



National Clearing Company of Pakistan Limited

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

NCCPL/CM/DECEMBER-19/20

DECEMBER 31, 2019

NOTICE FOR ALL AUTHORIZED INTERMEDIARIES

Provision of Mobile Number of Close Family Member as per Amendments in Centralized Know Your Customer Organization (CKO) Regulations, 2017

This is with reference to NCCPL circular reference NCCPL/CM/SEPTEMBER-19/17 dated September 20, 2019 regarding implementation of the subject facility.

In this respect, we are pleased to inform you that the automated mechanism for reporting of above information has been developed by NCCPL and same shall be made available effective from January 06, 2020.

Guidelines for using following functionality / report / download in National Clearing Settlement System (NCSS) and Know Your Customer (KYC) system are attached herewith:

Screen:

- UIN Add Screen
- Central Portal Individual Screen
- KYC Individual Screen
- KYC Individual Update Screen
- KYC Document Upload Screen

Report:

- KYC Status Report
- KYC Information Update
- Central Portal Save Post Report

Download

- KYC Status Report
- KYC Information Update

Format of undertaking is also attached for ready reference.

For any further queries or concerns, please feel free to contact the Customer Support Department at UAN No. 021-111-111-622.

Regards,

_____sd_____

Muhammad Asif
Head of Operation

1. Executive Director - Policy, Regulation and Development Department - SMD
Securities & Exchange Commission of Pakistan - Islamabad
2. Chief Executive Officer - Pakistan Stock Exchange Limited
3. Chief Executive Officer - Central Depository Company of Pakistan Limited
4. Chief Executive Officer - Mutual Fund Association of Pakistan
5. Managing Director – Pakistan Mercantile Exchange Limited (For Circulation to all Authorized Intermediaries of PMEX)



National Clearing Company of Pakistan Limited

**Understanding Document
For
Modification in Know Your Customer (KYC) System and National Clearing
Settlement System (NCSS)**

1. MODIFICATION IN UIN SCREEN:

1.1. UIN Add SCREEN:

UNIQUE IDENTIFICATION NUMBER SETUP SCREEN

User ID: C0020801

Add Refresh Close Help

Search By: Client Code Location: Pakistan GO/POST GO/SAVE

Employee Address As Per CNIC: [Text Box]

CDS Account No.: [Dropdown] NCS Client CDS Account No.: [Dropdown]

CDS Account Status: NCS CDS Account Status:

Verified: [Text Box]

Reason: [Text Box]

Mapping Status: [Text Box]

Records Status: [Text Box]

Relationship: Self [Dropdown] Mobile: [Text Box]

Email: [Text Box]

NTN: [Text Box]

Joint Holder UIN-3: [Text Box]

Issue Date3: / / (DD/MM/YYYY)

Joint Holder Name-3: [Text Box]

Verified: [Text Box]

Reason: [Text Box]

: IBD Eligible

: Sahulat Account

Relative UIN: [Text Box]

Relative UIN Name: [Text Box]

SAVE

Add Refresh Close Help

Search By: Client Code Location: Pakistan GO/POST GO/SAVE

Employee Address As Per CNIC: [Text Box]

CDS Account No.: [Dropdown] NCS Client CDS Account No.: [Dropdown]

CDS Account Status: NCS CDS Account Status:

Verified: [Text Box]

Reason: [Text Box]

Mapping Status: [Text Box]

Records Status: [Text Box]

Relationship: [Dropdown] Mobile: [Text Box]

Email: [Text Box]

NTN: [Text Box]

Joint Holder UIN-3: [Text Box]

Issue Date3: / / (DD/MM/YYYY)

Joint Holder Name-3: [Text Box]

Verified: [Text Box]

Reason: [Text Box]

: IBD Eligible

: Sahulat Account

Relative UIN: [Text Box]

Relative Name: [Text Box]

