



## **LAHORE STOCK EXCHANGE (G) LTD.**

19 Khayaban-e-Aiwan-e-Iqbal, Lahore-54000

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## **APPLICATION FOR LISTING OF OPEN END FUND**

## **FORM - I**

*(Please reproduce this Form on Company's letterhead)*

### **FORM OF APPLICATION UNDER SECTION 9 OF THE SECURITIES AND EXCHANGE ORDINANCE 1969 FOR LISTING A SECURITY ON STOCK EXCHANGE**

The Secretary  
Lahore Stock Exchange (G) Ltd.  
19-Khayban-e-Aiwan-e-Iqbal  
Lahore.

Dear Sir,

We hereby apply for the listing of the Units of our \_\_\_\_\_ on  
your Stock Exchange. **(Name of Fund)**

Necessary information and documents as required in the annexure to this form are  
furnished.

Yours faithfully,

\_\_\_\_\_

Copy to: The Securities & Exchange Commission of Pakistan,  
Islamabad.

**ANNEXURE TO FORM – I**  
**CHECKLIST OF DOCUMENTS TO BE SUBMITTED**  
**ALONGWITH LISTING APPLICATION**

Sr. No.	Documents	Yes	No.	N.A.
1	Application for listing as per Form – I			
2	Application for submission of Undertaking and payment of fees as per Form – II			
3	Undertaking as per Annexure to Form – II			
4	Memorandum & Articles of Association of Asset Management Company			
5	Copy of Certificate of Incorporation of Asset Management Company			
6	Copy of Certificate of Commencement of Business of Asset Management Company			
7	15 Copies of Offering Document			
8	Detailed particulars of Units for which listing is sought			
9	Copy of approval of Offering Document from SECP			
10	Copies of Offering Documents in respect of Open end Funds already listed on any Stock Exchange			
11	A brief history of the Asset Management Company since incorporation giving details of its activities including any re-organization, changes in its capital structure and borrowings.			
12	Financial Projections for 3 years			
13	Name of Directors along with directorship of other companies listed on the Exchange			
14	Name and addresses of the directors and persons holding ten per cent or more of any class of equity security as on the date of application together with the number of shares or debentures held by each.			
15	Copies of balance sheets and audited accounts for the last five completed years or for a shorter number of years if the company has been in existence only for such years			
16	A statement showing dividends and cash bonuses paid during the last 10 years or such shorter period as the company may have been in existence. A statement showing dividends or interest in arrears, if any.			
17	Auditors' Certificate regarding Seed Capital of the Fund			
18	Copy of Agreement with Transfer Agent			
19	Copies of Agreements with Distribution Companies			
20	Copy of Agreement with Custodian			
21	Copy Full Credit Rating Report of Asset Management Company			

**Note:** 1. Photocopies of all documents submitted must be certified by the Company Secretary/Director of the Company. 2. Additional information/documents may be called by the Exchange.

## **FORM - II**

### **FORM OF UNCONDITIONAL UNDERTAKING UNDER LISTING REGULATION NO. 5 ON NON-JUDICIAL STAMP PAPER OF RS. 20**

Dated: \_\_\_\_\_

The Governing Board of Directors  
Lahore Stock Exchange (G) Ltd.  
Lahore.

### **UNDERTAKING**

We undertake, unconditionally, to abide by the Listing Regulations of the Lahore Stock Exchange (Guarantee) Limited which presently are, or hereinafter may be in force.

We further undertake:

- (1) That our Units shall be quoted on the Ready Quotation Board at the discretion of the Exchange;
- (2) That the Exchange shall not be bound by our request to remove the Units from the Ready Quotation Board;
- (3) That the Exchange shall have the right, at any time to suspend or remove the said Units for any reason which the Exchange considers sufficient in public interest.
- (4) That such provisions in the articles of association of our Company or in any declaration or agreement relating to any other security as are or otherwise not deemed by the Exchange to be in conformity with the Listing Regulations of the Exchange shall, upon being called upon by the Exchange, be amended to supersede the articles of association of our Company or the nominee relating to the other securities to the extent indicated by the Exchange for proposes of amendment and we shall not raise any objection in relation to a direction by the Exchange for such amendment; and
- (5) That our Units may be delisted by the Exchange in the event of non-compliance and breach of this undertaking.



Yours faithfully,

(Signature of authorized person)

**LAHORE STOCK EXCHANGE (G) LTD.**

**LISTING FEE SCHEDULE FOR OPEN END FUNDS**

W.E.F. SEPTEMBER 03, 2009

**Initial Listing Fee:** 0.05% of seed capital, subject to maximum of Rs. 500,000/-

**Service Charges:** Rs. 25,000/- at the time of listing

**Annual Listing Fee:**

<b>Seed Capital</b>	<b>Fee</b>
Up to Rs. 150 million	Rs. 20,000/-
Above Rs. 150 million & upto Rs. 500 million	Rs.30,000/-
Above Rs. 500 million	Rs. 40,000/-