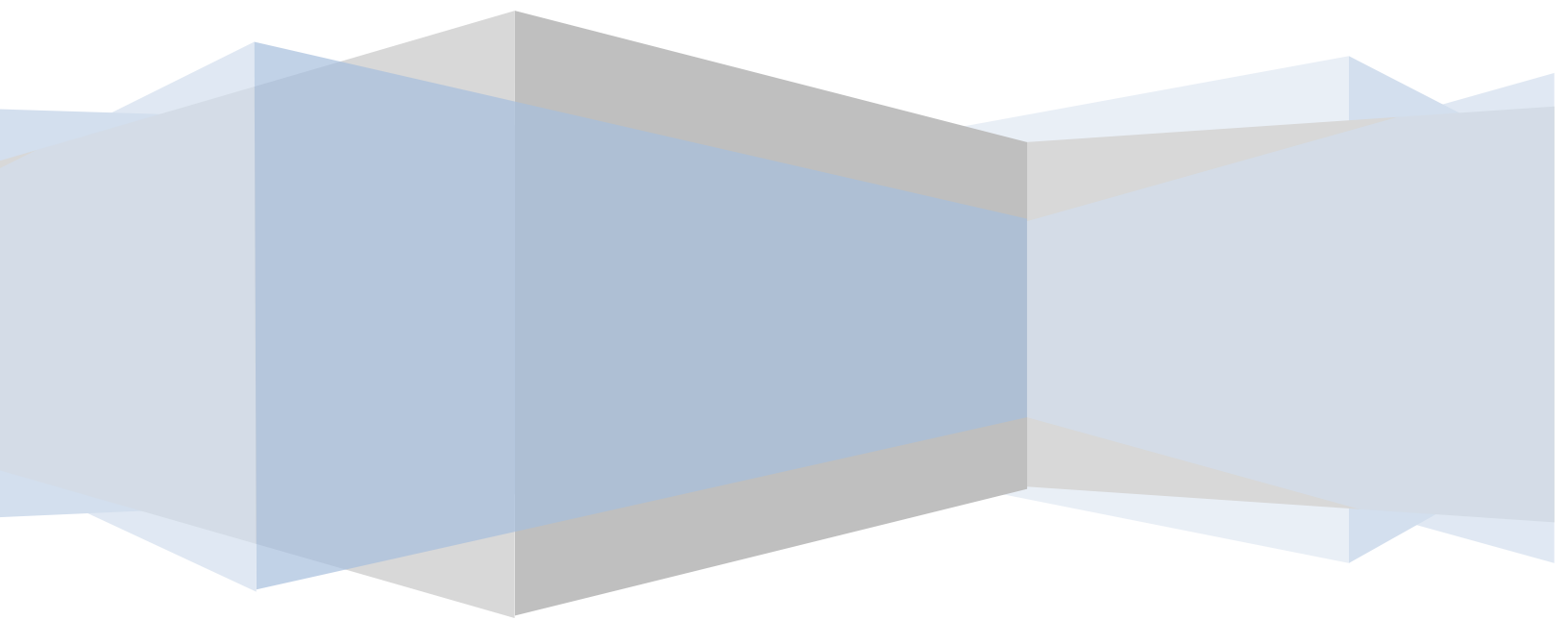
1. Director (SROD) Securities and Exchange Commission of Pakistan - Islamabad
2. Joint Director (SMD) Securities and Exchange Commission of Pakistan - Karachi
3. Managing Director - The Karachi Stock Exchange (Guarantee) Limited
4. Managing Director - The Lahore Stock Exchange (Guarantee) Limited
5. Managing Director - The Islamabad Stock Exchange (Guarantee) Limited
6. Chief Executive Officer - Central Depository Company of Pakistan Limited
7. Chief Executive Officer - Mutual Fund Association of Pakistan
8. Chairman - Pakistan Banking Association



UIN Information System ("UIS")

Investor Protection and Confidence

Frequently Asked Questions (FAQ's)



Q. 1. What is UIN Information System (“UIS”)?

Answer. UIN Information System has designed and developed by the National Clearing Company of Pakistan Limited (“NCCPL”) exclusively for the capital market investors. Through UIS an investor can be able to view their trading & settlement activities executed through the broker along with its account information.

Presently, trading and settlement information of clients are provided by the respective brokers of the stock exchange through various communication channels. However, with the implementation of UIS, clients of the brokers can view their trading and settlement information directly through dedicated User ID and Password assigned to them for accessing necessary information from UIS.




Moreover, clients can also view the number of trading accounts (Client Codes) assigned with their UINs registered in National Clearing and Settlement System (“NCSS”) by the broker clearing members.

Q.2. Who will obtain access to UIS?

Answer. All clients registered by their brokers in NCSS can apply to access UIS by submitting a standard Application Form through their registering clearing members or themselves directly to NCCPL.

