



# QUARTERLY WEBSITE COMPLIANCE REPORT

For the quarter ended 31 MAR 2023  
457 AAA Securities (Private) Limited

Submission Date: -  
Compliance officer : Arshad Saeed Malik  
Company secretary : Arshad Saeed Malik

Description	Compliant Status	Reason for Non-Compliance
<b>Section on "About Us / Profile"</b>		
Vision & Mission and details of permissible business activities	Compliant	
Details of registered agents with their contacts, branches with addresses	Compliant	
Brief Introduction of the company including its form, incorporation, including licence details	Compliant	
Management Profile	Compliant	
Details of Associated Companies, if any	Compliant	
Management Rating	Compliant	
Name of Auditors/Legal Advisors of the company (Names Only)	Compliant	
Address of the registered office, Head Office/Principal Office, branches etc	Compliant	
Contact Details including phone no., fax no., email addresses etc	Compliant	
Services	Compliant	
<b>Section on "Governance"</b>		
Board of Directors	Compliant	
Profile of Board of Directors	Compliant	
Details of Sponsors along with shareholding pattern of the Company	Compliant	
Details of Audit Committee	Compliant	
<b>Section on "Investor Information"</b>		
Annual/Half Yearly/Quarterly Financial Statements	Compliant	
Statutory Auditor Details (including addresses, contacts and ICAP/SBP ratings)	Compliant	
NCB auditor details along with NCB for last 05 years	Compliant	
Policies and Procedures: CDD/KYC Policy, etc.	Compliant	
Account opening form	Compliant	



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Section on "Investor Portal"		
Investor Grievances	Compliant	
Pending investor complaints against brokerage firms	Compliant	
Contact details of person(s) designated to investor complaints (if any)	Compliant	
Details of penal action taken by Exchange & SECP against the Brokerage Firm	Compliant	
SECP Online Complain Lodge Link <a href="http://www.secp.gov.pk/form_complaint_online.asp">http://www.secp.gov.pk/form_complaint_online.asp</a>	Compliant	
PSX Online Complain Lodge Link <a href="http://www.csir.psx.gov.pk/?type=2">http://www.csir.psx.gov.pk/?type=2</a>	Compliant	
Feedback Form	Compliant	
Section on "Investor Education Program / Guide"		
The web link of SECP investor education program "Jamapunji"	Compliant	
Section on "Miscellaneous"		
Useful Links	Compliant	
Media	Compliant	
Research	Compliant	
FAQ	Compliant	
Search	Compliant	