

**Disciplinary Register - Participants**  
**Under Regulation 14.6.1 of the CDC Regulations**

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason
1	Nayyar Securities (Pvt.) Limited	Terminated	30-Aug-19	Voluntary Termination
2	Haz Abul Fatah Securities (Pvt.) Limited	Terminated	30-Aug-19	Voluntary Termination
3	M H Securities (Private) Limited	Terminated	27-Aug-19	Voluntary Termination
4	R.F.J. Equity (Private) Limited	Terminated	21-Aug-19	Voluntary Termination
5	Zahid Latif Khan Securities (Pvt.) Limited	Censure Letter	8-Aug-19	Non-Compliance of CDC Regulations
6	Memon Securities (Pvt.) Limited	Censure Letter	8-Aug-19	Non-Compliance of CDC Regulations
7	Real Securities (Pvt.) Ltd	Censure Letter	8-Aug-19	Non-Compliance of CDC Regulations
8	Mashallah Securities (Pvt) Limited	Censure Letter	13-Jul-19	Non-Compliance of CDC Regulations
9	Masan Securities (Private) Limited	Censure Letter	26-Jul-19	Non-Compliance of CDC Regulations
10	Shajepak Securities (Pvt) Limited	Censure Letter	26-Jul-19	Non-Compliance of CDC Regulations
11	Nayyar Sheikh Securities (Pvt) Ltd.	Censure Letter	26-Jul-19	Non-Compliance of CDC Regulations
12	Khawaja Securities (Pvt.) Limited	Censure Letter	25-Jul-19	Non-Compliance of CDC Regulations
13	IAK Securities (Pvt.) Limited	Removal of Restrictions	18-Jul-19	Consequent to restoration of trading terminals of Participant by PSX, as notified by PSX vide notice no. PSX/N-876 dated July 17, 2019.
14	IAK Securities (Pvt.) Limited	Restricted	16-Jul-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-872 dated July 16, 2019.
15	Tagline Securities Limited	Censure Letter	15-Jul-19	Non-Compliance of CDC Regulations
16	Alta All Habib Securities (Pvt.) Limited	Censure Letter	15-Jul-19	Non-Compliance of CDC Regulations
17	Azee Securities (Private) Limited	Removal of Suspension	15-Jul-19	Due to removal of suspension of Participant by NCPL as notified vide notice no. NCPL/CNO/104/19 dated July 15, 2019.
18	IF Securities (Private) Limited	Restricted	15-Jul-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-867 dated July 15, 2019.
19	Azee Securities (Private) Limited	Suspended	15-Jul-19	Consequent to the suspension of Participant by NCPL as notified vide notice no. NCPL/CNO/103/19 dated July 15, 2019.
20	Alfiah Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Jul-19	Non-Compliance of CDC Regulations
21	Taurus Securities Limited	Notice of Restriction & Censure	9-Jul-19	Non-Compliance of CDC Regulations
22	Refiance Securities Limited	Removal of Restrictions	28-Jun-19	Consequent to restoration of trading terminals of Participant by PSX, as notified by PSX vide notice no. PSX/N-863 dated June 28, 2019.
23	Dawood Equities Limited	Suspended	26-Jun-19	Consequent to the suspension of Participant by NCPL as notified vide notice no. NCPL/CNO/92/19 dated June 26, 2019.
24	Dawood Equities Limited	Removal of Suspension	26-Jun-19	Due to removal of suspension of Participant by NCPL as notified vide notice no. NCPL/CNO/93/19 dated June 26, 2019.
25	OMA Securities (Pvt.) Limited	Notice in respect of Participant	21-Jun-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.
26	Refiance Securities Limited	Restricted	18-Jun-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-745 dated June 18, 2019.
27	Gigaresh Islamic Financial Services (Private)	Terminated	11-Jun-19	Voluntary Termination
28	Standard Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	31-May-19	Non-Compliance of CDC Regulations
29	Din Capital Limited	Censure Letter	31-May-19	Non-Compliance of CDC Regulations
30	Azee Securities (Private) Limited	Notice of Restriction & Censure	30-May-19	Non-Compliance of CDC Regulations
31	Niri Securities (Pvt.) Limited	Censure Letter	30-May-19	Non-Compliance of CDC Regulations
32	R.T. Securities (Pvt.) Limited	Notice of Restriction & Censure	30-May-19	Non-Compliance of CDC Regulations
33	Khudm Al Shah Buhait Securities (Pvt.) Limited	Notice of Restriction & Censure	28-May-19	Non-Compliance of CDC Regulations
34	A. H. M. Securities (Pvt.) Limited	Notice of Restriction & Censure	28-May-19	Non-Compliance of CDC Regulations
35	Omni Capital Management (Private) Limited	Terminated	23-May-19	Voluntary Termination
36	First Capital Equities Limited	Removal of Restriction	21-May-19	Consequent to restoration of trading terminals of Participant by PSX, as notified by PSX vide notice no. PSX/N-638 dated May 21, 2019.
37	First Capital Equities Limited	Restricted	16-May-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-622 dated May 16, 2019.
38	Azee Securities (Private) Limited	Suspended	14-May-19	Consequent to the suspension by NCPL as notified vide notice no. NCPL/CNO/88/19 dated May 14, 2019.
39	Azee Securities (Private) Limited	Removal of Suspension	14-May-19	Consequent to removal of suspension by NCPL as notified vide notice no. NCPL/CNO/89/19 dated May 14, 2019.
40	KSR Stock Brokerage (Pvt) Limited	Terminated	13-May-19	Voluntary Termination
41	Azee Securities (Private) Limited	Suspended	9-May-19	Consequent to the suspension by NCPL as notified vide notice no. NCPL/CNO/84/19 dated May 09, 2019.
42	Azee Securities (Private) Limited	Removal of Suspension	9-May-19	Consequent to removal of suspension by NCPL as notified vide notice no. NCPL/CNO/85/19 dated May 09, 2019.
43	Spectrum Securities Limited	Notice of Restriction & Censure	9-May-19	Non-Compliance of CDC Regulations
44	Reaming Investment & Securities (Private) Limited	Notice in respect of Participant	7-May-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.
45	SAI Securities (Pvt) Limited	Terminated	2-May-19	Voluntary Termination
46	Investment Securities Limited	Notice of Restriction & Censure	30-Apr-19	Non-Compliance of CDC Regulations
47	Royal Securities (Pvt.) Limited	Censure Letter	29-Apr-19	Non-Compliance of CDC Regulations
48	EPG Hermes Pakistan Limited	Notice of Restriction & Censure	29-Apr-19	Non-Compliance of CDC Regulations
49	Casim Investment (Private) Limited	Terminated	19-Apr-19	Voluntary Termination
50	OMA Securities (Pvt) Limited	Suspended	9-Apr-19	Due to non-compliance of 6.8.2 of CDC Regulations after completing 60 Business Days of restrictions.
51	Reaming Investment & Securities (Private) Limited	Suspended	26-Mar-19	Due to non-compliance of 6.8.2 of CDC Regulations after completing 60 Business Days of restrictions.
52	First Fidelity Leasing Murabaha	Suspended	26-Mar-19	Due to non-compliance of 6.8.2 of CDC Regulations after completing 60 Business Days of restrictions.
53	Millennium Securities & Investments (Private) Limited	Suspended	26-Mar-19	Due to non-compliance of 6.8.2 of CDC Regulations after completing 60 Business Days of restrictions.
54	Gigaresh Islamic Financial Services (Private) Limited	Suspended	26-Mar-19	Due to non-compliance of 6.8.2 of CDC Regulations after completing 60 Business Days of restrictions.
55	IMAC Investments (Private) Ltd.	Suspended	26-Mar-19	Due to non-compliance of 6.8.2 of CDC Regulations after completing 60 Business Days of restrictions.
56	First Pakistan Securities Limited	Suspended	26-Mar-19	Due to non-compliance of 6.8.2 of CDC Regulations after completing 60 Business Days of restrictions.
57	Multiline Securities (Pvt.) Limited	Censure Letter	22-Mar-19	Non-Compliance of CDC Regulations
58	Seven Star Securities (Pvt.) Limited	Censure Letter	22-Mar-19	Non-Compliance of CDC Regulations
59	Vector Securities (Pvt.) Limited	Censure Letter	22-Mar-19	Non-Compliance of CDC Regulations
60	Muhammad Ashfaq Hussain Securities (Pvt.) Limited	Notice of Restriction & Censure	22-Mar-19	Non-Compliance of CDC Regulations
61	Prime Securities (Pvt.) Limited	Censure Letter	22-Mar-19	Non-Compliance of CDC Regulations
62	Saes Capital (Pvt.) Limited	Censure Letter	22-Mar-19	Non-Compliance of CDC Regulations
63	IAK Securities (Pvt.) Limited	Removal of Restrictions	22-Mar-19	Consequent to restoration of trading terminals of Participant by PSX with effect from Monday, March 25, 2019, as notified by PSX vide notice no. PSX/N-147 dated March 22, 2019.
64	Pine Securities (Private) Limited	Terminated	22-Mar-19	Voluntary Termination
65	RUC Securities (Pvt) Limited	Restricted	18-Mar-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-293 dated March 15, 2019.
66	IAK Securities (Pvt) Limited	Restricted	18-Mar-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-293 dated March 15, 2019.
67	M.F Stocks (Pvt) Limited	Restricted	18-Mar-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-293 dated March 15, 2019.
68	Best Securities Pvt Ltd	Censure Letter	28-Feb-19	Non-Compliance of CDC Regulations
69	Refiance Securities Limited	Censure Letter	28-Feb-19	Non-Compliance of CDC Regulations
70	Shuran Securities (Pvt.) Limited	Censure Letter	27-Feb-19	Non-Compliance of CDC Regulations
71	N.U.A Securities (Pvt.) Limited	Censure Letter	27-Feb-19	Non-Compliance of CDC Regulations
72	Flare's (Pvt.) Limited	Censure Letter	27-Feb-19	Non-Compliance of CDC Regulations
73	Insight Securities (Pvt.) Limited	Censure Letter	27-Feb-19	Non-Compliance of CDC Regulations
74	AMCAP Securities (Private) Limited - Ltd	Notice of Restriction & Censure	22-Feb-19	Non-Compliance of CDC Regulations
75	Habib Metropolitan Financial Services Limited	Notice of Restriction & Censure	22-Feb-19	Non-Compliance of CDC Regulations
76	AMCAP Securities (Private) Limited	Suspended	22-Feb-19	Consequent to the suspension by NCPL as notified vide notice no. NCPL/CNO/129/19 dated February 22, 2019.
77	Maha Securities (Pvt.) Limited	Notice in respect of Participant	22-Feb-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.
78	Invest Capital Markets Limited	Terminated	21-Feb-19	Consequent to the forfeiture of the Certificate of the Participant by PSX vide notice no. PSX/N-207 dated February 21, 2019.
79	12B Securities (Private) Limited	Removal of Restriction for opening office Sub-Account	18-Feb-19	Consequent to removal of restriction for the opening of new client accounts by the PSX as notified by PSX vide notice no. PSX/N-184 dated February 18, 2019.
80	South Asian Securities (Private) Limited	Restricted	18-Feb-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-293 dated February 18, 2019.
81	P.M. Securities (Pvt.) Ltd. - Ltd	Notice of Restriction & Censure	15-Feb-19	Non-Compliance of CDC Regulations
82	Growth Securities (Pvt) Ltd.	Notice of Restriction & Censure	13-Feb-19	Non-Compliance of CDC Regulations
83	JSK Securities Limited	Censure Letter	13-Feb-19	Non-Compliance of CDC Regulations
84	Millennium Brokerage (Pvt.) Limited	Censure Letter	13-Feb-19	Non-Compliance of CDC Regulations
85	Pearl Brokerage (Private) Limited	Terminated	11-Jan-19	Voluntary Termination
86	Datal Securities (Pvt) Ltd.	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations
87	Galaxy Capital Securities (Pvt) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations
88	Parway Securities (Pvt.) Limited	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations
89	Shajar Capital Pakistan (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations
90	Fawaz Yousef Securities (Pvt.) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations
91	ASIA Stocks (Pvt.) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations
92	Foundation Securities (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations
93	N.U.A Securities (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations
94	Muhammad Salim Kamran Securities (Pvt.) Ltd.	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations
95	Alkhai & Company (Private) Limited	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations
96	Amir Waheed Securities (Private) Limited	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations
97	ABM Securities (Pvt) Limited	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations
98	Salma Qasim Securities (Pvt) Limited	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations

