

Procedure for Issuance of Transaction Order Book and Amendments of Registered Address

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Providing secure and dependable services to our valued Investor Account Holders has always been one of the prime focuses of CDC. In line with this effort, please find below few important points for your knowledge and understanding:

1. Issuance of Transaction Order Book [TO Book]

a. At the time of opening a new Investor Account

Once you open an Investor Account, account opening package including a TO Book is dispatched to your registered mailing addresses.

b. Additional TO Book [*Other than the Issuance against lost or stolen TO Books*]

If you require an additional TO Book subsequent to the initial TO book sent to you at the time of account opening, the requisition slip should be submitted to CDC duly signed by the authorized signatory(ies). The TO Book will be sent to your registered mailing address.

If you submit a written request for personal receiving (self or authorized representative) of the TO Book, the following process will be followed:

i. Personal Receiving by Account Holder(s)

The TO Book can be personally received by the Account Holder(s) or authorized attorney by visiting the relevant CDC branch office along with their valid original CNIC / NICOP / Passport.

ii. Personal Receiving by Authorized Representative

In case where the TO Book is to be personally received by the authorized representative of the Account Holder, the representative should bring a written request duly signed by the authorized signatory(ies) of the Investor Account to the respective CDC branch office along with his/her valid original CNIC / NICOP / Passport. In case of a corporate account, an authority letter on the company letter head will be required.

However, in such a scenario, the TO Book will be handed over to the representative after contacting the respective Investor Account Holder on the registered contact numbers or by sending email on the registered email address. If contact is not established on the registered contact numbers and no reply is received from the registered email address, delivery of TO book will not be made till the receiving of confirmation from the account holder.

c. Lost / Stolen TO Book or Requisition Slip

If the TO Book / Requisition Slip has been lost or stolen, a new TO Book can be requested by submitting an undertaking [as per the Annexed format] along with a written request. In case of corporate accounts, request should be made on the company letter head.

i. Personal Receiving by Account Holder(s)

The TO Book can be personally received by the Account Holder(s) or authorized attorney by visiting the relevant CDC branch office along with their valid original CNIC / NICOP / Passport.

In case where the operating instruction in the Account is either or survivor, any of the joint holder(s) or authorized attorney may visit CDC Branch Offices. In the case of joint operating instructions, all joint account holders should visit CDC Branch Offices along with their valid original CNIC / NICOP / Passport respectively to collect the TO Book.

ii. Delivery through Dispatch

In case if the TO Book is required to be dispatched through courier, CDC shall confirm from the respective Investor Account Holder on the registered contact numbers or by sending email to the registered email address.

If contact is not established on the registered contact numbers and no reply is received from the registered email address, TO book will not be dispatched till the receiving of confirmation from the account holder.

Note:

1. Please note that in the case of Lost / Stolen TO Book or Requisition Slip, request for personal receiving though authority letter will not be entertained for both individual as well as corporate Investor Account Holders.
2. The prescribed format as referred in para C above can be obtained from the nearest office of CDC or website www.cdcpakistan.com.

2. Amendments in Registered Address [for Individual Account Holders Only]

Account Holders [individual] may request CDC to update his Registered Address[Permanent/Mailing] by providing a written request signed by the authorized signatory(ies). The request should be sent along with the copy of the CNIC/NICOP/Passport of the Principal Account Holder which reflects the same address as required to be updated or supported with any other evidence such as, original paid utility bill, etc.

In case of any difference between the address in the request and the one given in the supporting documents, the Principal Account Holder has to personally visit CDC along with valid original CNIC/NICOP/Passport.

DRAFT-A

UNDERTAKING
(for Individual Account Holders)

To:
Central Depository Company of Pakistan Limited
Investor Account Services Department
CDC House, 99-B, Block "B"
S.M.C.H.S. Main Shara-e-Faisal
Karachi.

Dear Sirs,

Re: Loss of Transaction Order Book – CDC Investor Account No.

This is to inform you that I/we have lost the Transaction Order Book ("TO Book") issued to me/us in respect of my/our CDC Investor Account No. _____. The same could not be located inspite of my/our best efforts.

You are therefore requested to kindly issue me/us a new TO Book, for which purpose I/we have also submitted to CDC a Request Letter for issuance of a new TO Book, duly signed by me/us. The new TO Book may be dispatched by registered mail at my/our address recorded with CDC *OR *I, *OR Mr./Miss/Mrs. _____, being one of the joint Account Holders will personally collect the TO Book from the IAS Branch of CDC and will sign the requisite acknowledgment and the requisition letter on receiving the TO Book.

(delete whichever is inapplicable)*

I/we undertake to immediately surrender the old TO Book in case it is located and assume the sole responsibility of misuse of the old TO Book by any unscrupulous person.

