



NOTICE FOR ALL TRE CERTIFICATE HOLDERS

MANDATORY REQUIREMENT FOR SUBMISSION OF ANNUAL "CLIENTS' ASSETS SEGREGATION STATEMENT" [CASS] DULY VERIFIED BY THEIR STATUTORY AUDITOR

Attention of all TRE Certificate Holders is drawn to clause 4.18.6(b) of PSX Regulations which is reproduced hereunder:

"The Broker within forty five (45) days of the close of its financial year shall submit an annual "Clients' Assets Segregation Statement", duly verified by its Statutory Auditor."

In pursuance of the above, all TREC holders / Brokers of Pakistan Stock Exchange Limited whose financial year end is **June 30, 2017** are required to submit their annual "Client's Asset Segregation Statement" (CASS) duly verified by their statutory auditor within 45 days of close of their financial year i.e. by **Tuesday, August 15, 2017**.

Failure to submit the required Annual CASS shall trigger the enforcement action(s) as per relevant clause(s) of PSX Regulations which inter-alia include;

- i. Switching Off trading terminals; and
- ii. Imposition of financial penalty.

All TRE Certificate Holders are advised to ensure timely submission of Annual CASS duly verified by their statutory auditor.


M. ABBAS MIRZA
Acting Chief Regulatory Officer

Copy to:

1. All TRE Certificate Holders of PSX
2. The Executive Director (PRDD), SMD, SECP
3. The Director / HoD, (SSED), SMD, SECP
4. The Director (PRPD), SMD, SECP
5. The Acting Managing Director, PSX
6. The Chief Executive Officer, CDC
7. The Chief Executive Officer, NCCPL
8. The Acting Managing Director, PMEX
9. All heads of Department, PSX
10. PSX Website, Notice Board and Offices (ISB & LHR)