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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason
99	Jawed Inhof Securities (Pvt.) Ltd.	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations
100	Chevali Stock Services (Pvt) Limited	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations
101	Alfa Afta Securities (Pvt) Ltd.	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations
102	12B Securities (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations
103	HMAC Stocks (Private) Limited	Removal of Restriction	23-Jan-19	Consequent to restoration of trading terminals of Participant by PSX with immediate effect as notified by PSX vide notice no. PSX/N-75 dated January 23, 2019.
104	AVF Habb Limited	Notice of Restriction & Censure	22-Jan-19	Non-Compliance of CDC Regulations
105	K.H.S. Securities (Pvt.) Limited	Removal of Restriction	21-Jan-19	Consequent to restoration of trading terminals of Participant by PSX with immediate effect as notified by PSX vide notice no. PSX/N-64 dated January 21, 2019.
106	Fair Deal Securities (Private) Limited	Terminated	16-Jan-19	Voluntary Termination
107	HMAC Stocks (Private) Limited	Restricted	16-Jan-19	Consequent to switching off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-44 dated January 16, 2019.
108	K.H.S. Securities (Pvt.) Limited	Restricted	16-Jan-19	Consequent to switching off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-44 dated January 16, 2019.
109	CMA Securities (Pvt.) Limited	Restricted	15-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
110	KSR Stock Brokerage (Pvt) Ltd.	Removal of Restriction	15-Jan-19	Participant has complied with the Regulation 6.8.2
111	Fair Deal Securities (Pvt) Ltd.	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
112	Beaming Investment & Securities (Private) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
113	Maha Securities (Pvt.) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
114	Invest Capital Markets Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
115	SMAC Investments (Private) Ltd.	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
116	KSR Stock Brokerage (Pvt) Ltd.	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
117	First Pakistan Securities Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
118	Dhyanah Islamic Finance Services (Private) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
119	MIRIAM Securities & Investments (Private) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
120	First Fidelity Leasing Motorcars	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
121	Sigma Leasing Corporation Limited	Suspended	31-Dec-18	Failure to settle the CDC outstanding dues.
122	South Asian Securities (Private) Limited	Removal of Suspension	21-Dec-18	Consequent to switching off of the trading terminals by PSX with immediate effect vide notice no. PSX/N-6554 dated December 21, 2018.
123	igfal urman Redoubt Securities (Pvt.) Limited	Censure Letter	20-Dec-18	Non-Compliance of CDC Regulations
124	HUC Securities (Private) Limited	Removal of Restriction	18-Dec-18	Consequent to restoration of trading terminals of Participant by PSX with immediate effect as notified by PSX vide notice no. PSX/N-6529 dated December 18, 2018.
125	SMI Capital Securities (Pvt.) Limited	Censure Letter	14-Dec-18	Non-Compliance of CDC Regulations
126	Oriental Securities (Pvt.) Limited	Censure Letter	14-Dec-18	Non-Compliance of CDC Regulations
127	Apex Capital Securities (Pvt) Limited	Censure Letter	14-Dec-18	Non-Compliance of CDC Regulations
128	Time Securities (Pvt.) Limited	Censure Letter	14-Dec-18	Non-Compliance of CDC Regulations
129	JS Bank Limited	Censure Letter	14-Dec-18	Non-Compliance of CDC Regulations
130	Guinea Securities (Private) Limited	Removal of CDC Not co-dated	13-Dec-18	Participant has complied with Regulation 6.8.1 of the CDC Regulations.
131	MIRA Securities Limited	Notice of Restriction & Censure	30-Nov-18	Non-Compliance of CDC Regulations
132	Chaudhry Capital Securities (Pvt.) Limited	Censure Letter	30-Nov-18	Non-Compliance of CDC Regulations
133	JS & B Securities (Pvt.) Limited	Censure Letter	30-Nov-18	Non-Compliance of CDC Regulations
134	Alhaz Securities (Pvt.) Limited	Censure Letter	30-Nov-18	Non-Compliance of CDC Regulations
135	Surmawala Securities (Pvt.) Limited	Censure Letter	30-Nov-18	Non-Compliance of CDC Regulations
136	Tariq Sayeed Securities (Private) Limited	Removal of Suspension	29-Nov-18	Consequent to removal of suspension by NCPL as notified vide notice no. NCPL/CNO/217/18 dated November 28, 2018 and restoration of trading terminals by PSX as notified vide notice no. PSX/N-6419 dated November 16, 2018.
137	ABJ Global Capital (Pvt.) Limited	Censure Letter	23-Nov-18	Non-Compliance of CDC Regulations
138	Jahanzab Securities (Pvt) Limited	Terminated	23-Nov-18	Voluntary Termination
139	Bhayan Securities (Pvt) Ltd.	Notice of Restriction & Censure	22-Nov-18	Non-Compliance of CDC Regulations
140	Nael Capital (Pvt) Ltd.	Notice of Restriction & Censure	22-Nov-18	Non-Compliance of CDC Regulations
141	TS Securities (Pvt) Ltd.	Notice of imposition of Penalty	22-Nov-18	Non-Compliance of CDC Regulations
142	Steward Equities Limited	Notice of Restriction & Censure	22-Nov-18	Non-Compliance of CDC Regulations
143	TS Securities (Pvt) Ltd.	Imposition of Penalty	22-Nov-18	Penalty imposed on non-compliance highlighted in inspection of Participant Record
144	Khayyam Securities (Private) Limited	Terminated	16-Nov-18	Voluntary Termination
145	AM Chaudhary Securities (Private) Limited	Removal of Suspension	16-Nov-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-6413 dated November 15, 2018.
146	HUC Securities (Private) Limited	Restricted	16-Nov-18	Consequent to switching off of the trading terminals by PSX vide notice no. PSX/N-6418 dated November 16, 2018.
147	Monayline Securities (Pvt.) Limited	Censure Letter	15-Nov-18	Non-Compliance of CDC Regulations
148	Gul Dhami Securities (Pvt.) Limited	Censure Letter	15-Nov-18	Non-Compliance of CDC Regulations
149	CMA Securities (Pvt.) Limited	Censure Letter	15-Nov-18	Non-Compliance of CDC Regulations
150	Musavi Securities (Private) Limited	Censure Letter	12-Nov-18	Non-Compliance of CDC Regulations
151	O. Ali Phoenix Securities (Private) Limited	Censure Letter	12-Nov-18	Non-Compliance of CDC Regulations
152	Friendly Securities (Pvt) Ltd.	Censure Letter	9-Nov-18	Non-Compliance of CDC Regulations
153	Shaffi Securities (Pvt.) Limited	Censure Letter	9-Nov-18	Non-Compliance of CDC Regulations
154	CASIM Investments (Pvt.) Limited	Censure Letter	9-Nov-18	Non-Compliance of CDC Regulations
155	Khawaja Securities (Pvt.) Limited	Censure Letter	9-Nov-18	Non-Compliance of CDC Regulations
156	J.B. Securities (Private) Limited	Restricted	26-Oct-18	Consequent to switching off of the trading terminals by PSX vide notice no. PSX/N-6381 dated October 26, 2018.
157	Apert Securities Limited	Removal of Restriction	25-Oct-18	Consequent to restoration of trading terminals of Participant by PSX with effect from October 25, 2018 as notified by PSX vide notice no. PSX/N-6381 dated October 24, 2018.
158	IGI Investment Bank Limited	Terminated	22-Oct-18	Voluntary Termination
159	Salim Saeer Securities (Pvt.) Limited	Suspended	17-Oct-18	Consequent to the suspension by NCPL as notified vide notice no. NCPL/CNO/154/18 dated October 17, 2018.
160	Salim Saeer Securities (Pvt.) Limited	Removal of Suspension	17-Oct-18	Consequent to removal of suspension by NCPL as notified vide notice no. NCPL/CNO/161/18 dated October 17, 2018.
161	A.S. Securities (Pvt.) Limited	Restricted	16-Oct-18	Consequent to switching off of the trading terminals by PSX vide notice no. PSX/N-6081 dated October 16, 2018.
162	CAKCO (Pvt) Limited	Removal of Restriction	12-Oct-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-6007 dated October 11, 2018.
163	Farrada Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations
164	Linex Securities (Pvt) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations
165	Optimus Capital Management (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations
166	FFG Hermes Pakistan Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations
167	FSM Capital Securities (Pvt) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations
168	Cassim Investments (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations
169	Market 786 (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations
170	First Capital Equities Limited	Suspended	9-Oct-18	Consequent to the suspension by NCPL as notified vide notice no. NCPL/CNO/175/18 dated October 09, 2018.
171	First Capital Equities Limited	Removal of Suspension	9-Oct-18	Consequent to removal of suspension by NCPL as notified vide notice no. NCPL/CNO/176/18 dated October 09, 2018.
172	INA Securities (Pvt) Limited	Removal of Restriction	9-Oct-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-5917 dated October 09, 2018.
173	Sunmi Bank Limited - Sunmi Custodial Services	Censure Letter	5-Oct-18	Non-Compliance of CDC Regulations
174	MGM Securities (Private) Limited	Censure Letter	2-Oct-18	Non-Compliance of CDC Regulations
175	Fair Deal Securities (Pvt) Ltd.	Censure Letter	2-Oct-18	Non-Compliance of CDC Regulations
176	Riaz Ahmed Securities (Pvt) Ltd.	Censure Letter	2-Oct-18	Non-Compliance of CDC Regulations
177	Avif Laif Securities (Pvt) Ltd.	Censure Letter	2-Oct-18	Non-Compliance of CDC Regulations
178	Trust Securities & Brokerage Limited	Censure Letter	2-Oct-18	Non-Compliance of CDC Regulations
179	MGM Securities (Pvt.) Ltd.	Notice of Restriction & Censure	2-Oct-18	Non-Compliance of CDC Regulations
180	Zahid Laif Khan Securities (Pvt.) Limited	Notice of Restriction & Censure	25-Sep-18	Non-Compliance of CDC Regulations
181	CMA Securities (Pvt.) Limited	Restricted	19-Sep-18	Consequent to switching off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-6351 dated September 18, 2018.
182	SMAC Investments (Private) Limited	Restricted	19-Sep-18	Consequent to switching off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-6351 dated September 18, 2018.
183	CAKCO (Pvt.) Limited	Restricted	19-Sep-18	Consequent to switching off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-6351 dated September 18, 2018.
184	Apex Capital Securities (Private) Limited	Removal of Restriction	19-Sep-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-6344 dated September 18, 2018.
185	MSD Capital Equities (Pvt.) Limited	Removal of Restriction	19-Sep-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-6344 dated September 18, 2018.
186	Apex Capital Securities (Private) Limited	Restricted	18-Sep-18	Consequent to switching off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-6310 dated September 18, 2018.

