

Process Summary				
Sr. #	Department	Total No. of Processes	Phase I	Phase II
1	CCD	89	2, 3, 4, 5, 6, 7, 8, 9, 11, 12, 13, 16, 17, 18, 37, 49, 69, 70, 71, 72, 75, 76, 77, 78, 79, 80, 81, 82, 83, 88, 114, 115, 116, 117, 118, 119, 120, 121, 122, 123, 124, 125, 126, 127, 128, 129, 130, 131, 132, 133, 134, 135, 136, 137, 138, 139, 140, 141, 142, 143, 144, 145, 146, 147, 148, 169, 170, 171, 210, 224	73, 74, 84, 107, 149, 150, 172, 173, 174, 175, 188, 194, 195, 196, 205, 211, 212, 213, 214
2	CSD	4	0	177, 178, 228, 229
3	SMD	34	23, 24, 58, 59, 179, 180	25, 26, 27, 28, 29, 30, 31, 32, 33, 40, 60, 61, 62, 63, 64, 65, 66, 67, 68, 89, 98, 99, 100, 101, 102, 111, 182, 190
4	SCD	25	165	20, 21, 22, 36, 38, 39, 50, 51, 52, 53, 90, 91, 92, 94, 95, 96, 97, 108, 109, 110, 181, 199, 209, 225
5	INS	39	47, 48, 56, 57, 176	34, 35, 41, 42, 43, 44, 45, 46, 54, 55, 93, 103, 104, 105, 106, 151, 152, 153, 154, 155, 156, 157, 158, 159, 160, 161, 162, 184, 185, 186, 191, 208, 226, 227
6	COMM SECTT.	1	0	230
7	CS	1	0	216
8	APPELLATTE BENCH	1		200
9	ADMIN	3	0	232, 233, 234
10	IFD	2		218, 219
11	IE&IRD	1	168	0
12	PLAD	2	0	220, 231
13	Shared	32	1, 10, 14, 15, 112, 166, 167, 221, 222	19, 85, 86, 87, 113, 163, 164, 183, 187, 189, 192, 193, 197, 198, 201, 202, 203, 204, 206, 215, 220, 223
Total:		234	92	142

FINALIZED PROCESS LIST

Sr. No.	Particulars	Sub-Categories		User Department / Owner	Phases	# of Human Tasks (20) H=20 M=10 L=1	# of System Tasks (20) H=20 M=10 L=1	# of Integration Points (Internal & External Systems) (15) H=15 M=7.5 L=1	# of Business Reports (15) H=15 M=7.5 L=1	# of KPI Reports (15) H=15 M=7.5 L=1	# of XFDL Forms (15) H=15 M=7.5 L=1	Ref. Range	Complexity	Priority
						H: >10 M: >5 <=10 L: <=5	H: > 10 M: >5 <=10 L: <=5	H: > 5 M: >= 3 <= 5 L: < 3	H: > 15 M: 5<=15 L: < 5	H: > 15 M: 5<=15 L: < 5	H: > 5 M: 3<=5 L: < 3	H/M/L H>=70 M>=50<70 L<50		
1	Diary, Scanning and Dispatch Process	1	Inward diary of physical, receipt Data entry & scanning Dispatch (if any) for both physically and electronically receive documents etc.	All Dept.	Phase I	5	4	5	5	3	1	19	L	H
2	Company Name Reservation	1	Company Name Reservation	CCD	Phase I	10	6	6	3	6	3	51	M	H
	Company incorporation and registration of place of business of a foreign company	1	Company Incorporation (local)	CCD										H
3		i	Public Limited	CCD	Phase I	11	11	9	3	3	11	107	H	H
4		ii	Private Limited	CCD	Phase I	11	11	9	3	3	9	72	H	H
5		iii	Single Member Company	CCD	Phase I	11	11	9	3	3	9	72	H	H
6		iv	State Owned Companies "SOC"s	CCD	Phase I	11	11	9	3	3	11	107	H	L
7	Combined Processes for Name Reservation and Incorporation	1	For all types of companies	CCD	Phase I	11	11	9	3	3	11	107	H	H
8		1	Registration of place of business of a foreign company in Pakistan (Forms 38 to 43)	CCD	Phase I	11	11	9	3	3	13	107	H	H
9		1	Creation of company record	CCD	Phase I	11	10	9	3	3	11	97	H	L
		i	On transfer of file/record from provincial government to SECP (Section 5)	CCD										
		ii	Creation of file / record for the companies governed by special enactment (Sec. 503)	CCD										
10	Mortgages and charges	1	Form 10 - Particulars of mortgages, charges, etc.	CCD/SCD	Phase I	11	10	11	3	5	4	96	H	H

11		2	Form 11 - Particulars of mortgage or charge subject to which property has been acquired	CCD	Phase I	11	10	11	3	5	4	96	H	M
12		3	Form 13 -Registration of entire series of debentures / redeemable capital	CCD	Phase I	11	10	11	3	5	4	96	H	M
13		4	Form 14 - Particulars of an issue of redeemable capital / debentures in a series when more than one issue in the series is made	CCD	Phase I	11	10	11	3	5	4	96	H	M
14		5	Form 16 - Particulars of modification of mortgage, charge, etc.	CCD/SCD	Phase I	11	11	11	3	5	6	114	H	H
15		6	Form 17 - Memorandum of complete satisfaction of mortgage, charge, etc.	CCD/SCD	Phase I	11	10	11	3	5	6	104	H	H
16		7	Form 18 - Notice of appointment of receiver or manager	CCD	Phase I	11	8	5	3	5	5	54	M	L
17		8	Form 19 - Notice to be given by receiver/manager on ceasing to act as such	CCD	Phase I	11	8	5	3	5	5	54	M	L
18		9	Form 20 - Receiver or manager's abstract of receipts and payments	CCD	Phase I	11	8	5	3	5	5	54	M	L
19	Registration	1	Group Registration under Companies Registration Regulations, 2008	CCD/CSD	Phase II	10	2	2	2	5	2	22	L	H
20		2	Registration as a Modaraba Company	SCD	Phase II	18	14	2	1	3	1	44	L	L
21		3	Registration of Scheme as Notified Entity	SCD	Phase II	23	14	1	1	3	1	44	L	H
22		4	Registration of Trustee	SCD	Phase II	18	14	1	1	3	1	44	L	L
23		5	Registration as Brokers	SMD	Phase I	25	17	3	5	4	3	57	M	H
24		6	Registration as Agents/Representative	SMD	Phase I	25	17	3	5	4	3	57	M	H
25		7	Registration as Debt Securities Trustees	SMD	Phase II	28	20	4	5	4	3	94	H	H