Any other person who does not have any trading account with any of the brokers, may also directly apply to NCCPL to view their account status in the capital market.

The Application Form of UIS is available on the NCCPL website through the following link:

Main Page  ***UIS Information System***  ***New User***  ***UIS Account Opening Form.***

Q.3. How to apply NCCPL for UIS?

Answer. An investor may register in UIS in the following manner:

a) Apply through Broker of Stock Exchange

A client can apply through their registering broker to access UIS. In such case, registering broker will be required to duly filled-out the UIS Application Form and submit it to NCCPL. Accordingly, upon due verification, NCCPL will issue system generated User ID and Password directly to the client on his designated email address. In such case, client can only view trading, settlement and account information pertaining to the registering broker.

b) Apply through Custodian Clearing Member

A client can apply through Custodian Clearing Member (“CCM”) of NCCPL to access UIS. In such case, CCM will be required to duly filled-out the UIS Application Form and submit it to NCCPL. Accordingly, upon due verification, NCCPL will issue system generated User ID and Password directly to the client on his designated email address. In such case, client can only view trading and settlement information pertaining to the requesting CCM.

c) Direct Application by Client

A client can also apply, in person, directly to NCCPL to get register in UIS. In such case, client will be required to submit duly filled UIS Application Form directly to NCCPL. Accordingly, upon due verification, NCCPL will issue system generated User ID and Password directly to the client on his designated email address. Through this option, client can view all its trading, settlement and account information pertaining to the stock exchanges in Pakistan.

Q.4. How I get my User ID and Password?

Answer. Upon submission and due verification of UIS Application Form either of the aforementioned options, NCCPL will enter all necessary information of the requesting client along with its e-mail address. Accordingly, system generated User

ID and Password will be sent to the respective client on the mentioned e-mail address.

Q.5. How I access to the UIS?

Answer. Registered client can access UIS through NCCPL website by using the following link:

Main Page \Rightarrow **UIS Information System** \Rightarrow **Existing Members Investors Login**

Q.6. What will be the first step when I logged-in to UIS with my User ID and Password?

Answer. At the very first log-in, client is required to change the system generated password along with selection of secret question and its answer. The new password should be in accordance with the password policy communicated to the client at the time of registration.

Subsequently, password should be changed by using the following menu in UIS:

UIS User Menu \Rightarrow **Users** \Rightarrow **Change Password**

Q.7. What will happen if I forget my UIS password?

Answer. In the UIS Login Screen, Forget Password link is available whereby client can reset its new password by giving answer to the secret question selected earlier.

Q.8. What will happen if I forget both UIS password & answer of secret question?

Answer. UIS account holder will be required to contact NCCPL customer support service department (directly or through registering clearing member) at the respective location and submit a written request to reset password. Accordingly, after due verification, NCCPL will reset the password and send it to the designated email address of the requesting client.

Q.9. How can I update my registrations details after account creation?

Answer. A client is required to submit a written request (directly or through registering clearing member) to the customer support department of NCCPL, identifying the required changes in the registration details. Accordingly, after due verification, NCCPL will made required changes in the registration detail of the client. Same procedure will also be followed in case where client wants to close its UIS account.

Q.10. What should I do, if UIS user id & password are not received through email?

Answer. If UIS user id & password are not received through email within 3 working days after accepting UIS Application Form by NCCPL, client may contact customer support department of NCCPL to check the status of its registration in UIS.

Q.11. What kind of trading and settlement reports I can view in UIS?

Answer. Following trading and settlement reports can be viewed by the registered client in UIS. However, such reports will be available in UIS on next day of the trade date:

a) UIN Purchase/Sale Summary Report

UIN Purchase/Sale Summary Report shows the summary of trades/transactions.

b) UIN Purchase/Sale Detail Report

UIN Purchase/Sale Detail Report shows the details of trades/transactions.

c) Non-Exchange Transaction Report

Non-Exchange Transaction Report shows IDS/BTB/MF transactions.

The above mentioned reports can be accessible through the following menu of UIS:

UIS User Menu ⇨ ***Reports***

Q.12. How can I view my client codes/trading accounts registered in NCSS by the brokers?

Answer. Registered client can view all its client codes registered in NCSS by the brokers on its UIN, through the following menu of UIS:

UIS User Menu ⇨ ***Reports*** ⇨ ***UIN Post Report***

Q.13. How can I generate request in UIS for closure of client code/UIN?

Answer. In order to generate client code closure request to NCCPL, client is required to use the following menu of UIS:

UIS User Menu ⇨ ***Client Code Closure Screen***

Accordingly, Client Code Closure Screen will be opened where client can search the particular client code with specific broker(s) and send request to NCCPL for its closure.