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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason
187	INA Securities (Pvt) Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.
188	MSD Capital Equities (Pvt.) Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.
189	Agent Securities Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.
190	Progressive Investment Management (Pvt.) Ltd.	Removal of Restriction	18-Sep-18	Participant has removed causes of Restrictions
191	Nest Capital Limited	Notice of Restriction & Censure	18-Sep-18	Non-Compliance of CDC Regulations
192	Horizon Securities Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations
193	WE Financial Services Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations
194	Elavir Securities Pakistan (Pvt.) Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations
195	First Capital Equities Limited	Notice of Restriction & Censure	18-Sep-18	Non-Compliance of CDC Regulations
196	Qaroon Securities (Pvt.) Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations
197	Invest Forum (Private) Limited	Terminated	17-Sep-18	Voluntary Termination
198	Progressive Investment Management (Pvt.) Ltd.	Restricted	14-Sep-18	Due to contravention of Section 24 of CO Act 1997 read with Regulation 6.7 of the CDC Regulations
199	AMCAP Securities (Private) Limited	Further revised Restriction	13-Sep-18	Due to the Prohibitory Order by SECP vide Order dated September 13, 2018
200	First National Equities Limited	Notice of Restriction & Censure	12-Sep-18	Non-Compliance of CDC Regulations
201	AMCAP Securities (Private) Limited	Revised Notice of Restriction	10-Sep-18	Consequent to suspension of the trading terminals of Participant by PSX vide notice no. PSX/N-5144 dated September 10, 2018.
202	Fairtrade Capital Securities (Private) Limited	Removal of Restriction	31-Aug-18	Consequent to removal of restriction by PSX as notified by PSX vide notice no. PSX/N-4985 dated August 30, 2018 for opening of new clients account
203	Saima Qasir Securities (Private) Limited	Removal of Restriction	20-Aug-18	Consequent to restoration of trading terminals by PSX as notified by PSX vide notice no. PSX/N-4832 dated August 20, 2018.
204	Saima Qasir Securities (Private) Limited	Restricted	17-Aug-18	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-4761 dated August 16, 2018.
205	Venus Securities (Private) Limited	Removal of suspension	15-Aug-18	Consequent to restoration of trading terminals by PSX as notified by PSX vide notice no. PSX/N-4750 dated August 13, 2018 and in view of letter No. 213/155/SMO/18 dated May 16, 2018 of the SECP
206	Pearl Securities Limited	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations
207	Summit Capital (Pvt.) Limited - Idr	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations
208	Tajdine Securities Limited	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations
209	Zafar Securities (Pvt.) Limited	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations
210	HMC Stocks (SMC) Pvt. Limited	Notice of Restriction & Penalty	8-Aug-18	Non-Compliance of CDC Regulations
211	Javed Zakaria Gubali Securities (Pvt.) Limited	Terminated	1-Aug-18	Voluntary Termination
212	Value Stock and Commodities (Private) Limited	Removal of Restriction	1-Aug-18	Consequent to removal of restriction by PSX as notified by PSX vide notice no. PSX/N-4332 dated August 01, 2018 for opening of new clients account
213	Omeri Capital Management (Private) Limited	Removal of Suspension	26-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4384 dated July 24, 2018
214	Ahsam Securities (Pvt.) Limited	Removal of Suspension	24-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4376 dated July 24, 2018
215	R.F.J. Equity (Private) Limited	Removal of Suspension	24-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4388 dated July 24, 2018
216	HK Securities (Pvt.) Limited	Terminated	20-Jul-18	Voluntary Termination
217	SMAC Investments (Private) Limited	Removal of Suspension	19-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4269 dated July 18, 2018
218	Interactive Securities (Private) Limited	Removal of Suspension	17-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4225 dated July 13, 2018
219	First Dawood Investment Bank Limited	Terminated	13-Jul-18	Voluntary Termination
220	Daroon Securities (Private) Limited	Terminated	9-Jul-18	Voluntary Termination
221	Daroon Securities (Pvt) Limited - ISI	Censure Letter	6-Jul-18	Non-Compliance of CDC Regulations
222	Javed Iqbal Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations
223	Fair Edge Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations
224	General Invest. & Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations
225	Mehmetovic Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations
226	Safe Securities (Private) Limited	Terminated	4-Jul-18	Voluntary Termination
227	ASA Stocks (Private) Limited	Removal of Restriction	29-Jun-18	Consequent to restoration of trading terminals by PSX as notified vide notice no. PSX/N-3945 dated June 29, 2018.
228	Sakawati Capital Securities (Pvt) Ltd.	Censure Letter	27-Jun-18	Non-Compliance of CDC Regulations
229	High Land Securities (Pvt.) Limited	Censure Letter	27-Jun-18	Non-Compliance of CDC Regulations
230	LSR Securities (Pvt) Limited	Censure Letter	27-Jun-18	Non-Compliance of CDC Regulations
231	KP Securities (Private) Limited	Removal of Restriction	27-Jun-18	Consequent to restoration of trading terminals by PSX as notified vide notice no. PSX/N-3897 dated June 27, 2018.
232	Fairtrade Capital Securities (Private) Limited	Restricted	25-Jun-18	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-3828 dated June 22, 2018 in respect of the opening of new Sub-Account
233	R.T. Securities (Pvt) Limited - ISI	Censure Letter	21-Jun-18	Non-Compliance of CDC Regulations
234	Gulrez Securities (Private) Limited	Censure Letter	21-Jun-18	Non-Compliance of CDC Regulations
235	Summit Capital (Private) Limited	Censure Letter	21-Jun-18	Non-Compliance of CDC Regulations
236	KP Securities (Private) Limited	Restricted	20-Jun-18	Consequent to switching-off the trading terminals by PSX as notified vide notice no. PSX/N-3783 dated June 20, 2018.
237	ASA Stocks (Private) Limited	Restricted	20-Jun-18	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-3783 dated June 20, 2018.
238	AMCAP Securities (Private) Limited	Modification in Restriction	19-Jun-18	Consequent to removal of suspension NCCP, as notified vide notice no. NCCP/CRO/79/18 dated June 19, 2018. However, Restriction in respect of the opening of new Sub-Account not yet relaxed.
239	AMCAP Securities (Private) Limited	Suspended	19-Jun-18	Consequent to the suspension by NCCP, as notified vide notice no. NCCP/CRO/79/18 dated June 19, 2018.
240	Akshat Zafar Securities (Private) Limited	Terminated	1-Jun-18	Voluntary Termination
241	FDM Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	30-May-18	Non-Compliance of CDC Regulations
242	First Zeira (Private) Limited	Terminated	29-May-18	Voluntary Termination
243	QJM Securities (Private) Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations
244	Pearl Brokerage Private Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations
245	Pain Capital Securities (Pvt.) Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations
246	Continental Capital Management (Pvt) Ltd.	Censure Letter	28-May-18	Non-Compliance of CDC Regulations
247	Bahat Securities Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations
248	Bismillah Securities (Pvt) Ltd.	Censure Letter	28-May-18	Non-Compliance of CDC Regulations
249	Yasir Mahmood Securities (Pvt) Ltd.	Censure Letter	28-May-18	Non-Compliance of CDC Regulations
250	Fair Deal Securities (Private) Limited	Restricted	16-May-18	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-3352 dated May 16, 2018.
251	Standard Capital Securities Pvt. Ltd.	Notice of Restriction & Censure	7-May-18	Non-Compliance of CDC Regulations
252	Patel Securities (Pvt.) Limited	Notice of Restriction & Censure	7-May-18	Non-Compliance of CDC Regulations
253	Alpha Securities (Pvt.) Limited	Notice of Restriction	7-May-18	Non-Compliance of CDC Regulations
254	Hemraj Tathal Securities (Pvt.) Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations
255	Spinner Equities (Pvt.) Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations
256	ISK Securities Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations
257	Punjab Capital Securities (Pvt.) Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations
258	Progressive Investment Management (Pvt.) Ltd.	Censure Letter	7-May-18	Non-Compliance of CDC Regulations
259	Nisar Urban Roshan Securities (Pvt.) Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations
260	Stashalis Securities (Pvt) Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations
261	Seven Star Securities (Pvt.) Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations
262	First National Equities Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations
263	Pace Investment & Securities (Private) Limited	Terminated	16-Apr-18	Voluntary termination
264	Fortune Securities Limited	Notice of Restriction & Censure	13-Apr-18	Non-Compliance of CDC Regulations
265	Mannoo Capital (Pvt.) Limited	Censure Letter	13-Apr-18	Non-Compliance of CDC Regulations
266	Alkair Securities Limited	Censure Letter	9-Apr-18	Non-Compliance of CDC Regulations
267	Alkair Securities (Pvt.) Limited	Censure Letter	9-Apr-18	Non-Compliance of CDC Regulations
268	S.D. Mehta Securities (Private) Limited	Notice of Restriction & Censure	30-Mar-18	Non-Compliance of CDC Regulations
269	Begins Securities (Pvt.) Limited	Censure Letter	29-Mar-18	Non-Compliance of CDC Regulations
270	Adel & Nadeem Securities (Pvt.) Limited	Notice of Restriction & Censure	29-Mar-18	Non-Compliance of CDC Regulations
271	Asher Securities (Pvt.) Limited	Notice of Restriction & Censure	29-Mar-18	Non-Compliance of CDC Regulations
272	MND Investment (Pvt.) Limited	Notice of Restriction & Censure	29-Mar-18	Non-Compliance of CDC Regulations
273	Fair Deal Securities (Pvt.) Limited	Censure Letter	28-Mar-18	Non-Compliance of CDC Regulations
274	KP Securities (Pvt.) Limited	Censure Letter	28-Mar-18	Non-Compliance of CDC Regulations
275	Al-Haq Securities (Pvt.) Limited	Notice of Restriction & Censure	27-Mar-18	Non-Compliance of CDC Regulations
276	Axis Global Limited	Notice of Restriction & Censure	27-Mar-18	Non-Compliance of CDC Regulations
277	Ali Husain Rajput Limited	Terminated	22-Mar-18	Voluntary Termination
278	Adam Securities Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations
279	Progressive Securities (Pvt.) Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations
280	Bahat Securities Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations
281	Equity Master Securities (Pvt.) Limited	Censure Letter	21-Mar-18	Non-Compliance of CDC Regulations
282	Jamshad & Hasan Securities (Pvt.) Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations
283	Shafiq Securities (Private) Limited	Restricted	19-Mar-18	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-4785 dated March 16, 2018.
284	Mukha Securities (Pvt.) Limited	Restricted	19-Mar-18	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-4787 dated March 16, 2018.