26		8	Registration as Credit Rating Agency	SMD	Phase II	28	20	4	5	4	3	94	H	H
27		9	Registration as Underwriters	SMD	Phase II	28	20	4	6	4	3	94	H	H
28		10	Registration of Book Runners	SMD	Phase II	28	20	4	5	4	3	94	H	H
29		11	Registration of SROs	SMD	Phase II	28	20	4	6	4	3	94	H	L
30		12	Registration of Securities Manager	SMD	Phase II	28	20	4	6	4	3	94	H	H
31		13	Registration of Securities Advisor	SMD	Phase II	28	20	4	6	4	3	94	H	H
32		14	Registration of Balloters	SMD	Phase II	28	20	4	5	4	3	94	H	H
33		15	Registration of Share Registrars	SMD	Phase II	28	20	4	6	4	3	94	H	H
34		16		INS	Phase II	35	5	5	11	15	4	81	H	H
35		17	Registration to function as Insurance Company - Life	INS	Phase II									
36	NOC for formation of NBFC	1	Registration to function as Insurance Company - Non-Life	INS	Phase II	35	5	5	11	15	4	81	H	H
37	Licensing	1	NOC for Formation of NBFC	SCD	Phase II	23	14	2	1	3	1	44	L	H
38		2	License u/s. 42 of the Companies Ordinance	CCD	Phase I	11	9	9	5	5	10	75	H	H
39		3	License to function as NBFC	SCD	Phase II	23	14	2	1	3	1	44	L	H
40		4	Floation of Modaraba	SCD	Phase II	18	14	1	1	3	1	44	L	L
41		5	Licensing of Special Purpose Vehicle	SMD	Phase II	28	20	3	6	4	3	87	H	H
42		6	Authorization to act as Takaful Operator - Family	INS	Phase II	6	3	4	6	6	4	41	L	H
43		7	Authorization to act as Takaful Operator - General	INS	Phase II	6	3	4	6	6	4	41	L	H
44		8	Authorization to act as Window Takaful Operator - General	INS	Phase II	6	3	4	6	6	4	41	L	H
45		9	Authorization to act as Window Takaful Operator - Family	INS	Phase II	6	3	4	6	6	4	41	L	H
46		10	License to act as Third Party Administrator for Health Insurance	INS	Phase II	6	3	4	6	6	4	41	L	L
47		11	License to act as Insurance Broker	INS	Phase II	28	2	2	11	10	5	75	H	H
48		12	Licence to function as Surveyor	INS	Phase I	6	3	4	6	6	4	41	L	H
49	Renewal	1	Registration to act as Authorized Surveying Officer	INS	Phase I	6	3	4	6	6	4	41	L	H
50		2	Section 42 Companies	CCD	Phase I	11	9	9	5	5	10	75	H	H
51		3	NBFC License	SCD	Phase II	18	14	1	1	3	1	44	L	H
52		4	Trustee	SCD	Phase II	18	14	1	1	3	1	44	L	H
53		5	Modaraba	SCD	Phase II	9	8	1	1	3	1	24	L	H
54		6	Modaraba Company	SCD	Phase II	9	8	1	1	3	1	24	L	H
55		7	Third Party Administrator for Health Insurance	INS	Phase II	30	14	8	5	5	3	108	H	L
56		8	Insurance Broker	INS	Phase II	30	14	8	5	5	3	108	H	H
57		9	Surveyor	INS	Phase I	5	3	4	5	5	3	32	L	H
58		10	Authorized Surveying Officer	INS	Phase I	5	3	4	5	5	3	32	L	H
59		11	Brokers	SMD	Phase I	25	17	3	5	4	3	57	M	H
60		12	Agents/Representative	SMD	Phase I	25	17	3	6	4	3	57	M	H
61		13	Debt Securities Trustees	SMD	Phase II	28	20	4	5	4	3	94	H	H
62		14	Credit Rating Agency	SMD	Phase II	28	20	4	6	4	3	94	H	H
63		15	Underwriters	SMD	Phase II	28	20	4	6	4	3	94	H	H
64		16	Book Runners	SMD	Phase II	28	20	4	5	4	3	94	H	H
65		17	SROs	SMD	Phase II	1	0	0	0	1	1	6	L	L
66		18	Securities Manager	SMD	Phase II	28	20	4	6	4	3	94	H	H
67		19	Securities Advisor	SMD	Phase II	28	20	4	6	4	3	94	H	H
68		20	Balloters	SMD	Phase II	28	20	4	6	4	3	94	H	H
			Share Registrars	SMD	Phase II	28	20	4	6	4	3	94	H	H

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		xviii	Application seeking extension in the financial year of a holding company with regards to a subsidiary's financial year and to exempt a holding company or its subsidiary to hold AGM within the relevant calendar year under specific circumstances. (Section 238)	CCD/CSD/SCD/INS										
		xix	Application seeking permission to with-hold or defer payment of dividend by a listed company. (Section 251) (Form 35)	CCD/CSD/SCD/INS										
		xx	Notice of failure to appoint the auditors within the prescribed period. (Section 252)	CCD/CSD/INS/SCD										
		xxi	Appeal against the order of registrar refusing to register any circular regarding offer of a scheme of merger/amalgamation etc. involving the transfer of shares. (Section 289)	CCD/SCD										
		xxii	Application seeking appointment of an Administrator. (Section 295)	CCD										
		xxiii	Application seeking permission to inspect the documents in the case of voluntary winding up. (Section 427)	CCD										
		xxiv	Application seeking approval for payment of money kept under the Companies Liquidation Account. (Section 432)	CCD										
		xxv	Application seeking relief of the registrar or the Commission or an officer authorized by the Commission in cases in which the powers have been delegated by the Commission.(Section 488)	CCD										
		xxvi	Approval for advertisement to invite deposits. (Rule 6(4) of the Companies (Invitation and Acceptance of Deposits) Rules, 1987)	CCD										
		xxvii	Approval for accepting deposits without issuing advertisement. (Rule 7(c) of the Companies (Invitation and Acceptance of Deposits) Rules, 1987)	CCD										
