



# Muhammad Tariq Moti Securities (Pvt) Limited

BRP # 064, TREC Holder Code 186, TREC Holder / Broker: Pakistan Stock Exchange Limited.  
(Formerly: Karachi Stock Exchange Limited), 1<sup>st</sup>Floor, Room no. 36, Stock Exchange Building, Stock Exchange Road, Karachi.  
Phone no. +9221 32421624, 32419415, 32410835, Website: tariqmoti.com.pk, Email id: admin@tariqmoti.com.pk.

## **Systems and Controls to Resolve Customer Complaints**

Muhammad Tariq Moti Securities (Pvt.) Ltd (MTM) has an email ID, The Complainer can send the complain along with Supporting documents. The Complaint will then be forwarded to the head of compliance. Mr. Muhammad Mustafa Tariq will resolve the complaint as per the terms and conditions stated in Sub Account Opening Form signed by the Account Holder and as per the PSX and SECP regulations. After the complaint is resolved, The Complainer will be confirmed. The Company will keep record of the complaints for the last five years.

## **Systems and Controls to Handle Conflict Management**

In case of any dispute regarding trade or transaction between the broker and Account Holder is not settled peacefully, the case will be referred to arbitration by either party according to the General Regulation of the exchange. The Account Holder whereby agrees that he would have no objection if his particular are placed on the exchange's database accessible by all members of the Exchange in case if he does not stick to any decision passed against him in his dispute with the broker.

## **Systems and Controls to monitor Unethical Conduct and Market abuse**

The instructions for the execution of any trade is either verbal or written, The Company also has a Phone call recording system, along with SMS and Email confirmation system. Furthermore, the sales staff is properly trained about all the relevant regulations of PSX and SECP regarding trading and market practices.

## **Systems to Control Money Laundering and Combat terror financing**

To combat terror financing and money laundering the guidelines issues by PSX through Notice No. KSE/N-1388 dated March 16, 2012 regarding KYC and CDD are followed