**Disciplinary Register - Participants**  
**Under Regulation 14.6.1 of the CDC Regulations**

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason
285	Shaffi Securities (Private) Limited	Removal of Restriction	19-Mar-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-1802 dated March 19, 2018.
286	Naveed H. M. Idrees (Private) Limited	Terminated	12-Mar-18	Participant has ceased to be Trading Right Entitlement Certificate holder as communicated by PSX vide notice no. PSX/N-1586 dated March 06, 2018.
287	Albatain Securities (Pvt.) Limited	Notice of Restriction & Censure	8-Mar-18	Non-Compliance of CDC Regulations
288	Saya Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Mar-18	Non-Compliance of CDC Regulations
289	F. M. Securities (Private) Limited	Restricted	9-Mar-18	Consequent to the restriction on opening of new clients account by PSX as notified vide notice no. PSX/N-1671 dated March 09, 2018.
290	128 Securities (Pvt.) Limited	Notice of Restriction & Penalty	8-Mar-18	Non-Compliance of CDC Regulations
291	Occident Securities (Pvt.) Ltd	Notice of Restriction & Penalty	8-Mar-18	Non-Compliance of CDC Regulations
292	Ismael Iqbal Securities (Pvt.) Limited	Notice of Restriction & Censure	2-Mar-18	Non-Compliance of CDC Regulations
293	Alta All Habib Securities (Pvt) Limited	Notice of Restriction & Censure	2-Mar-18	Non-Compliance of CDC Regulations
294	Suvenel Capital (Pvt.) Limited	Notice of Restriction & Censure	2-Mar-18	Non-Compliance of CDC Regulations
295	Alta All Habib Securities (Pvt) Limited	Censure Letter	1-Mar-18	Non-Compliance of CDC Regulations
296	128 Securities (Pvt.) Limited	Restricted	1-Mar-18	Consequent to the restriction on opening of new clients account by PSX as notified vide notice no. PSX/N-1502 dated March 01, 2018.
297	Royal Securities (Pvt) Limited	Censure Letter	26-Feb-18	Non-Compliance of CDC Regulations
298	Wisdom Securities (Private) Limited	Terminated	22-Feb-18	Voluntary Termination
299	Ali Husain Razaibari Limited	Censure Letter	21-Feb-18	Non-Compliance of CDC Regulations
300	Shariq Osman Securities (Pvt.) Limited	Notice of Restriction & Censure	21-Feb-18	Non-Compliance of CDC Regulations
301	Jain Mehta Securities (Pvt.) Ltd	Censure Letter	20-Feb-18	Non-Compliance of CDC Regulations
302	Rawa Securities (Pvt.) Limited	Notice of Restriction & Censure	20-Feb-18	Non-Compliance of CDC Regulations
303	F. M. Securities (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations
304	ICDK Capital Management (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations
305	Fortune Securities Limited - ISI	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations
306	Albatain Securities (Private) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations
307	M. M. Securities (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations
308	MDGM Securities (Pvt.) Limited	Notice of Restriction & Censure	15-Feb-18	Non-Compliance of CDC Regulations
309	New Peak Securities (Pvt.) Limited	Censure Letter	15-Feb-18	Non-Compliance of CDC Regulations
310	Infinita Securities Limited	Censure Letter	15-Feb-18	Non-Compliance of CDC Regulations
311	M. A. N. Securities (Pvt.) Limited	Terminated	14-Feb-18	Voluntary Termination
312	High Land Securities (Pvt.) Limited	Notice of Restriction & Censure	8-Feb-18	Non-Compliance of CDC Regulations
313	K. H. S. Securities (Pvt.) Limited	Censure Letter	8-Feb-18	Non-Compliance of CDC Regulations
314	Zafar Meht Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	8-Feb-18	Non-Compliance of CDC Regulations
315	BlackStone Equities (Private) Limited	Terminated	26-Jan-18	Voluntary Termination
316	Alfa Aditi Securities (Pvt.) Limited	Notice of Restriction & Penalty	25-Jan-18	Non-Compliance of CDC Regulations
317	H. P. Byrang & Co. (Pvt.) Limited	Notice of Restriction & Penalty	23-Jan-18	Non-Compliance of CDC Regulations
318	XPRT Securities (Private) Limited	Removal of Restriction	19-Jan-18	Participant has complied with Regulation 6.8.2 of the CDC Regulations.
319	Millennium Securities & Investments (Private) Limited	Restricted	1-Jan-18	Consequent to suspension of the trading terminals by PSX vide notice no. PSX/N-001 dated January 01, 2018.
320	Pearl Brokerage (Private) Limited	Removal of Restriction	1-Jan-18	Consequent to restoration of trading terminals by PSX w.e.f. January 01, 2018, as notified by PSX vide notice no. PSX/N-29 dated January 01, 2018.
321	Bright Investment and Securities (Pvt.) Limited	Terminated	28-Dec-17	Voluntary termination and surrender of TRC as communicated by PSX vide notice no. PSX/N-2870 dated December 27, 2017.
322	Pearl Brokerage (Private) Limited	Restricted	26-Dec-17	Due to switching off the trading terminals by PSX vide notice no. PSX/N-2765 dated December 26, 2017.
323	Asad Mustafa Securities (SMC-Pvt.) Ltd	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations
324	Baif Securities (Pvt.) Ltd	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations
325	Fair Edge Securities (Pvt.) Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations
326	First Capital Equities Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations
327	A. N. Equities (Pvt.) Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations
328	Reemja Securities (Pvt.) Limited	Notice of Restriction & Censure	22-Dec-17	Non-Compliance of CDC Regulations
329	Strongman Securities (Pvt.) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations
330	Techno Fundamental Securities (Pvt) Ltd.	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations
331	Maan Securities (Private) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations
332	Sherman Securities (Private) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations
333	Muhammad Amer Riaz Securities (Pvt.) Limited	Notice of Restriction & Penalty	20-Dec-17	Non-Compliance of CDC Regulations
334	H. U. A. Securities (Pvt.) Ltd	Notice of Restriction & Penalty	20-Dec-17	Non-Compliance of CDC Regulations
335	Nini Securities (SMC-Pvt.) Ltd	Censure Letter	20-Dec-17	Non-Compliance of CDC Regulations
336	Memon Securities (Pvt.) Ltd	Censure Letter	20-Dec-17	Non-Compliance of CDC Regulations