		xxviii	Application for extension under First proviso of sub-rule 3 of Rule 5A of the Companies (Issue of Capital) Rules, 1996	CSD/INS										
		xxix	Approval for issue of further share capital carrying different rights for a company. Rule 5(1) of the Companies' Share Capital (Variation in Rights & Privileges) Rules 2000	CCD/CSD/INS										
		xxx	Power to relax any provision of the rules subject to such conditions as deemed fit to be imposed. (Rule 24(3) of the Public Sector Companies (Corporate Governance) Rules, 2013	CCD										
		xxxï	Approval for appointment of Cost Auditor in case of private and unlisted public companies(Rule 3(2) of Companies/Audit of Cost Accounts) Rules, 1998)	CCD										
		xxxii	To grant relaxation from the prescribed requirements regarding maintenance of website. (S.R.O 634 (I)/2014)	CSD										
		xxxiii	Others (enterable fields)	CCD										
89		11	Approval to issue, Circulate and publish prospectus	SMD	Phase II	26	18	1	6	4	3	87	H	H
90		12	Approval of Constitutive Document (Trust deed, Offering Document, supplemental trust deed, supplemental Offering Document).	SCD	Phase II	23	14	1	1	3	1	44	L	H
91		13	Appointment of Auditor of a Modaraba	SCD	Phase II	18	13	1	1	3	1	44	L	H
92		14	Appointment/Reappointment of Director/CEO of a Modaraba company or NBFC	SCD	Phase II	19	15	2	1	3	1	44	L	H
93		14	Appointment/Reappointment of Director/CEO of an Insurance Company	INS	Phase II	19	15	2	1	3	1	44	L	H
94		15	Application for permission of deposit taking/ issue of Certificates of deposit	SCD	Phase II	15	11	1	1	3	1	44	L	L
95		16	Approval of appointment of Trustee for a Scheme	SCD	Phase II	23	14	1	1	3	1	44	L	H
96		17	Approval for sale and transfer of shares held by Sponsor/Majority Share Holders	SCD	Phase II	15	11	1	1	3	1	44	L	L
97		19	Approval of advertisements	SCD	Phase II	15	11	1	1	3	1	44	L	L
98		20	Approval of the employee Stock Option Scheme (ESOs)	SMD	Phase II	26	18	3	6	4	3	87	H	H

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		xviii	To approve any organization eligible to conduct a training program of not less than 4 hours for microinsurance agents through over-the-counter means (Rule 5(5) of the Securities and Exchange Commission (Microinsurance) Rules, 2014)	INS										
		xix	To approve an alternative dispute resolution service to resolve complaints (Rule 8(2) of the Securities and Exchange Commission (Microinsurance) Rules, 2014)	INS										
		xx	To approve appointment of Shariah Advisor of an operator. (Rule 26(2) of the Takaful Rules, 2012)	INS										
		xxi	To approve institutions and course outline to provide training. (Rule 28(2) of the Takaful Rules, 2012)	INS										
		xxii	To approve an auditor who shall be eligible to conduct audit of a Third Party Administrator (Regulation 24(1) of the Third Party Administrators for Health Insurance Regulations, 2014)	INS										
107		29	Other Application for approvals and exemptions	CCD	Phase II	4	3	5	1	1	4	19	L	M
108		30	Misc. Approvals under the NBFC and Notified Entities Laws	SCD	Phase II	4	3	5	1	1	4	19	L	L
109		31	Misc. Approvals under the Modaraba Laws	SCD	Phase II	4	3	5	1	1	4	19	L	L
110		32	Relaxations granted under NBFC, Notified Entities and Modaraba Laws	SCD	Phase II	4	3	5	1	1	4	19	L	L
111		33	Relaxations from the code of corporate governance	SMD	Phase II	4	3	5	1	1	4	19	L	L
112	Filing of Returns and Off-site Surveillance and Monitoring	1	Annual Audited Accounts	CCD/CSD/SCD/INS	Phase I	6	5	8	4	4	4	36	L	H
113		2	Quarterly Accounts	CCD/CSD/SCD/INS		6	5	8	4	4	4	36	L	H
		3	CLD											
114		i	Form A - annual return of company having share capital	CCD	Phase I	3	3	4	2	2	4	19	L	H
115		ii	Form B - annual return of company not having share capital	CCD	Phase I	3	3	4	2	2	4	19	L	H
116		iii	Form A and 29 (Combined / Multiple)	CCD	Phase I	3	3	4	2	2	4	19	L	H
117		iv	Form B and 29 (Combined / Multiple)	CCD	Phase I	3	3	4	2	2	4	19	L	H
118		v	Form 3 - Return of Allotment(Multiple)	CCD	Phase I	3	3	4	2	2	4	19	L	H
119		vi	Form 4 - Particulars of oral contract relating to shares	CCD	Phase I	3	3	4	2	2	4	19	L	H
120		vii	Form 5 - Statement of the amount or rate per cent of the commission payable in respect of shares / debentures and of the number of the shares / debentures for which persons have agreed to subscribe for absolutely or conditionally	CCD	Phase I	25	2	2		3	2	94	H	L
121		viii	Form 8 - Notice of increase in number of members	CCD	Phase I	6	3	4	6	6	4	41	L	L
122		ix	Form 9 - Notice of the court's order disallowing / confirming the variations of the rights of holders of/ special class of shares	CCD	Phase I	6	3	4	6	6	4	41	L	L
		xi	Change of Company Address	CCD										
123		a	Within same city - Form 21	CCD	Phase I	6	3	4	6	6	4	41	L	H