I/we undertake to indemnify and hold CDC and its concerned directors and officers harmless from and against any losses, damages, costs and expenses that may be incurred or sustained due to issuance of a new TO Book upon my/our instructions, including legal expenses on defending any actions or proceedings arising there from.

Yours faithfully (To be signed as per Instruction given in the Investor Account Opening Form)

Name: _____
CNIC No. _____
Address: _____

For joint Account Holders

Name: _____
CNIC No. _____
Address: _____

Name: _____
CNIC No. _____
Address: _____

Name: _____
CNIC No. _____
Address: _____

DRAFT-B

UNDERTAKING
(for Corporate and Institutional Account Holders)

To:
Central Depository Company of Pakistan Limited
Investor Account Services Department
CDC House, 99-B, Block "B"
S.M.C.H.S. Main Shara-e-Faisal
Karachi.

Dear Sirs,

Re: Lost of Transaction Order Book – CDC Investor Account No.

This is to inform you that we have lost the Transaction Order Book ("TO Book") issued to us in respect of our CDC Investor Account No._____. The same could not be located inspite of our best efforts.

You are therefore requested to kindly issue us a new TO Book, for which purpose we have also submitted to CDC a Request Letter for issuance of a new TO Book, duly signed by the Authorized Signatory(ies). The new TO Book may be dispatched by registered mail at our address recorded with CDC **OR** we will collect the TO Book through our authorized representative from the IAS Branch of CDC, who will sign the requisite acknowledgment and the requisition letter on receiving the TO Book.

We undertake to immediately surrender the old TO Book in case it is located and assume the sole responsibility of misuse of the old TO Book by any unscrupulous person.

We undertake to indemnify and hold CDC and its concerned directors and officers harmless from and against any losses, damages, costs and expenses that may be incurred or sustained due to issuance of a new TO Book upon our instructions, including legal expenses on defending any actions or proceedings arising there from.

Yours faithfully,

For _____ Limited

1. _____

2. _____
Authorized Signatories

DRAFT-C

UNDERTAKING
(for Individual Non-Resident/Foreigner Account Holders)

To:
Central Depository Company of Pakistan Limited
Investor Account Services Department
CDC House, 99-B, Block "B"
S.M.C.H.S. Main Shara-e-Faisal
Karachi.

Dear Sirs,

Re: Loss of Transaction Order Book – CDC Investor Account No.

This is to inform you that I/we have lost the Transaction Order Book ("TO Book") issued to me/us in respect of my/our CDC Investor Account No. _____. The same could not be located inspite of my/our best efforts.

You are therefore requested to kindly issue me/us a new TO Book, for which purpose I/we hereby enclose a Request Letter for issuance of a new TO Book, duly signed by me/us. The new TO Book may be dispatched by registered mail or courier service at my/ our address recorded with CDC.

I/we undertake to immediately surrender the old TO Book in case it is located and assume the sole responsibility of misuse of the old TO Book by any unscrupulous person.

I/we undertake to indemnify and hold CDC and its concerned directors and officers harmless from and against any losses, damages, costs and expenses that may be incurred or sustained due to issuance of a new TO Book upon my/our instructions, including legal expenses on defending any actions or proceedings arising there from.

Yours faithfully (To be signed as per Instruction given in the Investor Account Opening Form)

Name: _____
CNIC No. _____
Address: _____

For joint Account Holders

Name: _____
CNIC No. _____
Address: _____

Name: _____
CNIC No. _____
Address: _____

Name: _____
CNIC No. _____
Address: _____

DRAFT-D

UNDERTAKING
(for Corporate and Institutional Non-Resident
Account Holders/Offshore Companies and Institutions)

To:
Central Depository Company of Pakistan Limited
Investor Account Services Department
CDC House, 99-B, Block "B"
S.M.C.H.S. Main Shara-e-Faisal
Karachi.

Dear Sirs,

Re: Loss of Transaction Order Book – CDC Investor Account No.

This is to inform you that we have lost the Transaction Order Book ("TO Book") issued to us in respect of our CDC Investor Account No. _____. The same could not be located inspite of our best efforts.

You are therefore requested to kindly issue us a new TO Book, for which purpose we hereby enclose a Request Letter for issuance of a new TO Book duly signed by the Authorized Signatory(ies). The new TO Book may be dispatched by registered mail or courier service at our address recorded with CDC.

We undertake to immediately surrender the old TO Book in case it is located and assume the sole responsibility of misuse of the old TO Book by any unscrupulous person.

We undertake to indemnify and hold CDC and its concerned directors and officers harmless from and against any losses, damages, costs and expenses that may be incurred or sustained due to issuance of a new TO Book upon our instructions, including legal expenses on defending any actions or proceedings arising therefrom.

Yours faithfully,

For _____ Limited

1. _____

2. _____
Authorized Signatories