337	First Zewa (Private) Limited	Censure Letter	20-Dec-17	Non-Compliance of CDC Regulations
338	XPRT Securities (Private) Limited	Restricted	20-Dec-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
339	K.H.S. Securities (Private) Limited	Removal of Restriction	19-Dec-17	Consequent to restoration of trading terminals by PSX w.e.f. December 20, 2017, as notified by PSX vide notice no. PSX/N-7742 dated December 19, 2017.
340	A.H.K.D. Securities (Private) Limited	Suspended	14-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.
341	HR Securities (Pvt.) Limited	Suspended	14-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.
342	Invest Forum (SMC-Private) Limited	Suspended	14-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.
343	Invest Forum (SMC-Private) Limited	Restricted	13-Dec-17	Due to the cancellation of license by SECP as a securities broker vide order dated December 13, 2017.
344	HR Securities (Private) Limited	Restricted	13-Dec-17	Due to the cancellation of license by SECP as a securities broker vide order dated December 13, 2017.
345	Jaharzeb Securities (Pvt.) Limited	Suspended	12-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.
346	Shaukat Shaffi Securities (Private) Limited	Suspended	12-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.
347	AM Chaudhry Securities (Private) Limited	Suspended	12-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.
348	First Pakistan Securities Limited	Restricted	4-Dec-17	Due to refusal of the application for grant of license as securities broker by SECP vide order dated November 29, 2017.
349	AM Chaudhry Securities (Private) Limited	Removal of Restriction	30-Nov-17	Consequent to the restoration of trading terminals by PSX vide notice dated PSX/N-7369 dated November 21, 2017 however opening of new client account is restricted.
350	Tigline Securities Limited	Censure Letter	29-Nov-17	Non-Compliance of CDC Regulations
351	A.S. Securities (Pvt.) Limited	Censure Letter	28-Nov-17	Non-Compliance of CDC Regulations
352	AM Chaudhry Securities	Notice of Restriction & Censure	28-Nov-17	Non-Compliance of CDC Regulations
353	Din Capital Limited	Revised Notice of Restriction	23-Nov-17	Consequent to the restoration of trading terminals by PSX vide notice dated PSX/N-7369 dated November 21, 2017 however opening of new client account is restricted.
354	Tumba Securities (Private) Limited	Terminated	22-Nov-17	Participant has ceased to be Trading Right Entitlement Certificate holder as communicated by the Pakistan Stock Exchange Limited vide notice no. PSX/N-7317 dated November 21, 2017.
355	My Securities (Private) Limited	Terminated	22-Nov-17	Participant has ceased to be Trading Right Entitlement Certificate holder as communicated by the Pakistan Stock Exchange Limited vide notice no. PSX/N-7303 dated November 15, 2017.
356	Ayub Chaudhary Investments (Pvt.) Limited	Notice of Restriction & Censure	21-Nov-17	Non-Compliance of CDC Regulations
357	Dawson Securities (Private) Limited	Notice of imposition of Penalty	17-Nov-17	Non-Compliance of CDC Regulations
358	Din Capital Limited	Restricted	17-Nov-17	Consequent to the suspension of license by SECP as a securities broker vide order dated November 09, 2017.
359	Elstar Securities Pakistan (Pvt.) Limited	Censure Letter	14-Nov-17	Non-Compliance of CDC Regulations
360	Ralliance Securities Limited	Censure Letter	14-Nov-17	Non-Compliance of CDC Regulations
361	Gaigpora Securities & Services (Pvt.) Limited	Censure Letter	11-Nov-17	Non-Compliance of CDC Regulations
362	Concordia Securities (Pvt.) Limited	Censure Letter	11-Nov-17	Non-Compliance of CDC Regulations
363	B.T. Securities (Pvt.) Limited	Censure Letter	11-Nov-17	Non-Compliance of CDC Regulations
364	Flene (SMC-Pvt.) Limited	Censure Letter	8-Nov-17	Non-Compliance of CDC Regulations
365	Millennium Securities & Investments (Private) Limited	Notice of Restriction & Censure	8-Nov-17	Non-Compliance of CDC Regulations
366	MSD Capital Equities (Pvt.) Limited	Notice of Restriction & Censure	8-Nov-17	Non-Compliance of CDC Regulations
367	First Equity Mediasite	Censure Letter	8-Nov-17	Non-Compliance of CDC Regulations
368	Din Capital Limited	Revised Notice of Restriction	8-Nov-17	Due to advice of PSX vide email dated November 07, 2017.
369	Millennium Securities & Investments (Private) Limited	Restricted	6-Nov-17	Consequent to PS as of June 30, 2017 submitted by Participant under Regulation 6.8.2 of the CDC Regulations discloses negative Capital Adequacy Level.
370	Din Capital Limited	Restricted	6-Nov-17	Consequent to imposition of restriction by PSX as notified vide notice no. PSX/N-7045 dated November 03, 2017.
371	Shaukat Shaffi Securities (Private) Limited	Restricted	1-Nov-17	Consequent to the suspension of the trading terminals by PSX as notified vide notice no. PSX/N-6954 dated November 01, 2017.
372	Saf Securities (Private) Limited	Restricted	31-Oct-17	Consequent to suspension of the trading terminals by PSX vide notice no. PSX/N-6993 dated October 31, 2017.
373	K.H.S. Securities (Private) Limited	Restricted	30-Oct-17	Consequent to switching off the trading terminals by PSX vide notice no. PSX/N-6826 dated October 30, 2017.
374	Sakawati Capital Securities (Pvt.) Limited	Notice of Restriction & Penalty	26-Oct-17	Non-Compliance of CDC Regulations
375	Sunrise Capital (Private) Limited	Further Suspended	20-Oct-17	Due to cancellation of license by Securities and Exchange Commission of Pakistan vide order dated September 14, 2017.
376	Pak Meesran Securities (Private) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017.
377	Kayone Capital Markets (SMC-Private) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017.
378	Faith Securities (Private) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017.
379	Stock Vision (Pvt.) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017.
380	Value Stock and Commodities (Private) Limited	Notice of Restriction & Penalty	16-Oct-17	Non-Compliance of CDC Regulations
381	Earth Securities (Private) Limited	Terminated	16-Oct-17	Voluntary Termination
382	F. M. Securities (Pvt.) Limited	Notice of imposition of Penalty	16-Oct-17	Non-Compliance of CDC Regulations

