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## National Clearing Company of Pakistan Limited

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

NCCPL/CM/SEPTEMBER-16/01

September 1, 2016

### Changes in the UIN Registration Mechanism

Dear Clearing Members,

This is with reference to the Registration of Unique Identification Number (“UIN”) of Employees by the Broker Clearing Members (BCMs) in the National Clearing and Settlement System (“NCSS”). In this respect, following changes have been made in the UIN Registration Screen of NCSS which shall be implemented **effective from Monday, September 12, 2016:**

1. The title of “**Employee**” in the Mapping Type shall be replaced with “**Employee/Executive Director**”. Such Employee/Executive Director of a brokerage house shall not be allowed to register as client of other brokerage houses as per the existing mechanism.
2. In case where Mapping Type “**Employee/Executive Director**” is selected, BCM shall be required to select the location “**Head Office**” or “**Branch Office**” of such Employee/Executive Director. Moreover, BCM shall also be required to provide “working address” and “address as mentioned in the UIN referring document”.
3. The title of “**Director**” in the Mapping Type shall be replaced with “**Non-Executive Director**”.
4. Approved amendments in the NCSS Procedures pertaining to above mentioned changes are attached herewith.

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. 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

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### Approved Amendments in “NCSS Procedures” Pertaining to Mapping of Employees / Directors / Partners

#### Approved Amendments

#### 3.7 Unique Identification Numbers (UIN)

##### Introduction

National Clearing Company of Pakistan Limited (the Company) will provide a platform through which the Broker Clearing Members (BCM) will provide to the Company the Client UIN Registration Details. Accordingly, the Company shall, after due acceptance in accordance with these Procedures, include such set of information in the UIN Database.

The BCM would access the UIN Registration Screen and fill in the fields therein to initiate trading of such client in the exchange on each Trade Date. Currently, the following information in respect of the Clients and other accounts forms part of the UIN Registration Detail:

- CM ID
- Trader ID
- Client Code
- \*CDS house and sub-account
- Location (Karachi / Lahore / Islamabad)
- Client Name
- Client Type
- UIN
- Status
- Joint Account Holder(s) name (if required)
- Joint Account Holder(s) UIN (if required)
- Employee/Executive Director Details\* if any (in accordance with the General Regulations of Stock Exchange pertaining to Trading by Employees)
- Non-Executive Director and/or Partner
- E-mail Address (mandatory for foreigner and corporate clients and optional for Individual Clients)
- Mobile Number (mandatory for individual client and optional for foreigner and corporate clients.)
- National Tax Number (NTN) (Optional for all clients).

\*CDS house and sub-account shall not be required for those clients having status of Non-broker Clearing Member and those clients marked as clients of Custodian Clearing Member. In such case NCSS shall map CDS house account of Non-broker Clearing Member and shall



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verify the existence of respective CDS sub-account of clients marked with Custodian Clearing Member.

\*\* 1. Employee / executive director of a brokerage house shall not allow to trade through other brokerage houses of any Exchange.

2. BCM shall select the location “Head Office” or “Branch Office” of such employee/ executive director.

3. BCM shall provide working address and address as mentioned in the UIN referring document.