

Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

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Disciplinary Register - Participants

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Disciplinary Register - Participants
Under Regulation 14.6.1 of the CMC Regulations

S. No.	Name of Participant	Disciplinary Action	Notice Date	Reason
320	MF Securities (Pvt) Limited	Restricted	25-Jul-19	Consequent to sanctioning off of trading terminals of Participant by PFR vide notice no. PFRN/19/1 dated July 26, 2019.
321	Equinox Securities Limited	Contract Violate	25-Jul-19	Non Compliance of CMC Regulations
322	Alfa Axi Securities (Pvt) Limited	Contract Violate	25-Jul-19	Non Compliance of CMC Regulations
323	Axis Securities (Private) Limited	Removal of Suspension	25-Jul-19	Due to removal of suspension of Participant by NCFP, as notified vide notice no. NCFP/AN/2019/1 dated July 26, 2019.
324	MF Securities (Private) Limited	Restricted	25-Jul-19	Consequent to sanctioning off of trading terminals of Participant by PFR vide notice no. PFRN/19/1 dated July 26, 2019.
325	Axis Securities (Private) Limited	Suspended	25-Jul-19	Consequent to the suspension of Participant by NCFP, as notified vide notice no. NCFP/AN/2019/1 dated July 26, 2019.
326	Equinox Securities (Pvt) Limited	Notice of Restriction & Contract	9-Jul-19	Non Compliance of CMC Regulations
327	Equinox Securities & Company	Notice of Restriction & Contract	9-Jul-19	Non Compliance of CMC Regulations
328	Indusnet Securities Limited	Removal of Restrictions	28-Jun-19	Consequent to removal of trading terminals of Participant by PFR, as notified by PFR vide notice no. PFRN/19/1 dated June 26, 2019.
329	Universal Equities Limited	Suspended	26-Jun-19	Consequent to the suspension of Participant by NCFP, as notified vide notice no. NCFP/AN/2019/1 dated June 26, 2019.
330	Universal Equities Limited	Removal of Suspension	26-Jun-19	Due to removal of suspension of Participant by NCFP, as notified vide notice no. NCFP/AN/2019/1 dated June 26, 2019.
331	Chia Securities (Pvt) Limited	Notice in respect of Participant	25-Jun-19	Participant has complied with the Regulation 14.6.1 of CMC Regulations.
332	Indusnet Securities Limited	Restricted	28-Jun-19	Consequent to sanctioning off of trading terminals of Participant by PFR vide notice no. PFRN/19/1 dated June 26, 2019.
333	Equinox Indusnet Securities Services (Private) Limited	Terminated	25-Jun-19	Voluntary Termination
334	Equinox Capital Securities (Pvt) Limited	Notice of Restriction & Contract	25-May-19	Non Compliance of CMC Regulations
335	Axis Capital Limited	Contract Violate	25-May-19	Non Compliance of CMC Regulations
336	Axis Securities (Private) Limited	Notice of Restriction & Contract	26-May-19	Non Compliance of CMC Regulations
337	Axis Securities (Pvt) Limited	Contract Violate	26-May-19	Non Compliance of CMC Regulations
338	Axis Securities (Pvt) Limited	Notice of Restriction & Contract	26-May-19	Non Compliance of CMC Regulations
339	Equinox & Axis Indusnet Securities (Pvt) Limited	Notice of Restriction & Contract	26-May-19	Non Compliance of CMC Regulations
340	A. M. Securities (Pvt) Limited	Notice of Restriction & Contract	26-May-19	Non Compliance of CMC Regulations
341	Axis Capital Securities (Private) Limited	Terminated	26-May-19	Voluntary Termination
342	First Capital Equities Limited	Removal of Restrictions	22-May-19	Consequent to suspension of trading terminals of Participant by PFR, as notified by PFR vide notice no. PFRN/19/1 dated May 24, 2019.
343	First Capital Equities Limited	Restricted	22-May-19	Participant by PFR vide notice no. PFRN/19/1 dated May 24, 2019.
344	Axis Securities (Private) Limited	Suspended	24-May-19	Consequent to the suspension of Participant by NCFP, as notified vide notice no. NCFP/AN/2019/1 dated May 24, 2019.
345	Axis Securities (Private) Limited	Removal of Suspension	24-May-19	Consequent to removal of suspension by NCFP, as notified vide notice no. NCFP/AN/2019/1 dated May 24, 2019.
346	Axis Stock Brokers (Pvt) Limited	Terminated	22-May-19	Voluntary Termination
347	Axis Securities (Private) Limited	Suspended	9-May-19	Consequent to the suspension by NCFP, as notified vide notice no. NCFP/AN/2019/1 dated May 09, 2019.