124		b	From one city to another city within the same province) Form 21 and Form 26	CCD	Phase I	6	3	5	2	2	4	28	L	H
125		xii	Form 24 - Notice of rectification of register of members	CCD	Phase I	7	6	7	2	2	4	45	L	L
126		xiii	Form 25 - Statutory report	CCD	Phase I	7	6	7	2	2	4	45	L	L
127		xiv	Form 26 - Special resolution	CCD	Phase I	7	6	7	2	2	4	45	L	H
128		xv	Filing of Form 27 - internal only	CCD	Phase I	7	6	7	2	2	4	45	L	H
129		xvi	Filing of Form 28 - Internal only	CCD	Phase I	7	6	7	2	2	4	45	L	H
		xvii	Form 29	CCD										
130		a	Appointment/Change of Chief Executive, directors and other officers	CCD	Phase I	10	9	7	4	4	7	52	M	H
131		b	Appointment/Change of CEO	CCD	Phase I	10	9	7	4	4	7	52	M	H
132		c	Appointment/Change of Director	CCD	Phase I	10	9	7	4	4	7	52	M	H
133		d	Appointment/Change of Other Officers	CCD	Phase I	10	9	7	4	4	7	52	M	H
134		xviii	Form 26 and 30 - Resolution passed by members pursuant to section 208	CCD	Phase I	9	8	6	2	2	5	45	L	H
135		xix	Form 33 - Notice of address at which books of accounts are maintained	CCD	Phase I	9	8	6	2	2	4	45	L	M
136		xx	Form 36 - Notice to dissenting shareholders	CCD	Phase I	8	7	6	2	2	4	45	L	L
137		xxi	Form 37 - Information to be furnished in relation to any offer of a scheme or contract involving the transfer of shares or any class of shares in the transferor company to the transferee company	CCD	Phase I	8	7	6	2	2	4	45	L	L
138		xxii	Circular under Section 86(3)	CCD	Phase I	7	7	5	2	2	4	37	L	H
139		xxii	Form ~ 39 - Return showing change in address of the registered or principal office of a foreign company	CCD	Phase I	8	7	6	2	3	4	45	L	H
140		xxiii	Form 40 - Return showing change in particulars of directors, chief executive and secretaries (if any) of a foreign company	CCD	Phase I	8	7	6	2	3	4	45	L	H

141		xxiv	Form - 41 - Change in Particulars of Persons (Principal Officer)	CCD	Phase I	8	7	6	2	3	4	45	L	H
142		xxv	Form 42 - Change in Particulars of Persons (Authorized Person)	CCD	Phase I	8	7	6	2	3	4	45	L	H
143		xxvi	Form - 43 - Change In Foreign Company Place of Business in Pakistan	CCD	Phase I	8	7	6	2	3	4	45	L	H
144		xxvii	Form - 44 - Return of alteration in charter, etc. of a foreign company Change in Foreign Company Charter /Statute/ Memorandum and Article of Association)	CCD	Phase I	8	7	6	2	3	4	45	L	H
145		xxviii	Form -45 - List of places of business established by a foreign company in Pakistan and submission of accounts by foreign companies Establishment of Foreign Company Business Places and Submission of Accounts	CCD	Phase I	8	7	6	2	3	4	45	L	H
146		xxix	Form 46 - Notice by a foreign company on ceasing to have any place of business in Pakistan Foreign Company (Ceasing to have place of business)	CCD	Phase I	8	7	6	2	3	4	45	L	L
147		xxx	Form S-3 - Notice of death of single member (Rule 7 (2)(b) of Single Member Company Rules 2003)	CCD	Phase I	7	6	5	2	2	2	31	L	H
148		xxxi	Form S-5 - Notice for change of status of private company into single member company	CCD	Phase I							6	L	H
149		xxxii	Prospectus - Filing	CCD	Phase II	6	5	3	2	2	3	22	L	H
150		xxxiii	Statement of Compliance for public sector companies in eServices	CCD	Phase II	6	5	3	2	2	3	22	L	H
		4	INSURANCE											
151		i	Regulatory Returns of a Life Insurer	INS	Phase II	1	3	3	4	4	1	6	L	H
		a	Statement of Assets for Solvency Purposes (Form LI)	INS										
		b	Classified Summary of Assets in Pakistan (Form LJ)	INS										
152		ii	Regulatory Returns of a Family Takaful Operator	INS	Phase II	1	3	3	4	4	1	6	L	H
		a	Statement of Assets for Solvency Purposes (Form LJ)	INS										
		b	Classified Summary of Assets in Pakistan (Form LJ)	INS										
153		iii	Annual Audited Accounts of a Non-Life Insurer	INS	Phase II	1	3	3	4	4	1	6	L	H
		a	Statement of Assets and Liabilities (Form GA)	INS										
		b	Statement of Profit and Loss for Shareholders' Account (Form GB)	INS										
		c	Statement of Cash Flows (Form GC)	INS										
		d	Statement of Premiums (Form GD)	INS										
		e	Statement of Claims (Form GE)	INS										
		f	Statement of Expenses (Form GF)	INS										
		g	Statement of Investment Income (Form GG)	INS										
		h	Notes to the Accounts (Form GL)	INS										
154		iv	Annual Audited Accounts of a General Takaful Operator	INS	Phase II	1	3	3	4	4	1	6	L	H
		a	Statement of Assets and Liabilities (Form GA)	INS										
		b	Statement of Profit and Loss for Shareholders' Account (Form GB)	INS										
		c	Statement of Cash Flows (Form GC)	INS										
		d	Statement of Premiums (Form GD)	INS										
		e	Statement of Claims (Form GE)	INS										
		f	Statement of Expenses (Form GF)	INS										
		g	Statement of Investment Income (Form GG)	INS										