- Three new fields have been updated in the UIN add screen as highlighted above in the snap shot.
 - UIN setup screen which is also known as UIN add screen in NCSS has been updated for addition of mobile number of self or close family members.
 - Selection of relationship is mandatory in the updated screens.
 - **Case 1**, where AI selects relationship as self, the relative Unique Identification Number (UIN) and relative UIN name will be disabled and the mobile number will be verified from PMD on behalf of Principal UIN.
 - **Case 2**, where AI selects relationship other than self, the relative UIN number (Cell number of wife will not be accepted for her husband) and UIN name will be enabled and the mobile number will be verified from PMD with the given relative UIN details.
- ❖ **Cell number of wife will not be accepted for her husband.**

2. MODIFICATION IN KYC SCREENS

CENTRAL PORTAL - INDIVIDUAL

Add Refresh Close Help

Search By: UIN GO/POST GO/SAVE SAVE

ADDRESS DETAILS OF CUSTOMER

Mailing Address1: HOUSE # 1234, 4TH FLOOR, BLOCK # 6 * Mailing Address2: GULSHAN-E-IQBAL, NEAR CIVIC CENTRE *
 Mailing Address3: KARACHI - PAKISTAN * Country: Pakistan *
 Province/State: SINDH * City/Town/Village: KARACHI *
 Tel. (Res): 2 * Tel. (Off): 021111111622 *
 Relationship: Husband * Mobile No.: 03462087819 * (03XXXXXXXX) Verified * Relative UIN: 4240143157085 *
 Fax No.: * Relative UIN Name: MUHAMMAD SULEMAN MUHAMMAD SUI *
 Email: uat@nccpl.com.pk * Proof Of Mailing Address: *
 Same As Above: *
 Permanent Address Line 1: * Permanent Address Line 2: *
 Permanent Address Line 3: * Country: *

APPLICATION FORM FOR INDIVIDUAL

User ID: C0423401 System Date: 18/10/2011

Add Refresh Close Help

Client UIN: 347000001023 SEARCH GO/POST GO/SAVE

ADDRESS DETAILS OF CUSTOMER

(Address Should Be Different From Authorized Intermediary Business Address Except For Employees Of Authorized Intermediary)

Mailing Address: HOUSE # 1234, 4TH FLOOR, BLOCK # 6 GULSHAN-E-IQBAL, NEAR CIVIC CENTRE KARACHI - PAKISTAN * Country: Pakistan *
 Province/State: SINDH * City/Town/Village: KARACHI *
 Tel. (Res) (Optional): 2 * Tel. (Off) (Optional): 021111111622 *
 Relationship: Husband * Mobile No.: 03462087819 VERIFIED * Relative UIN: 4240143157085 *
 Fax No. (Optional): 02132460811 * Relative UIN Name: MUHAMMAD SULEMAN MUHAMMAD SUI *
 Email (Optional): uat@nccpl.com.pk * Proof Of Mailing Address: CNIC COPY *
 Same As Above: *
 (Mandatory For All Applicants-Fill Out If Different From Mailing Address)