If the client is desirous to generate a request for the closure of its UIN to NCCPL, such client is required to use the following menu of UIS:

UIS User Menu ⇨ ***User UIN Closure Screen***

Accordingly, UIN Closure Screen will be opened where client can send request to NCCPL for the closure of all its client codes opened with their UIN in NCSS by all brokers.

Q.14. How NCCPL will process client code/UIN closure request?

Answer. All requests of the client for the closure of Client Code/UIN auto-processed in UIS and subsequent action on the request communicated to the clients automatically through UIS. For this purpose, client can view the remarks field parallel to each closure request.

Q.15. How I contact with NCCPL?

Answer. Clients can contact Customer Support Department of NCCPL at Karachi, Lahore and Islamabad offices at the following contact details:

National Clearing Company of Pakistan Limited (“NCCPL”) Head Office Karachi	National Clearing Company of Pakistan Limited (“NCCPL”) Lahore Office	National Clearing Company of Pakistan Limited (“NCCPL”) Islamabad Office
8th Floor, Karachi Stock Exchange Building, Stock Exchange Road, Karachi. Pakistan Ph # (92-21) 32460811-19 Ext 214, 217, 218 & 224 Fax # (92-21) 32460827 E-Mail: helpdesk@nccpl.com.pk	Room # 212, 2 nd Floor Lahore Stock Exchange Building 19-Khyaban-e-Aiwan-e-Iqbal, Lahore Pakistan Ph # (92-42) 36280815-17 Fax # (92-42) 36280818 E-Mail: helpdesk@nccpl.com.pk	Office # 409, 4th Floor ISE Towers, 55-B, Jinnah Avenue Blue Area, Islamabad Ph # (92-51) 2895460-62 Fax #(92-51) 2895463 E-Mail: helpdesk@nccpl.com.pk



Karachi Head Office:
8th Floor, Karachi Stock Exchange Building
Karachi Stock Exchange Road
Karachi- Pakistan
Ph # (92-21)-32460811-19 Ext 214, 217,
218 & 224
Fax # (92-21)-32460827

Lahore Office:
Room # 212, 2nd Floor
Lahore Stock Exchange Building
19-Khyaban-e-Aiwan-e-Iqbal, Lahore
Pakistan.
Ph # (92-42)-36280815-17
Fax # (92-42)-36280818

Islamabad Office:
Office # 409, 4th Floor
ISE Towers, 55-B, Jinnah Avenue
Blue Area, Islamabad, Pakistan
Ph # (92-51)-2895460-62
Fax # (92-51)-2895463

URL: www.nccpl.com.pk | Email: helpdesk@nccpl.com.pk

UIN Information System (“UIS”)

(Account Opening Form)

	Day	Month	Year	Form No.	Account No.
Date					
(For NCCPL Use)					

Apply Through: Broker Clearing Member Custodian Clearing Member Direct
(Please Tick One)

Clearing Member ID:		Clearing Member Name:	
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(In case if client applies through Broker Clearing Member or Custodian Clearing Member)

PARTICULARS OF APPLICANT

ACCOUNT TITLE: <i>(Name of Client)</i>			
FATHER'S/HUSBAND'S NAME:			
UIN Type: <i>Individual</i> <input type="checkbox"/> <i>Foreigner (Individual)</i> <input type="checkbox"/> <i>Corporate Local</i> <input type="checkbox"/> <i>Corporate Foreigner</i> <input type="checkbox"/>			
CONTACT PERSON (s):			
UIN NO. <i>(CNIC/NICOP/POC/NAR/Passport No/Registration Number.)</i>		Issue Date	
		Expiry Date	
NATIONALITY / ORIGIN			

CONTACT DETAILS

Residence Phone Number (s):		Office Phone Number (s):	
Mobile Number (s):		Fax Number (s):	
E-mail id 1:			
E-mail id 2: (Optional):			
Mailing Address:			
Permanent Address:			

I/We agree that the main purpose of UIN Information System (“UIS”) is to provide access to the trading and settlement information of my/our account, directly from NCCPL through dedicated User ID and Password. The NCCPL will make no other warranty of the set of information’s provided to me/us through UIS and I/we hereby unconditionally agree that I/we shall make use of such set of information subject to all hazards and circumstances exist with the use of medium, so provided by the NCCPL for the provision of such set of information. The NCCPL shall not be liable for providing and making available such set of information and for failure or delay in the provision of such set of information. I/we shall be deemed to have indemnified NCCPL, its directors, officers and employees for the time being in office and hold harmless from and against any losses, damages, cost and expenses incurred or suffered by them as a consequence of use of information provided through UIS.

Applicant Name: _____ **Signature (s) :** _____

Name of Broker Clearing Member/ Custodian Clearing Member _____
(In case if client applies through Broker or Custodian)

Authorised Signature (s): _____ **Stamp:** _____

(For NCCPL Use)
Account Creation Date: _____ **Account Closure Date:** _____