348	Axis Securities (Private) Limited	Removal of Suspension	9-May-19	Consequent to removal of suspension by NCFP, as notified vide notice no. NCFP/AN/2019/1 dated May 09, 2019.
349	Indusnet Securities Limited	Notice of Restriction & Contract	9-May-19	Non Compliance of CMC Regulations
350	Learning Investment & Securities (Private) Limited	Notice in respect of Participant	9-May-19	Participant has complied with the Regulation 14.6.1 of CMC Regulations.
351	Axis Securities (Pvt) Limited	Terminated	9-May-19	Voluntary Termination
352	Indusnet Securities Limited	Notice of Restriction & Contract	09-May-19	Non Compliance of CMC Regulations
353	Axis Securities (Pvt) Limited	Contract Violate	09-May-19	Non Compliance of CMC Regulations
354	Axis Securities (Private) Limited	Notice of Restriction & Contract	09-May-19	Non Compliance of CMC Regulations
355	Axis Securities (Private) Limited	Notice of Restriction & Contract	09-May-19	Non Compliance of CMC Regulations
356	Equinox Securities (Private) Limited	Terminated	09-May-19	Voluntary Termination
357	Axis Securities (Pvt) Limited	Suspended	9-Apr-19	Due to non-compliance of 14.6.1 of CMC Regulations after completing 60 Business Days of restrictions.
358	Learning Investment & Securities (Private) Limited	Suspended	26-Mar-19	Due to non-compliance of 14.6.1 of CMC Regulations after completing 60 Business Days of restrictions.
359	Axis Indusnet Securities (Private) Limited	Suspended	26-Mar-19	Due to non-compliance of 14.6.1 of CMC Regulations after completing 60 Business Days of restrictions.
360	Equinox Indusnet Securities Services (Private) Limited	Suspended	26-Mar-19	Due to non-compliance of 14.6.1 of CMC Regulations after completing 60 Business Days of restrictions.
361	Axis Investments (Private) Ltd.	Suspended	26-Mar-19	Due to non-compliance of 14.6.1 of CMC Regulations after completing 60 Business Days of restrictions.
362	Axis Indusnet Securities Limited	Suspended	26-Mar-19	Due to non-compliance of 14.6.1 of CMC Regulations after completing 60 Business Days of restrictions.
363	Axis Securities (Pvt) Limited	Contract Violate	25-Mar-19	Non Compliance of CMC Regulations
364	Axis Securities (Pvt) Limited	Contract Violate	25-Mar-19	Non Compliance of CMC Regulations
365	Axis Securities (Pvt) Limited	Contract Violate	25-Mar-19	Non Compliance of CMC Regulations
366	Axis Securities (Pvt) Limited	Contract Violate	25-Mar-19	Non Compliance of CMC Regulations
367	Axis Securities (Pvt) Limited	Contract Violate	25-Mar-19	Non Compliance of CMC Regulations
368	Axis Securities (Pvt) Limited	Contract Violate	25-Mar-19	Non Compliance of CMC Regulations
369	MF Securities (Pvt) Limited	Removal of Restrictions	22-Mar-19	Consequent to suspension of trading terminals of Participant by PFR with effect from Monday, March 20, 2019, as notified by PFR.
370	Axis Securities (Private) Limited	Terminated	22-Mar-19	Voluntary Termination
371	MF Securities (Pvt) Limited	Restricted	28-Mar-19	Consequent to sanctioning off of trading terminals of Participant by PFR vide notice no. PFRN/19/1 dated March 28, 2019.
372	MF Securities (Pvt) Limited	Restricted	28-Mar-19	Participant by PFR vide notice no. PFRN/19/1 dated March 28, 2019.
373	MF Stocks (Pvt) Limited	Restricted	28-Mar-19	Consequent to sanctioning off of trading terminals of Participant by PFR vide notice no. PFRN/19/1 dated March 28, 2019.
374	Axis Securities (Pvt) Ltd.	Contract Violate	28-Mar-19	Non Compliance of CMC Regulations
375	Axis Securities Limited	Contract Violate	28-Mar-19	Non Compliance of CMC Regulations
376	Axis Securities (Pvt) Limited	Contract Violate	27-Mar-19	Non Compliance of CMC Regulations
377	Axis Securities (Pvt) Limited	Contract Violate	27-Mar-19	Non Compliance of CMC Regulations
378	Axis Securities (Pvt) Limited	Contract Violate	27-Mar-19	Non Compliance of CMC Regulations
379	Axis Securities (Pvt) Limited	Contract Violate	27-Mar-19	Non Compliance of CMC Regulations
380	Axis Securities (Pvt) Limited	Contract Violate	27-Mar-19	Non Compliance of CMC Regulations
381	Axis Securities (Pvt) Limited	Contract Violate	27-Mar-19	Non Compliance of CMC Regulations
382	Axis Securities (Private) Limited	Suspended	22-Mar-19	Consequent to the suspension by NCFP, as notified vide notice no. NCFP/AN/2019/1 dated March 23, 2019.