**Disciplinary Register - Participants**  
**Under Regulation 14.6.1 of the CDC Regulations**

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason
383	Value Stock and Commodities (Private) Limited	Notice of Restriction & Penalty	16-Oct-17	Non-Compliance of CDC Regulations
384	Switch Securities (Private) Limited	Suspended	13-Oct-17	Consequent to the suspension of license by Securities and Exchange Commission of Pakistan vide order dated October 11, 2017
385	Shaffi Securities (Pvt) Limited	Censure Letter	4-Oct-17	Non-Compliance of CDC Regulations
386	Security Investment Bank Limited	Terminated	29-Sep-17	Voluntary Termination
387	Kausar Securities (Private) Limited	Terminated	27-Sep-17	Voluntary Termination
388	Alkhal Securities (Pvt.) Limited	Censure & Restriction Letter	27-Sep-17	Non-Compliance of CDC Regulations
389	Akbari Securities Limited	Censure & Restriction Letter	25-Sep-17	Non-Compliance of CDC Regulations
390	First Zohra (Private) Limited	Removal of Restriction	22-Sep-17	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-5512 dated September 22, 2017
391	First Zohra (Private) Limited	Restricted	21-Sep-17	Consequent to switching-off of trading terminal of Participant by PSX vide notice no. PSX/N-5462 dated September 20, 2017
392	AM Chaudhry Securities (Private) Limited	Restricted	21-Sep-17	Consequent to switching-off of trading terminal of Participant by PSX vide notice no. PSX/N-5462 dated September 20, 2017
393	Global Securities Pakistan Limited	Terminated	21-Sep-17	Voluntary Termination
394	Progressive Investment Management (Pvt.) Ltd	Notice of imposition of Penalty	21-Sep-17	Non-Compliance of CDC Regulations
395	Invest Capital Markets Limited	Restricted	18-Sep-17	Consequent to imposing the restriction by NCCP, vide notice no. NCCP/CDC/17/17 dated September 15, 2017
396	PACE Investment & Securities (Private) Limited	Restricted	7-Sep-17	Consequent to suspension of the trading terminals by PSX vide notice no. PSX/N-5248 dated September 07, 2017
397	Live Securities Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017
398	Qasim Mahmood Securities (SMC-Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017
399	SMB Securities (Private) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017
400	AKD Analytics (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017
401	Stable Securities (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017
402	Quality Islamic Investments & Securities (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017
403	Mizan Pervez Adam Securities (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017
404	Muz Ahmed Securities (Pvt) Ltd.	Censure Letter	21-Aug-17	Non-Compliance of CDC Regulations
405	Sahb Securities (Private) Limited	Restriction Letter	21-Aug-17	Non-Compliance of CDC Regulations
406	Akbar Zafar Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations
407	JAK Securities (Pvt) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations
408	Shagorak Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations
409	AAA Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations
410	K & I Global Capital (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations
411	Nazam Capital (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations
412	Hay Alkhal Securities (Pvt.) Limited	Restriction Letter	11-Aug-17	Non-Compliance of CDC Regulations
413	Bridge Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations
414	Ainayah Investments Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations
415	Habib Ullah Sheikh (Pvt.) Limited	Restriction Letter	11-Aug-17	Non-Compliance of CDC Regulations
416	Intermarket Securities Limited	Notice of Restriction & Penalty	11-Aug-17	Non-Compliance of CDC Regulations
417	Nad Dham Securities (Pvt.) Limited	Restriction Letter	11-Aug-17	Non-Compliance of CDC Regulations
418	Time Securities (Pvt.) Limited	Notice of Restriction & Penalty	11-Aug-17	Non-Compliance of CDC Regulations
419	12B Securities (Pvt.) Limited	Removal of Restriction	8-Aug-17	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-4699 dated August 08, 2017
420	Moneyline Securities (Pvt.) Limited	Restriction Letter	8-Aug-17	Non-Compliance of CDC Regulations

**Disciplinary Register - Participants**  
**Under Regulation 14.6.1 of the CDC Regulations**

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason
418	Sabbir Equities (Pvt.) Ltd.	Restricition Letter	4-Aug-17	Non-Compliance of CDC Regulations
422	IBEX Securities (Pvt) Limited	Censure Letter	4-Aug-17	Non-Compliance of CDC Regulations
423	Strongman Securities (Pvt.) Limited	Censure Letter	4-Aug-17	Non-Compliance of CDC Regulations
424	L2B Securities (Pvt.) Limited	Restricted	1-Aug-17	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-4631 dated August 01, 2017
425	NIB Bank Limited	Terminated	1-Aug-17	Voluntary Termination
426	AMCAP Securities (Private) Limited	Modification in Restriction	24-Jul-17	consequent to restoration of trading terminals by PSX with effect from July 24, 2017 as notified by notice no. PSX/N-4413 dated July 23, 2017 However, PSX has not that restriction on opening of new Client Accounts.
427	S. Z. Securities (Pvt.) Limited	Terminated	18-Jul-17	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-4256 dated July 18, 2017
428	Jamshad & Hasan Securities (Pvt) Ltd.	Notice of imposition of Penalty	22-Jun-17	Non-Compliance of CDC Regulations
429	Zafar Securities (Private) Limited	Notice of imposition of Penalty	22-Jun-17	Non-Compliance of CDC Regulations
430	Azee Securities (Private) Limited	Suspended	22-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CNO/199/17 dated June 22, 2017
431	Azee Securities (Private) Limited	Removal of Suspension	22-Jun-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CNO/200/17 dated June 22, 2017
432	Aziz Dawood Securities (Private) Limited	Suspended	16-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CNO/197/17 dated June 16, 2017
433	Tariq Sayeed Securities (Private) Limited	Suspended	16-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CNO/195/17 dated June 16, 2017
434	AB Equities (Private) Limited	Suspended	16-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CNO/196/17 dated June 16, 2017
435	Reflexia Securities Limited	Censure Letter	13-Jun-17	Non-Compliance of CDC Regulations
436	Habib Metropolitan Financial Services Limited	Censure Letter	13-Jun-17	Non-Compliance of CDC Regulations
437	Invest and Finance Securities Limited	Notice of Restriction & Penalty	13-Jun-17	Non-Compliance of CDC Regulations
438	Dawood Equities Limited	Suspended	5-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CNO/187/17 dated June 05, 2017
439	Dawood Equities Limited	Removal of Suspension	5-Jun-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CNO/188/17 dated June 05, 2017
440	Oriental Securities (Pvt.) Limited	Censure Letter	5-Jun-17	Non-Compliance of CDC Regulations
441	Value Stock and Commodities (Private) Limited	Restriction on opening of New Sub-Accounts	1-Jun-17	Consequent to imposing restriction on Participant by PSX vide notice no. notice no. PSX/N-1565 dated May 31, 2017 For opening of new sub-accounts
442	Escorts Capital Limited	Suspended	31-May-17	Due to non-compliance of 8.2.2 of CDC Regulations after completion 60 Business Days of Restrictions
443	Allied Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
444	S. A Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
445	Interactive Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
446	Chigga Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
447	JCB Capital Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
448	Luxor Securities (SMC-Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
449	MIAN Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
450	Omni Capital Management (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
451	Jawed Zikar Ali Gulati Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
452	MAC Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
453	Muhammad Anas Kapadia Securities (SMC-Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
454	Motiwala Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
455	MY Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
456	AAU Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
457	Abed Ali Habib Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
458	Aleam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
459	Ashfaq Ashraf Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
460	BMC Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
461	Bright Investment & Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
462	Five Securities (SMC-Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
463	Fart Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
464	Fortress Financial Services (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
465	H.K.K. Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
466	Khayam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
467	Prime Capital Management (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
468	R.F.J. Equity (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
469	S. M. Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
470	Sichon Capital Markets Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
471	Sher Capital Equities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
472	SMAC Investments (SMC-Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
473	South Asian Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
474	Union Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
475	Venus Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
476	ZMR Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
477	MAS Capital Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
478	R. A. Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017
479	Five Securities (SMC-Private) Limited	Restricted	26-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. notice no. PSX/N-3463 dated May 25, 2017
480	Luxor Securities (SMC-Pvt.) Limited	Restricted	26-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. notice no. PSX/N-3463 dated May 25, 2017
481	Mian Perwez Adam Securities (Private) Limited	Restricted	23-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. notice no. PSX/N-3463 dated May 25, 2017
482	Trust Securities & Brokerage Limited	Restriction Letter	18-May-17	Non-Compliance of CDC Regulations
483	Switch Securities (Private) Limited	Restriction Letter	18-May-17	Non-Compliance of CDC Regulations
484	SETH SECURITIES (SMC-PVT) LTD	Restriction Letter	18-May-17	Non-Compliance of CDC Regulations
485	ASA STOCKS (PVT.) LIMITED	Censure Letter	18-May-17	Non-Compliance of CDC Regulations
486	M. M. SECURITIES (PVT.) LIMITED	Censure Letter	18-May-17	Non-Compliance of CDC Regulations
487	Live Securities Limited	Restricted	12-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-3186 dated May 12, 2017
488	MSQ Capital Equities (Private) Limited	Removal of Restriction	10-May-17	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-3075 dated May 10, 2017
489	WAM Securities (Private) Limited	Terminated	10-May-17	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-3074 dated May 10, 2017
490	Tariq Sayeed Securities (Private) Limited	Removal of Restriction	8-May-17	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-2987 dated May 08, 2017
491	SHAFI SECURITIES (PVT) LIMITED	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations
492	Teches Fundamental Securities (Pvt.) Limited	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations
493	NAYAN INVEST SECURITIES (PVT) LTD.	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations
494	MIAN SECURITIES (PRIVATE) LIMITED	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations
495	Pearl Brokerage (Pvt.) Limited	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations
496	INTEGRATED EQUITIES (PRIVATE) LIMITED	Censure Letter	5-May-17	Non-Compliance of CDC Regulations
497	Gulzar Securities (Pvt.) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations
498	Fairway Securities (Pvt.) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations
499	Networth Securities Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations
500	Rhowsa Securities (Pvt.) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations
501	ABM Securities (Pvt.) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations
502	MSQ Capital Equities (Private) Limited	Restricted	27-Apr-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-2933 dated April 26, 2017
503	AMCAP Securities (Private) Limited	Modification in Restriction	25-Apr-17	Consequent to restoration of use vide transactions for only Sub-Accounts of the Participant by PSX vide notice no. PSX/N-2499 dated April 24, 2017
504	AMCAP Securities (Private) Limited	Restrictioe	5-Apr-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-2131 dated April 05, 2017
505	CELESTINE CAPITAL SECURITIES (PVT) LTD.	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations
506	S&Z CAPITAL SECURITIES (PVT) LTD.	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations

**Disciplinary Register - Participants**  
**Under Regulation 14.6.1 of the CDC Regulations**

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason
507	M. J. Menzies Securities (Pvt.) Limited	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations
508	SPECTRUM SECURITIES (PVT.) LIMITED	Censure Notice	30-Mar-17	Non-Compliance of CDC Regulations
509	TARIQ VOHRA SECURITIES (PVT) LIMITED	Censure Notice	30-Mar-17	Non-Compliance of CDC Regulations
510	GLOBAL SECURITIES PAKISTAN LIMITED	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations
511	H. M. UDREES H. ADAM (SMC PVT.) LIMITED	Censure Notice	30-Mar-17	Non-Compliance of CDC Regulations
512	Motiwala Securities (Private) Limited	Notice of Restriction & Penalty	30-Mar-17	Non-Compliance of CDC Regulations
513	A.H.K. Securities (Pvt.) Limited	Notice of Restriction & Penalty	30-Mar-17	Non-Compliance of CDC Regulations
514	MUHAMMAD HUSAIN (SMC) SECURITIES (PVT) LTD.	Censure Notice	30-Mar-17	Non-Compliance of CDC Regulations
515	ACM GLOBAL (PVT) LIMITED	Censure Notice	30-Mar-17	Non-Compliance of CDC Regulations
516	JCR Capital Securities (Private) Limited	Notice in respect of Participant	29-Mar-17	Participant has complied with the Regulation 6.8.2
517	Invest Forum (SMC Private) Limited	Restricted	17-Mar-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-1743 dated March 16, 2017
518	HS Securities (Private) Limited	Restricted	17-Mar-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-1743 dated March 16, 2017
519	Bhayani Securities (Pvt) Ltd.	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations
520	First Equity Modaraba	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations
521	MUHAMMAD ADEEM AQ. HUSAIN SECURITIES (PVT) LTD	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations
522	Surmawala Securities (Private) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations
523	SEVEN STAR SECURITIES (PVT.) LTD.	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations
524	AQBAL USMAN KIDWANI SECURITIES (PVT) LTD	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations
525	MULTIPLINE SECURITIES (PVT.) LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations
526	Dotcom Securities (Pvt.) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations
527	SECURITY INVESTMENT BANK LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations
528	S. Z. Securities (Pvt.) Limited	Suspended	14-Mar-17	Due to violation of Section 24 of the Central Depositories Act, 1997
529	ESR Stock Brokerage (Pvt.) Ltd.	Notice of Imposition of Penalty	13-Mar-17	Non-Compliance of CDC Regulations
530	Progressive Securities (Private) Limited	Notice of Imposition of Penalty	13-Mar-17	Non-Compliance of CDC Regulations
531	MAM Securities (Private) Limited	Further Suspended	13-Mar-17	Consequent to suspension of THE Certificate of Participant by PSX vide notice no. PSX/N-1462 dated March 15, 2017
532	Tariq Sayeed Securities (Private) Limited	Restricted	7-Mar-17	Consequent to switching off of trading terminal of Participant by PSX vide notice no. PSX/N-1551 dated March 06, 2017 on the Participant request
533	ESCORTS CAPITAL LIMITED	Restricted	6-Mar-17	Participant has not complied with Regulation 6.8.1 of the CDC Regulations
534	Faith Securities (Private) Limited	Suspended	6-Mar-17	Due to non-compliance of 68.2. of CDC Regulations after completing 60 day of restrictions
535	Stock Vision(Pvt.) Limited	Suspended	6-Mar-17	Due to non-compliance of 68.2. of CDC Regulations after completing 60 day of restrictions
536	Kayone Capital Markets (SMC Private) Limited	Suspended	6-Mar-17	Due to non-compliance of 68.2. of CDC Regulations after completing 60 day of restrictions
537	A.H.K.D. Securities (Private) Limited	Suspended	6-Mar-17	Due to non-compliance of 68.2. of CDC Regulations after completing 60 day of restrictions
538	AM Analytics (Private) Limited	Suspended	6-Mar-17	Due to non-compliance of 68.2. of CDC Regulations after completing 60 day of restrictions
539	MM Securities (Private) Limited	Suspended	6-Mar-17	Due to non-compliance of 68.2. of CDC Regulations after completing 60 day of restrictions
540	MM Securities (Private) Limited	Suspended	6-Mar-17	Due to non-compliance of 68.2. of CDC Regulations after completing 60 day of restrictions
541	Stable Securities (Pvt) Limited	Suspended	6-Mar-17	Due to non-compliance of 68.2. of CDC Regulations after completing 60 day of restrictions
542	Qasim Mahmood Securities (One-Pvt) Limited	Suspended	6-Mar-17	Due to non-compliance of 68.2. of CDC Regulations after completing 60 day of restrictions
543	JCR Capital Securities (Private) Limited	Suspended	6-Mar-17	Due to non-compliance of 68.2. of CDC Regulations after completing 60 day of restrictions
544	Reliance Capital (Pvt) Limited	Suspended	6-Mar-17	Due to non-compliance of 68.2. of CDC Regulations after completing 60 day of restrictions
545	Fincap Investments (Private) Limited	Suspended	6-Mar-17	Due to non-compliance of 68.2. of CDC Regulations after completing 60 day of restrictions
546	Allied Securities (Private) Limited	Suspended	6-Mar-17	Due to non-compliance of 68.2. of CDC Regulations after completing 60 day of restrictions
547	Ab Equities (Private) Limited	Suspended	6-Mar-17	Due to non-compliance of 68.2. of CDC Regulations after completing 60 day of restrictions
548	Universal Equities (Private) Limited	Terminated	2-Mar-17	Voluntary Termination
549	M. R. Securities (SMC Private) Limited	Terminated	2-Mar-17	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-1314 dated February 27, 2017
550	AWI Securities (Private) Limited	Terminated	28-Feb-17	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-1314 dated February 27, 2017
551	MAM Securities (Private) Limited	Suspended	20-Feb-17	Due to non-compliance of CDC Regulations
552	Sunrise Capital (Private) Limited	Suspended	17-Feb-17	Due to non-compliance of regulatory provisions
553	M. R. Securities (SMC PVT.) Limited	Further Suspended	16-Feb-17	Due to non-compliance of regulatory provisions
554	MAM Securities (Private) Limited	Notice of imposition of Penalty	8-Feb-17	Non-Compliance of CDC Regulations
555	M. R. Securities (SMC PVT.) Limited	Intention of Further Suspension	8-Feb-17	Due to non-compliance of CDC Regulations
556	M. R. Securities (SMC PVT.) Limited	Suspended	1-Feb-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CHO/20/17 dated February 01, 2017
557	AWI Securities (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations
558	Sunrise Capital (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations
559	Zafar Securities (Private) Limited	Restricted	30-Jan-17	Participant has not complied with Regulation 6.8.1 of the CDC Regulations
560	Zafar Securities (Private) Limited	Removal of Restriction	30-Jan-17	Participant has complied with the Regulation 6.8.2
561	Sania Shafiq Securities (Private) Limited	Terminated	24-Jan-17	Voluntary Termination
562	Pak Mexican Securities (Private) Limited	Notice in respect of Participant	18-Jan-17	Participant has complied with the Regulation 6.8.2
563	Zafar Most Capital Securities (Private) Limited	Removal of Suspension	18-Jan-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/36/17 dated January 17, 2017
564	Zafar Most Capital Securities (Private) Limited	Suspended	17-Jan-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/36/17 dated January 17, 2017
565	AM Chauhry Securities (Private) Limited	Removal of Restriction	13-Jan-17	Participant has complied with the Regulation 6.8.2
566	AWI Securities (Private) Limited	Removal of Suspension	13-Jan-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/31/17 dated January 13, 2017
567	Mahabbat Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination
568	SIS Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination
569	AWI Securities (Private) Limited	Suspended	12-Jan-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/26/17 dated January 11, 2017
570	Allied Bank Limited - ISB Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues
571	Allied Bank Limited - ISB Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues
572	Allied Bank Limited - ISB Branch	Extension of intention of Regulatory Action	9-Jan-17	Failure to settle the CDC outstanding dues
573	Allied Bank Limited - KSE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues
574	Allied Bank Limited - KSE Branch	Extension of intention of Regulatory Action	9-Jan-17	Failure to settle the CDC outstanding dues
575	Allied Bank Limited - ISB Branch	Extension of intention of Regulatory Action	9-Jan-17	Failure to settle the CDC outstanding dues
576	Sharmal Securities (Pvt.) Limited	Notice of Restriction	6-Jan-17	Non-Compliance of CDC Regulations
577	Shayekh Islamic Finance Services (Private) Limited	Notice in respect of Participant	6-Jan-17	Participant has complied with the Regulation 6.8.2
578	Mutis Securities (Private) Limited	Terminated	6-Jan-17	Voluntary Termination

