

# FIKREE'S (PVT) LIMITED

CORPORATE TRE CERTIFICATE HOLDER

639, Pakistan Stock Exchange Bldg,  
Off: I.L.Chundrigar Road,  
Karachi-74000

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## POLICIES & PROCEDURES

### SYSTEM & CONTROLS TO RESOLVE CUSTOMER COMPLAINTS

The company creates an Email ID for registering a customer complain. The Complainer can send their complaint through email with the relevant / supporting documents if required and send it on the designated email address. The designated person will generate the complaint number on email and forward it to the relevant department head to resolve the Complaint as per PSX, SECP and the standard term & conditions of Standardized Account Opening Form signed by the Account Holder. After the Complaint is resolved, a confirmation will be send via email and the complaint number will be closed. The company will keep record of all the complaints registered, resolved for a period of five years.

### HANDLE CONFLICT MANAGEMENT

In case any dispute in connection with the trade or transaction between the Broker and the Account Holder is not settled amicably, either party may refer the same to arbitration in accordance with the provisions of General Regulations of the Exchange, which shall be binding on both the parties. The Account Holder hereby agrees that he would have no objection if his name and other relevant particulars are placed on Exchange's database accessible by members of the Exchange if he fails or refuses to abide by or carryout any arbitration award passed against him in his dispute with the Broker.

### UNETHICAL CONDUCT AND MARKET ABUSE

For the purpose of unethical conduct and market abuse the company took clear instruction through signed Standardized Account Opening Form from client for execution of trade weather verbal or written. Further the company records all phone calls by maintain a proper PABX system integrated with Software Application System Configured on stand-alone Server with a power back-up. All the Extensions and Nodes are integrated with Recording Software in the Server in order to record calls. For all written instruction account the company will kept record of instruction for a period of 5 years. Further-more the company trained / communicate it Sales staff all the relevant regulation of PSX and SECP of trading and market practices.



## **MONEY LAUNDERING AND COMBAT TERROR FINANCING**

For the purpose of Money Laundering & Combat Terror Financing, the company follows guidelines issued by PSX through Notice # KSE/N-1388 dated March 16, 2012 regarding Know Your Customer & Customer Due Diligence which covers Customer Identification, Risk Assessment of Customer, Circumstance where Enhanced Due Diligence is required, On-going Due Diligence, Circumstances where simplified Due Diligence can be adopted, Compliance Function, Data Retention, Training Employee Screening.

## **KYC/CDD POLICY**

KYC/CDD Policy has been prepared to follow the guidelines and instructions of Regulation and shall be implemented being a broker of KSE, LSE and PMEX. Customer identification is very important will protect our company from being used by unscrupulous and or criminal elements. In this respect minimum documents/information as prescribed by SECP must be obtained from customers at the time of opening of opening of accounts. Further, any additional document/information may be obtained on case to case basis where considered necessary.

