



**THE KARACHI STOCK EXCHANGE (GUARANTEE) LIMITED**  
Stock Exchange Building, Stock Exchange Road, Karachi  
Phones: 111-001-122, Fax: 32410825

**KSE/N- 3347**

**July 18, 2012**

**NOTICE FOR ALL MEMBERS**

**AWARENESS PRESENTATION BY SECP REGARDING  
BROKERS INSPECTION REGIME**

Members are hereby informed that the Securities and Exchange Commission of Pakistan [SECP] has arranged a presentation for members on the subject. The objective of this presentation is to create awareness about compliance with the key regulatory provisions of the applicable Securities Laws by the Brokers of the Exchange.

The said presentation would cover the purpose, its scope and nature of inspection of Brokers being conducted by the SECP. Further, the major non-compliances observed during recent on-site inspections of the Brokerage Houses would also be discussed.

The presentation session has been scheduled for Friday July 20, 2012 at 4:30 P.M. at KSE Auditorium (3<sup>rd</sup> Floor Admin Block), followed by light refreshments.

All Members along with their respective compliance officers/ relevant staff are invited to attend the session.

**Haroon Askari**  
Deputy Managing Director

**Copy to:**

The Commissioner (SM) Securities & Exchange Commission of Pakistan, Islamabad  
Notice Board & Website - KSE