		h	Notes to the Accounts (Form GL)	INS										
155		v	Regulatory Returns of a Non-Life Insurer	INS	Phase II	1	3	3	4	4	1	6	L	H
		a	Statement of Claims Analysis (Form GH)	INS										
		b	Statement of Exposures (Form GI)	INS										
		c	Statement of Assets for Solvency Purposes (Form GJ)	INS										
		d	Classified Summary of Assets in Pakistan (Form GK)	INS										
156		vi	Regulatory Returns of a General Takaful Operator	INS	Phase II	1	3	3	4	4	1	6	L	H
		a	Statement of Claims Analysis (Form GH)	INS										
		b	Statement of Exposures (Form GI)	INS										
		c	Statement of Assets for Solvency Purposes (Form GJ)	INS										
		d	Classified Summary of Assets in Pakistan (Form GK)	INS										
157		vii	Regulatory Returns of a Family Takaful Operator	INS	Phase II	1	3	3	4	4	1	6	L	H
		c	Statement of Assets for Solvency Purposes (Form LJ)	INS										
		d	Classified Summary of Assets in Pakistan (Form LJ)	INS										
158		viii	Regulatory Returns of a Life Operator	INS	Phase II	1	3	3	4	4	1	6	L	H
		c	Statement of Assets for Solvency Purposes (Form LJ)	INS										
		d	Classified Summary of Assets in Pakistan (Form LJ)	INS										

159		vii	Financial Condition Report of a Life Insurer / Family Takaful Operator	INS	Phase II	1	3	3	4	4	1	6	L	H
		a	Factors for Determination of Solvency Margin for Life Insurer (Attachment 1 to Annexure III)	INS										
		b	Statement of Solvency Margin - Life Insurers (Attachment II to Annexure III)	INS										
			FOR INVESTMENT LINKED BUSINESS:	INS										
		c	Form LB-1	INS										
		d	Form LB-2	INS										
		e	Form LB-3	INS										
		f	Form DD	INS										
		g	Form DDD	INS										
		h	Form DDDD	INS										
			FOR NON-INVESTMENT LINKED BUSINESS	INS										
		i	Form NLB-1	INS										
		j	Form DD	INS										
		k	Form DDD	INS										
		l	Form DDDD	INS										
			FOR UNIVERSAL LIFE & UNIVERSAL LIFE HYBRID BUSINESS	INS										
		m	Form ULB-1	INS										
		n	Form DD	INS										
		o	Form DDD	INS										
		p	Form DDDD	INS										
			FOR ACCIDENT & HEALTH BUSINESS	INS										
		q	Form NLB-1	INS										
		r	SUMMARY STATEMENTS	INS										
		s	Form H	INS										
		t	Form I	INS										
		u	Statement of Composition & Distribution of Surplus in respect of Policyholders Fund (Form L)	INS										
160		v	Separate Set of Accounts for Insurance Brokers (No Prescribed Format)	INS	Phase II	1	3	3	4	4	4	13	L	H
161		vi	Audit Reports issued by the External Auditors	INS	Phase II	1	3	3	4	4	1	6	L	H
162		vii	Shariah Audit Report (For Takaful Business only)	INS	Phase II	1	3	3	4	4	1	6	L	H
163		5	Cost Audited Accounts of Companies	CSD/CCD	Phase II	7	5	5	2	3	3	28	L	H
164		6	Filing of Notices of Annual or Extra Ordinary General Meeting	CSD/INS	Phase II	1	3	3	4	4	1	6	L	H
165	SCRS Reporting	1	Cash & Balances with Banks in Current and Saving accounts	SCD	Phase I	4	4	2	102	2	75	144	H	H
		2	Deposit with Financial Institutions in form of TDR, COI , COD , COMs etc.	SCD										
		3	Placements (Include Call Money, Letter of Placement)	SCD										
		4	Debt Securities (IFCs , Sukuks, Bonds, Commercial Papers, Pre-IPO amounts to be included)	SCD										
		5	Equity investments (excluding investments in units of Open & Closed end Mutual Funds)	SCD										
		6	Equity Spread Transactions (Ready vs Future)	SCD										
		7	Investment in Funds Under Management	SCD										
		8	Investment in Government Securities	SCD										
		9	Investment in Open and Closed end mutual funds	SCD										
		10	Foreign Investments	SCD										
		11	Investment in Commodities Future	SCD										
		12	Investment in subsidiaries	SCD										
		13	Other Investment	SCD										
		14	Investment in Preference shares	SCD										
		15	Investment in Margin Trading Financing	SCD										
		16	Reverse REPOs	SCD										
		17	Loans and Advances (Top 25 Borrowers Only)	SCD										
		18	Lease Finance Facility / Ijara (Top 25 only)	SCD										
		19	Particulars of Investment Property	SCD										
		20	Other Assets (Advances, deposit, prepayments and other receivables)	SCD										
		21	Accrued Income	SCD										
		22	Due from Associated Undertaking	SCD										
		23	Deposit in form of COIs / CODs / COMs - (Top 25 of Each Category only)	SCD										
		24	Borrowings	SCD										
		25	Other liabilities	SCD										
		26	Commitment and Contingencies	SCD										
		27	Housing Finance Facility - Top 25	SCD										
		28	Operating Assets (Fixed and intangible)	SCD										
		29	Stock in Trade	SCD										
		30	Work in Process	SCD										
		31	Deferred Liabilities	SCD										

		32	Due to Associated Undertakings	SCD										
		33	Trade Debts / Other receivables	SCD										