383	Axis Securities (Pvt) Limited	Notice in respect of Participant	22-Mar-19	Participant has complied with the Regulation 14.6.1 of CMC Regulations.
384	First Capital Markets Limited	Terminated	22-Mar-19	Consequent to the forfeiture of the certificate of Participant by PFR vide notice no. PFRN/19/1 dated March 22, 2019.
385	L&B Securities (Private) Limited	Notice of Restriction for Ignoring Office Sub-Notice	28-Feb-19	Consequent to sanctioning off of trading terminals of Participant by PFR, as notified by PFR vide notice no. PFRN/19/1 dated February 28, 2019.
386	Axis Securities (Private) Limited	Restricted	28-Feb-19	Consequent to sanctioning off of trading terminals of Participant by PFR, as notified by PFR vide notice no. PFRN/19/1 dated February 28, 2019.
387	Axis Securities (Pvt) Ltd.	Notice of Restriction & Contract	28-Feb-19	Non Compliance of CMC Regulations
388	Equinox Securities (Pvt) Ltd.	Notice of Restriction & Contract	28-Feb-19	Non Compliance of CMC Regulations
389	Axis Securities (Pvt) Limited	Contract Violate	28-Feb-19	Non Compliance of CMC Regulations
390	Axis Securities (Pvt) Limited	Contract Violate	28-Feb-19	Non Compliance of CMC Regulations
391	Axis Securities (Pvt) Limited	Contract Violate	28-Feb-19	Non Compliance of CMC Regulations
392	Axis Securities (Pvt) Limited	Contract Violate	28-Feb-19	Non Compliance of CMC Regulations
393	Axis Securities (Pvt) Limited	Contract Violate	28-Feb-19	Non Compliance of CMC Regulations
394	Axis Securities (Pvt) Limited	Contract Violate	28-Feb-19	Non Compliance of CMC Regulations
395	Axis Securities (Pvt) Limited	Contract Violate	28-Feb-19	Non Compliance of CMC Regulations
396	Axis Securities (Pvt) Limited	Contract Violate	28-Feb-19	Non Compliance of CMC Regulations
397	Axis Securities (Pvt) Limited	Contract Violate	28-Feb-19	Non Compliance of CMC Regulations
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405	Axis Securities (Pvt) Limited	Contract Violate	28-Feb-19	Non Compliance of CMC Regulations
406	Axis Securities (Pvt) Limited	Contract Violate	28-Feb-19	Non Compliance of CMC Regulations
407	Axis Securities (Pvt) Ltd.	Contract Violate	28-Feb-19	Non Compliance of CMC Regulations
408	L&B Securities (Private) Limited	Notice of Restriction & Contract	28-Feb-19	Non Compliance of CMC Regulations

Disciplinary Register - Participants
Under Regulation 14.6.1 of the CFC Regulations

S. No.	Name of Participant	Disciplinary Action	Notice Date	Reason
400	HVC India Securities (Private) Limited	Removal of Restriction	23-Jan-18	Consequent to restoration of trading facilities of Participant by FPI as notified by FPI vide letter no. FPI/IN/16/001 dated October 16, 2016.
401	IGF India Limited	Notice of Restriction & Censure	03-Nov-18	Non Compliance of CFC Regulations.
411	4 A.S. Securities (Pvt) Limited	Removal of Restriction	21-Jan-18	Consequent to restoration of trading facilities of Participant by FPI as notified by FPI vide letter no. FPI/IN/16/001 dated October 16, 2016.
412	IGF India Securities (Private) Limited	Terminated	16-Nov-18	Voluntary Termination.
413	HVC India Securities (Private) Limited	Restored	16-Nov-18	Consequent to switching off of the trading facilities of Participant as notified by FPI vide letter no. FPI/IN/16/001 dated October 16, 2016.
414	4 A.S. Securities (Pvt) Limited	Restored	16-Nov-18	Consequent to switching off of the trading facilities of Participant as notified by FPI vide letter no. FPI/IN/16/001 dated October 16, 2016.
415	CVN Securities (Pvt) Limited	Restored	15-Nov-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.3.2 of the CFC Regulations.
416	HVC Stock Brokerage (Pvt) Ltd.	Removal of Restriction	15-Nov-18	Participant has complied with the Regulation 6.3.2 of the CFC Regulations.
417	IGF India Securities (Pvt) Ltd.	Restored	5-Nov-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.3.2 of the CFC Regulations.