**Disciplinary Register - Participants**  
**Under Regulation 14.6.1 of the CDC Regulations**

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason
579	S A Securities (Pvt) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2
580	SS Securities (Private) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2
581	A.H.K.D Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
582	Ab Equities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
583	AKD Analytics (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
584	Allied Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
585	AM Chaudhry Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
586	Giyasah Islamic Financial Services (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
587	Excorts Capital Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
588	Faith Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
589	Fincap Investments (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
590	JCR Capital Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
591	Kayzone Capital Markets (SMC-Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
592	Muab Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
593	Mahabbat Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
594	PAI Mexican Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
595	Qasim Mahmood Securities (Smc-Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
596	Refiance Capital (Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
597	S A Securities (Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
598	SIS Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
599	SMB Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
600	SMM Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
601	Stable Securities (Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
602	Stock Vision (Pvt.) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.
603	Allied Bank Limited - ISF Branch	Notice of intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.
604	Allied Bank Limited - LSF Branch	Notice of intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.
605	Allied Bank Limited - ISF Branch	Notice of intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.
606	Allied Bank Limited - ISF Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.
607	Allied Bank Limited - LSF Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.
608	Allied Bank Limited - ISF Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.
609	Sunrise Capital (Private) Limited	Restricted	21-Dec-16	Due to contravention of provisions of the CDC Regulations
610	Apex Capital Securities (Private) Limited	Notice of Restriction	20-Dec-16	Non-Compliance of CDC Regulations
611	Apex Capital Securities (Private) Limited	Notice of Restriction	20-Dec-16	Non-Compliance of CDC Regulations
612	Azi Securities (Pvt.) Ltd	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations
613	B A B Securities (Private) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations
614	Continental Capital Management (Pvt) Ltd	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations
615	Fawad Yousaf Securities (Pvt.) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations
616	Irfan Mazhar Securities (Pvt.) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations
617	Khanani Securities (Pvt.) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations
618	M H Securities (Pvt.) Limited	Censure Notice	19-Dec-16	Non-Compliance of CDC Regulations
619	Muhammad Tahir Meht Securities (Pvt) Ltd.	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations
620	Nector Securities (Pvt.) Ltd.	Censure Notice	19-Dec-16	Non-Compliance of CDC Regulations
621	Z A. Ghaffar Securities (Private) Ltd.	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations
622	Gherry's Securities (Pvt.) Limited	Terminated	9-Dec-16	Voluntary Termination
623	Paramount Securities (SMC-Private) Limited	Terminated	8-Dec-16	Voluntary Termination
624	AM Chaudhry Securities (Private) Limited	Removal of Restriction	7-Dec-16	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-6981 dated December 07, 2016.
625	V.S. Stocks (Private) Limited	Terminated	2-Dec-16	Voluntary Termination
626	AM Chaudhry Securities (Private) Limited	Restricted	30-Nov-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-6985 dated November 30, 2016.
627	A.H.M Securities (Pvt.) Limited	Notice of Restriction	22-Nov-16	Non-Compliance of CDC Regulations
628	Moonara Securities (Pvt.) Ltd	Notice of Restriction	22-Nov-16	Non-Compliance of CDC Regulations
629	Invest Forum (SMC-Private) Limited	Removal of Restriction	16-Nov-16	Consequent to restoration of opening of new sub-accounts and trading in the House Account of Participant by PSX vide notice no. PSX/N-6619 dated November 16, 2016.
630	First Punjab Modaraba	Terminated	14-Nov-16	Voluntary Termination
631	M/M Equities (Private) Limited	Terminated	10-Nov-16	Voluntary Termination
632	Fart Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination
633	Atad Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination
634	Ghajar Capital Pakistan (Pvt.) Limited	Notice of Restriction	4-Nov-16	Non-Compliance of CDC Regulations



**Disciplinary Register - Participants**  
**Under Regulation 14.6.1 of the CDC Regulations**

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason
635	Franchise Securities (Pvt.) Limited	Notice of Restriction	1-Nov-16	Non-Compliance of CDC Regulations
636	Al-Habib Capital Markets (Pvt.) Limited	Notice of Restriction	1-Nov-16	Non-Compliance of CDC Regulations
637	Izco Capital Management (Private) Limited	Censure Notice	1-Nov-16	Non-Compliance of CDC Regulations
638	Sunrise Capital (Private) Limited	Censure Notice	1-Nov-16	Non-Compliance of CDC Regulations
639	JCR Capital Securities (Private) Limited	Restricted	31-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5616 dated October 31, 2016
640	QAM Securities (Pvt.) Limited	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations
641	Muhammad Salim Kassam Securities	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations
642	Prime Securities (Pvt.) Limited	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations
643	Al Ain Khawari Securities (Pvt.) Limited	Notice of Restriction	27-Oct-16	Non-Compliance of CDC Regulations
644	Saudi Capital (Pvt.) Limited	Notice of Restriction	27-Oct-16	Non-Compliance of CDC Regulations
645	Albani Securities (SAC) (PVT) Limited	Terminated	25-Oct-16	Voluntary Termination
646	Casim Investments (Pvt.) Limited	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations
647	Ample Securities (Private) Limited	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations
648	Gini Capital Securities (Pvt) Ltd.	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations
649	Al-Haqani Securities & Investment Corporation (Pvt.) Ltd	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations
650	Qatai Securities (Pvt.) Limited	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations
651	Investment Managers Securities (Pvt.) Ltd	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations
652	Zilfon Capital Securities (Pvt.) Limited	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations
653	H. P. Byrangi & Co. (Pvt) Limited	Removal of Restriction	18-Oct-16	Participant has complied with Regulation 6.8.1 of the CDC Regulations.
654	Prosperity Securities (Private) Limited	Terminated	18-Oct-16	Voluntary Termination
655	H. P. Byrangi & Co. (Pvt) Limited	Restricted	14-Oct-16	Participant has not complied with Regulation 6.8.1 of the CDC Regulations.
656	Stock Vision Securities (Private) Limited	Restricted	13-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5666 dated October 13, 2016
657	Growth Securities (Pvt) Limited	Notice of Restriction	10-Oct-16	Non-Compliance of CDC Regulations
658	YS Securities (Pvt.) Ltd	Notice of Restriction	10-Oct-16	Non-Compliance of CDC Regulations
659	Esports Capital Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016
660	Omni Capital Management (Private) Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016
661	PAI Mexican Securities (Private) Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016
662	Asit Dawood Securities (Private) Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016
663	Star Securities (Private) Limited	Terminated	10-Oct-16	Voluntary Termination
664	Reaming Investment and Securities (Private) Limited	Restricted	30-Sep-16	Due to suspension of all trading terminals of Participant by PSX vide notice no. PSX/N-5372 dated September 30, 2016
665	Asian Securities Limited	Notice of Restriction	29-Sep-16	Non-Compliance of CDC Regulations
666	Majani Securities (Private) Limited	Notice of Restriction	29-Sep-16	Non-Compliance of CDC Regulations
667	MBI Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination
668	Taha Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination
669	Fath Securities (Private) Limited	Restricted	26-Sep-16	Due to suspension of all trading terminals of Participant by PSX vide notice no. PSX/N-5253 dated September 26, 2016
670	Taha Securities (Private) Limited	Restricted	22-Sep-16	Due to suspension of all trading terminals of Participant by PSX vide notice no. PSX/N-5179 dated September 21, 2016
671	Smart Investments Capital Management (Pvt.) Limited	Terminated	8-Sep-16	Voluntary Termination
672	Pace Investment & Securities (Pvt.) Limited	Removal of Suspension	7-Sep-16	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/446/16 dated September 07, 2016
673	Pace Investment & Securities (Pvt.) Limited	Suspended	7-Sep-16	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/445/16 dated September 06, 2016
674	Nisam Securities (Private) Limited	Terminated	3-Sep-16	Voluntary Termination
675	SMM Securities (Private) Limited	Restricted	31-Aug-16	Consequent to switch off of trading terminals of Participant by PSX vide notice no. PSX/N-4861 dated August 31, 2016
676	AB Equities (Private) Limited	Removal of Suspension	26-Aug-16	Participant has complied with the Regulation 6.8.2
677	Quality Islamic Investments & Securities (Pvt) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016
678	A.H.K.D. Securities (Private) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016
679	Stable Securities (Pvt) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016
680	Qasim Mahmood Securities (Snc Pvt) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016
681	Mashrafi Securities (Private) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016
682	SMB Securities (Private) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016
683	H.M.V. Securities (Private) Limited	Terminated	19-Aug-16	Voluntary Termination
684	Saima Qaiser Securities (Pvt.) Limited	Suspended	17-Aug-16	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/419/16 dated August 17, 2016
685	Saima Qaiser Securities (Pvt.) Limited	Removal of Suspension	17-Aug-16	consequent to removal of suspension National Clearing Company of Pakistan vide notice no. NCCPL/CS/411/16 dated August 17, 2016
686	Casim Investments (Private) Limited	Removal of Restriction	12-Aug-16	Participant has complied with Regulation 6.8.1 of the CDC Regulations.
687	Casim Investments (Private) Limited	Restricted	11-Aug-16	As the Participant has not complied 6.8.1 of the CDC Regulation

Updated as of August 31, 2019