APPLICATION FORM FOR INDIVIDUAL - UPDATE

User ID: C0065301 System

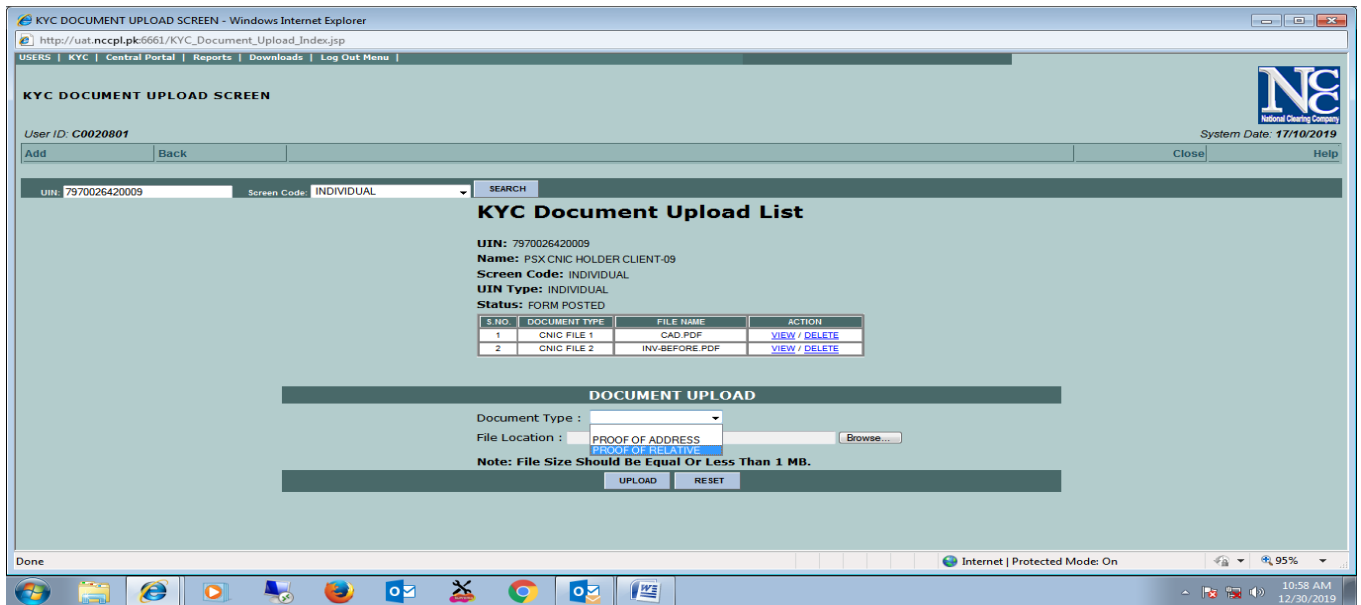
Add Refresh Close

Client UIN: 347000001024 GO/POST GO/SAVE

ADDRESS DETAILS OF CUSTOMER

(Address Should Be Different From Authorized Intermediary Business Address Except For Employees Of Authorized Intermediary)

Mailing Address: HOUSE # 1234, 4TH FLOOR, BLOCK # 6 P. E. C. H. S, KARACHI PAKISTAN * Country: Pakistan *
 Province/State: SINDH * City/Town/Village: KARACHI *
 Tel. (Res)(Optional): * Tel. (Off)(Optional): 02132460812 *
 Relationship: Husband * Mobile No.: 03462087819 * Relative UIN: 4240143157085 *
 Fax No.(Optional): 021111111622 * Relative UIN Name: KHAN SAHAB KHAN SAHAB *
 Email (Optional): uat@nccpl.com.pk * Proof Of Mailing Address: BILLLS *
 Same As Above: *
 (If Different From Above Or Overseas Address, Mandatory For Non-Resident Customer)



KYC STATUS DOWNLOAD:

REQ_TYP	Creation_Date	Creation_Time	AI_ID	Title	AI_TYPE	AI_SUBTYPE	CLIENT_TYPE	Sub_Type	Name	UIN	UKN	Current_Status	Target_Date	Days	Client_Status	Reject_Reason	Document_Count	Document_Received	AI_ACTION_DATE	ADMIN_ACTION_DATE	Relationship	Relative_UIN	Relative_Name
REGISTRA	18/01/2019	10:53:39 AM	29298	NATIONAL	NCS	N/A	CORPORA	BANK/FIN	ABC STEEL	L-04635/19920202	DOCUMENT	24/01/2019	0	BLOCK	N/A	0	NO						
REGISTRA	4/4/2019	6:48:36 PM	208	KSE BROKI	BCM	N/A	CORPORA	MUTUAL	INTERNAT	000000134AAA0170N	UKN CONF	-	0	UN-BLOCK	N/A	0	NO						
REGISTRA	4/4/2019	6:19:03 PM	3350	ISE CORP	BCM	N/A	CORPORA	MUTUAL	PSX CORP	CPSX7970AAA0175C	UKN CONF	-	0	UN-BLOCK	N/A	0	NO						

KYC INFORMATION UPDATE DOWNLOAD:

AF_NO	CREATION_DATE	TIME	AI_ID	AI_TITLE	AI_TYPE	SUB_TYPE	CLIENT_TYPE	CLIENT_SUBTYPE	CLIENT_NAME	CLIENT_UIN	UKN	Current_Status	REJECT_REASON	Relationship	Relative_UIN	Relative_Name
245	2/4/2019	12:48:46 PM	208	KSE BROKI	BCM		INDIVIDU	INDIVIDU	SYED HAS	4210114862651	AAA0155H	UPDATE R	N/A			
202	2/4/2019	7:47:05 PM	208	KSE BROKI	BCM		INDIVIDU	INDIVIDU	UAT ACCC	3240512001603	AAA0160H	UPDATE R	N/A	Self		
848	8/11/2019	12:08:19 PM	208	KSE BROKI	BCM		INDIVIDU	INDIVIDU	PSX CNIC I	7639026420014	AAA0247H	UPDATE R	AA			
794	9/10/2019	10:10:45 AM	208	KSE BROKI	BCM		INDIVIDU	INDIVIDU	KYC TARIF	3460034620101	AAA0232H	UPDATE C	N/A	Self		
814	23/10/2019	2:15:22 PM	208	KSE BROKI	BCM		INDIVIDU	INDIVIDU	AFZAL AHI	3456200300002	AAA0239H	UPDATE C	N/A	Self		
1202	17/10/2019	9:38:25 AM	4234	KSE BROKI	BCM		INDIVIDU	INDIVIDU	MS CNIC K	3470000001021	AAA0310H	UPDATE C	N/A	Self		
1203	17/10/2019	10:16:25 AM	4234	KSE BROKI	BCM		INDIVIDU	INDIVIDU	MS CNIC K	3470000001022	AAA0311H	UPDATE C	N/A	Son	4240143157085	ABDULLAH KHAN ABDULLAH KHAN

- Three new fields have been updated in the KYC individual Screens, Reports and Downloads. As highlighted above in the snap shot. i.e.

Screens:

- Central Portal Individual Screen.
- KYC Individual Screen.
- KYC Individual Update Screen.
- KYC Document Upload Screen

Report:

- KYC Status Report
- KYC Information Update
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Download

- KYC Status Report
- KYC Information Update
- In case where relationship is selected as **Self**, the relative UIN and his UIN name will be disabled and the mobile number will be verified from PMD on behalf of principal UIN.
- In case of any other relationship, the relative UIN and his UIN name will be enabled and the mobile number will be verified from PMD with the given relative UIN.
- In KYC Document upload screen a new field is incorporated for uploading of related documents.
- Few fields in the aforementioned reports and downloads have been updated which can be referred in the snap shot above.

Format of Undertaking:

[TO BE MADE ON A STAMP PAPER OF RS. 100/- (DULY NOTARIZED)]

THIS UNDERTAKING is executed at [insert city] this [insert day] of [insert Month] 2019.

IN FAVOUR OF

National Clearing Company of Pakistan Limited (NCCPL), having its registered office at 8th Floor, Stock Exchange Building, Stock Exchange road, Karachi-74000,

NOW, THEREFORE, THIS UNDERTAKING AND INDEMNITY WITNESSETH AS FOLLOWS:

I Mr./Mrs./Ms. _____ resident of _____ bearing CNIC _____ submitting this undertaking that I have applied to (Broker Name) _____ for trade in Securities. For this purpose, I am providing mobile number of my _____ (**Father, Mother, Son, Daughter, Husband**) bearing CNIC _____ (Copy attached). It is hereby submitted that please add my provided contact details in NCCPL database and allow me to proceed for account opening process can be completed. NCCPL has right to block my account incase my _____ (**Father, Mother, Son, Daughter, Husband**) number is not get verified by Pakistan Mobile Database (PMD)

I solemnly declare that all the aforementioned information is complete and accurate and I am liable for any misinformation arising thereafter.

Signature: Signature:

Applicant Name: Name of Person (whose Mobile no. is provided):

CNIC: CNIC:

WITNESSES:

1. SIGNATURE: _____	2. SIGNATURE: _____
NAME: _____	NAME: _____
CNIC/NICOP/PASSPORT NO. _____	CNIC/NICOP/PASSPORT NO. _____
ADDRESS: _____	ADDRESS: _____