



# QUARTERLY WEBSITE COMPLIANCE REPORT

For the quarter ended 30 SEP 2024  
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	Non-Compliant	No Branch/Agents
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	Non-Compliant	No requirement of NCB
Policies and Procedures: CDD/KYC Policy, etc.	Compliant	
Account opening form	Compliant	



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Account opening form	Compliant	
<b>Section on "Investor Portal"</b>		
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	
<b>Section on "Investor Education Program / Guide"</b>		
The web link of SECP investor education program "Jamapunji"	Compliant	
<b>Section on "Miscellaneous"</b>		
Useful Links	Compliant	
Media	Compliant	
Research	Compliant	
FAQ	Compliant	
Search	Compliant	