		34	Placements - Liability	SCD										
		35	Repo	SCD										
		36	Party wise details of the total outstanding liabilities (Top 10)	SCD										
		37	Restructuring / Rescheduling of financial obligations (Top 10)	SCD										
		38	Details of default made on financial obligations	SCD										
		39	Party wise details of total exposure (including loans, leases, shares, TFCs etc.) (Top 10)	SCD										
		40	Details of outstanding exposure to related party (Top 10)	SCD										
		41	Revenue earned from the related parties	SCD										
		42	Cost incurred on account of the related parties	SCD										
		43	Investment in Bill Discounting Business (Top 25)	SCD										
		44	Details pertaining to Micro lending (Top 25 Borrowers Only)	SCD										
		45	Top 10 party / group / sector wise exposures	SCD										
		46	Details of Investments held as Statutory Requirement Against Deposit	SCD										
		47	Details of Brokers / Dealers and Gross Traded Volume of Fund Portfolio Securities	SCD										
		48	Details of the Discretionary / Non discretionary clients (Top 25)	SCD										
		49	Maturity Profile of Balance Sheet Items	SCD										
		50	Details of Classified Assets	SCD										
		51	Movement in Unit Holder for Open End Funds	SCD										
		52	Details of issuance / redemptions during the month	SCD										
		53	Details of the Non-Performing Debt Securities (including COI/COM/TDR/TFC etc.)	SCD										
		54	Details of sales and purchase of the debt securities during the month	SCD										
		55	Details of the top 20 unit holders of Mutual Fund Industry	SCD										
		56	Party wise details of Loans / Lease Reschedules during the month	SCD										
		57	Party wise detail of classified assets (for lease, Loans, Investments, Trade debts and other Assets including receivables Separately following format: (Top 25)	SCD										
		58	Party wise details of Clients Exposures Written Off during the month	SCD										
		59	Deposit raised / rolled over / repaid during the month	SCD										
		60	Borrowings made / repaid during the month	SCD										
		61	Details of credit lines available	SCD										
		62	Details of Top 5 Group Exposures	SCD										
		63	Details of Top 5 Exposure (Lease / Loans)	SCD										
		64	Details of loans / leases disbursed during the month	SCD										
		65	Investment in Un-Listed shares (Ordinary and Preference shares) - Top 10 Investments	SCD										
		66	Details of exposure in top 5 groups (Applicable to Mutual / Pension Funds)	SCD										
		67	Capital Adequacy Ratio	SCD										
		68	Annexures for REIT and Private Funds	SCD										
		69	Daily NAV Collection of all funds.	SCD										
		70	Collection of Unit Holders Data.	SCD										
166	Application for Certified True Copies (CTC)	1	On behalf of company	CCD/CSD/AB/INS/SMD/SCD	Phase I	10	2	2	2	2	2	15	L	H
			By General Public	CCD/CSD/AB/INS/SMD/SCD										
167	Inspection of company record	1	By or on behalf of company	CCD/INS	Phase I	6	6	7	2	3	3	45	L	H
			By the members and General Public	CCD/INS										
			Online application and online inspection	CCD/INS										
			Online application and electronic / physical inspection	CCD/INS										
			Offline application and electronic / physical inspection	CCD/INS										
168	Service Desk Management System (Complaints and Enquiries/Investor Education)	1	Complaints/Enquiries/Investor Education	SDMS	Phase I	10	3	5	3	3	4	28	L	H
		i	Filing	Service Desk										
		ii	Handling	Service Desk										
		iii	Monitoring and Reporting	Service Desk										
		iv	Feedback	Service Desk										
169	Alteration in share capital	1	Increase in authorized capital. Form 7 and Form 26 (Multiple)	CCD	Phase I	7	6	5	5	3	8	51	M	H

170		2	Form 6 - Notice of consolidation, division or sub-division of shares, specifying the shares so consolidated, divided or sub-divided or the cancellation of shares (otherwise than in connection with a reduction of share capital under section 96 of the companies ordinance, 1984)	CCD	Phase I	8	5	5	4	3	2	22	L	M
171		3	Further allotment of shares (Form 3) (Multiple)	CCD	Phase I	7	6	7	5	3	8	59	M	H
172		4	Conversion of redeemable capital (IFC, PTC etc.) into shares	CCD	Phase II	6	6	7	2	3	3	45	L	M
173		5	Reduction in shares capital under the court order	CCD	Phase II	6	6	7	2	3	3	45	L	L
174		6	Reduction in shares capital on redemption of redeemable shares	CCD	Phase II	6	6	7	2	3	3	45	L	L
175		7	Reduction in shares capital on buy back of shares (if the shares are cancelled) (Section 95A)	CCD	Phase II	6	6	7	2	3	3	45	L	L
176	Off-site Surveillance and monitoring	1	Offsite review process for preparation of report based on ICRS	INS	Phase I	3	3	4	3	3	5	19	L	H
177		2	Offsite of accounts and notices of listed Companies	CSD	Phase II	5	10	10	5	10	10	56	M	H
178		3	Offsite of accounts non-listed Companies	CSD	Phase II	5	10	10	5	10	10	56	M	H
179		4	Corporate Debt Market Reporting System : (CDMRS)	SMD	Phase I	15	12	2	7	4	11	100	H	H
180		5	Financial reporting system by Brokers ("FRS")	SMD	Phase I	15	12	3	30	5	30	169	H	H
181	On-site Inspection	1	Trading Data and GL Analysis &Inspections of the Regulated Entities	SCD	Phase II	10	5	3	8	3	5	28	L	M
182		2	Inspections of the Regulated Entities	SMD	Phase II	20	2	1	2	3	1	25	L	L
183		3	Inspection u/s. 231 of CO, 1984	CCD/CSD/INS	Phase II	10	6	6	2	3	3	45	L	H
184		4	Compliance Visit u/s. 84 of the Insurance Ordinance, 2000	INS	Phase II	19	5	5	6	6	5	51	M	H
185		5	Inspection u/s. 110 of the Insurance Ordinance, 2000	INS	Phase II	19	8	8	10	10	8	75	H	H
186		6	Inspection u/s. 59A of the Insurance Ordinance, 2000	INS	Phase II	19	8	8	10	10	8	75	H	H
187	Investigation – Inquiries	1	Investigation on application u/s. 263	CCD/CSD/INS	Phase II	10	6	6	2	3	3	45	L	H
188		2	Inquiry under section 261 of CO 1984	CCD	Phase II	10	6	6	2	3	3	45	L	H
189		3	Investigation by the Commission (Suo-moto) u/s. 265	CCD/CSD/INS/SCD	Phase II	10	2	2	2	2	2	15	L	H
190		4	Inquiries, Investigation under securities act	SMD	Phase II	4	0	1	1	4	1	6	L	L
191		5	Investigation under Section 59 of the Insurance Ordinance, 2000	INS	Phase II	19	8	8	10	10	8	75	H	H
192	Directions and Directives	1	Direction u/s. 170 of the C.O. 1984	CCD/CSD/INS/SCD	Phase II	10	2	2	2	2	2	15	L	H
193		2	Direction u/s. 472 of the C.O. 1984	CCD/CSD/INS/SCD	Phase II	10	2	2	2	2	2	15	L	H
194	Appeal and Revision	1	Appeal against refusal for registration of transfer or transmission of shares of a private or unlisted public company, (Section 78A)	CCD	Phase II	7	6	5	2	2	3	37	L	M
195		2	Appeal against the order of an Additional Registrar, Joint Registrar, Deputy Registrar or an Assistant Registrar. (Section 468)	CCD	Phase II	7	6	5	2	2	3	37	L	H
196		3	Appeal against the order passed or upheld by the Registrar in appeal. (Section 468)	CCD	Phase II	7	6	5	2	2	3	37	L	H
197		4	Appeal u/s. 477	CCD/CSD/INS	Phase II	10	2	2	2	2	2	15	L	H
198		5	Revision application under Section 484.	CCD/CSD/INS/SCD	Phase II	15	14	2	1	2	1	44	L	M
199		6	Appeal under Modaraba Ordinance	SCD	Phase II	16	13	2	1	2	1	44	L	L
200		7	Appeal to the Appellant Bench under section 33	AB	Phase II	12	6	3	9	3	5	47	L	H
201	Adjudication and Review	1	Imposition of fine and other penalties for the defaults	CCD/CSD/INS/SMD/SCD	Phase II	10	2	2	5	5	2	28	L	H
202		2	Suspension of licence/registration	CCD/SCD/INS/SMD	Phase II	15	11	2	1	2	1	44	L	L
203		3	Cancellation of licence/registration	CCD/SCD/INS/SMD	Phase II	15	11	2	1	2	1	44	L	M
204		4	Review application	CCD/SCD/INS/SCD	Phase II	3	5	2	1	2	1	6	L	M
	Merger and amalgamation	1	Company											
205		i	An interface for consolidation of record of "Transferor Company" into "Transferee Company"	CCD	Phase II	11	11	13	3	3	5	100	H	H
206		ii	Review of scheme of arrangement of Listed and Non-Listed Companies other than Banks and NBFCs	CSD/CCD/PLAD	Phase II	10	2	2	2	2	2	15	L	H
		iii	Merger of NBFCs	SCD	Phase II	22	15	2	1	2	1	44	L	L
207		2	Funds		Phase II									
208		i	To approve division or amalgamation of statutory funds. (Section 14(8) of the Insurance Ordinance, 2000)	INS	Phase II	3	3	3	2	2	2	6	L	L
209		ii	Merger of Notified Entities	SCD	Phase II	18	14	2	1	2	1	44	L	L
210	Dissolution of Company	1	Companies Easy Exit Scheme (CEES)	CCD	Phase I	11	11	6	3	3	6	72	H	H
211		2	Striking off the company name from register of Companies	CCD	Phase II	11	11	6	3	3	6	72	H	H
		i	Under Section 439	CCD										
		ii	Under Section 8 of the T.O. Act 2013	CCD										
		iii	Any other ground.	CCD										
212		3	Voluntary winding up	CCD	Phase II	11	11	6	3	3	6	72	H	H
		i	By members	CCD										
		ii	By creditors	CCD										
213		4	Winding up by court – Internal	CCD	Phase II	9	7	5	2	2	3	37	L	L
214	Restoration of company, license and registration	1	Restoration of company u/s. 439.	CCD	Phase II	9	7	6	3	3	5	45	L	H
		i	On application by the company u/s. 439(9)	CCD										
		ii	Under the Court order u/s. 439(6)	CCD										

		iii	Under the Court order u/s. 429	CCD										
		iv	Any other ground	CCD										
215		2	Restoration of licence and registration	SMD/SCD	Phase II	20	12	3	4	4	2	44	L	L
216	Correspondence	i	All inter-department and external correspondence	All Dept.	Phase II	8	5	3	5	5	3	35	L	H
217	Advisory	1	PLAD Advisory		Phase II	10	5	5	5	5	3	41	L	H
		i.	Opinion on various issues referred by the different departments/division	All Dept.										
		ii.	Drafting and vetting of contracts, letters, general and special orders etc	All Dept.										
218		2	Reviewing Trust Deeds, Offering Documents and Prospectus for the Shari'ah oversight role.	IFD	Phase II	5	2	3	3	3	5	13	L	H
219		3	Proposing suggestions Regarding Shari'ah in the drafted laws and exposure drafts.	IFD	Phase II	10	5	5	5	5	3	41	L	H
220	Legislation	1	Primary Legislation	All Dept.	Phase II	10	5	5	5	5	3	41	L	H
		i	Proposed legislation for legal research, review and vetting	All Dept.										
		ii	Proposed amendments in existing laws administered by the Commission for legal research, review and vetting	All Dept.										
		2	Rules	All Dept.										
		i	Proposed rules for legal research, review and vetting	All Dept.										
		ii	Proposed amendments in existing rules for legal research, review and vetting	All Dept.										
		3	Regulations	All Dept.										
		i	Proposed regulations for legal research, review and vetting	All Dept.										
		ii	Proposed amendments in existing regulations for legal research, review and vetting	All Dept.										
		4	Code/Guidelines/Notifications etc	All Dept.										
		i	Proposed codes/guidelines and legal review and vetting of notifications/circular etc	All Dept.										
		5	Assignments referred by the Federal Ministries											
		i.	Primary and secondary legislation, Bilateral Investment Treaties (BITs), Memorandums of Understanding (MOUs), etc.	National & International										
221	Miscellaneous	1	Miscellaneous for ONLINE submission	CCD/INS	Phase I	5	6	5	2	2	3	28	L	M
		i	With payment	CCD/INS										
		ii	Without payment (internal)	CCD/INS										
222	Refund of fee	1	Application for refund of fee.	CCD/INS	Phase I	6	5	6	2	2	5	36	L	M
223	File Management System	1	File management module for record room (only for internal users)	All Dept.	Phase II	5	5	3	3	3	3	13	L	H
224	RRDB	1	Development of Data Rectification System (DRS) for quick data updating as already requested by the CCD. (internal only)	CCD	Phase I	5	3	11	2	2	3	62	M	H
225	Regulatory Fee	1	Regulatory Fees under the NBFC and Notified Entities related laws	SCD	Phase II	9	8	2	1	1	1	24	L	H
226	Regulatory Fee	2	Annual Supervision Fee under the Insurance Ordinance	INS	Phase II	3	4	3	4	4	2	6	L	H
227		3	Federal Insurance Fee under the Insurance Ordinance	INS	Phase II	3	4	3	4	4	2	6	L	H
228	Surveillance of Accounts & AGM of Listed Companies.	1	Sectoral aand Risk Analysis	CSD	Phase II	5	10	10	10	10	10	56	M	H
229		2	Timely holding of AGM analysis	CSD	Phase II	5	10	10	10	10	10	56	M	H
230	Commission Secretariat Management System			Comm. Sec.	Phase II	12	7	4	12	10	10	68	M	H
		1	Receipt/Examination & circulation of all working papers	Comm. Sec.										
		2	Issuance of notices	Comm. Sec.										
		3	Agenda of meetings	Comm. Sec.										
		4	Inclusion of any other business during meeting	Comm. Sec.										
		5	Proceedings of meeting	Comm. Sec.										
		6	Preparation of minutes	Comm. Sec.										
		7	Review and finalization of minutes	Comm. Sec.										
		8	Clearance of minutes by the Chairman	Comm. Sec.										
		9	Circulation of minutes to Commissioners	Comm. Sec.										
		10	Confirmation of minutes	Comm. Sec.										
		11	Follow up of previous decisions	Comm. Sec.										
231	Prosecution and Civil Litigation Management System	1	Initiating Civil Proceedings	Referring Department and PLAD	Phase II	10	5	5	5	5	3	41	L	H
		i	Case referral Note (Form 1) ("CRN")											
		ii.	Case assessment Note (Form-2) ("CAN")											
		iii.	Pre-litigation advice											
		iv.	Decision for litigation (Form-3)											

		v.	Decision in respect of CRN and CAN (Form-4)											
		vi.	Approval for appointment of counsel											
		vii.	Filing in the court											
		2	Initiating Criminal Proceedings	Referring Department										
		i.	Case referral Note (Form 1) ("CRN")											
		ii.	Opinion in respect of initiating criminal proceeding (Form 5)											
		iii.	Authorization for filing criminal proceeding											
		iv.	Filing in the Court	PLAD										
		3	Defending a Case	Defending Department										
		i.	Case defending Note ("CDN") (Form 7)											
		ii.	Assigning the case to a litigation Officer (Form 8)	PLAD										
		iii.	Filing comments in Court (Form-18)	PLAD										
		4	Engagement of external Counsel and payment of professional fee	PLAD										
		i	Approval as per Delegation of Financial Authority ("DFA")	PLAD										
		ii.	Issuance of appointment letter to external Counsel (Form 9)	PLAD										
		iii.	Advance 50% professional fee (Form 11)	PLAD										
		iv.	Letter forwarding payment to the Counsel (Form 12)	PLAD										
		v.	Payment of balance fee to the Counsel (Form 13)	PLAD										
		vi.	Termination of services of the external counsel (Form-14 & 15)	PLAD										
		vii.	Case rassigning note (Form-17)	PLAD										
		5	Closing of case	PLAD										
		i.	Note for intimation of orders (Form-19)	PLAD										
		ii.	Follow up actions required to be taken pursuant to orders	PLAD										
		iii.	Appeal process against final/interim order	PLAD										
		iv.	CCIS updation	PLAD										
		6	Reporting requirements	PLAD										
		i.	Departmental litigation progress report (Form 21)	PLAD										
		ii.	Consolidated litigation report (Form 22)	PLAD										
232	Purchase Process	1	End to End Solution	Admin	Phase II	12	8	4	5	5	5	60	M	M
233	Vehicle Fleet Management System	1	End to End Solution	Admin	Phase II	8	6	2	4	3	3	31	L	M
234	Travel Desk Management System	1	End to End Solution	Admin	Phase II	4	2	2	3	3	2	6	L	M
				Total Processes (Phase I) :		92								
				Total Processes (Phase II) :		142								