418	Investment Consultant & Securities (Private) Limited	Restored	5-Nov-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.3.2 of the CFC Regulations.
419	HVC Securities (Pvt) Limited	Restored	5-Nov-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.3.2 of the CFC Regulations.
420	Invest Capital Markets Limited	Restored	5-Nov-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.3.2 of the CFC Regulations.
421	HVC Investments (Private) Ltd.	Restored	5-Nov-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.3.2 of the CFC Regulations.
422	HVC Stock Brokerage (Pvt) Ltd.	Restored	5-Nov-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.3.2 of the CFC Regulations.
423	HVC Pakistan Securities Limited	Restored	5-Nov-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.3.2 of the CFC Regulations.
424	Investment Consultant Services (Private) Limited	Restored	5-Nov-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.3.2 of the CFC Regulations.
425	Information Securities & Investments (Private) Limited	Restored	5-Nov-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.3.2 of the CFC Regulations.
426	IGF Fidelity Investing Holdings	Restored	5-Nov-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.3.2 of the CFC Regulations.
427	Investment Consulting Company	Terminated	16-Nov-18	Failure to comply with CFC Regulations.
428	South India Securities (Private) Limited	Removal of Suspension	22-Dec-18	Consequent to switching off of the trading facilities by FPI vide letter no. FPI/IN/16/001 dated October 16, 2016.
429	IGF Global Equity Securities (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
430	HVC Securities (Private) Limited	Removal of Restriction	16-Nov-18	Consequent to restoration of trading facilities of Participant by FPI as notified by FPI vide letter no. FPI/IN/16/001 dated October 16, 2016.
431	IGF Capital Securities (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
432	Investment Securities (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
433	Alpha Capital Securities (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
434	India Securities (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
435	IGF India Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
436	India Securities (Private) Limited	Removal of CFC Notice dated December 18, 2018	12-Dec-18	Participant has complied with Regulation 6.3.2 of the CFC Regulations.
437	HVC Securities Limited	Notice of Restriction & Censure	16-Nov-18	Non Compliance of CFC Regulations.
438	Investment Consultant Services (Private) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
439	4 A.S. Securities (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
440	HVC Securities (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
441	Investment Securities (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
442	Tony Bayard Securities (Private) Limited	Removal of Suspension	26-Nov-18	Consequent to removal of suspension by NCPA, as notified vide letter no. NCPA/IN/16/001 dated November 26, 2016.
443	IGF Global Capital (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
444	Investment Securities (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
445	Investment Securities (Pvt) Ltd.	Notice of Restriction & Censure	16-Nov-18	Non Compliance of CFC Regulations.
446	HVC Capital (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
447	IGF Securities (Pvt) Ltd.	Notice of Restriction & Censure	16-Nov-18	Non Compliance of CFC Regulations.
448	Global Securities Limited	Notice of Restriction & Censure	16-Nov-18	Non Compliance of CFC Regulations.
449	IGF Securities (Pvt) Ltd.	Notice of Restriction	16-Nov-18	Participant has complied with Regulation 6.3.2 of the CFC Regulations.
450	Investment Securities (Private) Limited	Terminated	16-Nov-18	Voluntary Termination.
451	HVC Securities (Private) Limited	Removal of Suspension	16-Nov-18	Consequent to restoration of trading facilities by FPI as notified by FPI vide letter no. FPI/IN/16/001 dated October 16, 2016.
452	HVC Securities (Private) Limited	Restored	16-Nov-18	Consequent to switching off of the trading facilities by FPI vide letter no. FPI/IN/16/001 dated October 16, 2016.
453	Investment Securities (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
454	IGF India Securities (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
455	CVN Securities (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
456	Invest Securities (Private) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
457	IGF India Securities (Private) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
458	IGF India Securities (Pvt) Ltd.	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
459	IGF India Securities (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
460	IGF India Securities (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
461	Invest Securities (Pvt) Limited	Global Letter	16-Nov-18	Non Compliance of CFC Regulations.
462	J A Securities (Private) Limited	Restored	26-Oct-18	Consequent to switching off of the trading facilities by FPI vide letter no. FPI/IN/16/001 dated October 16, 2016.
463	Smart Securities Limited	Removal of Restriction	25-Oct-18	Consequent to restoration of trading facilities of FPI as notified by FPI vide letter no. FPI/IN/16/001 dated October 16, 2016.
464	IG Investment Bank Limited	Terminated	25-Oct-18	Voluntary Termination.
465	India Securities (Pvt) Limited	Suspended	17-Oct-18	Consequent to removal of suspension by NCPA, as notified vide letter no. NCPA/IN/16/001 dated October 17, 2016.
466	India Securities (Pvt) Limited	Removal of Suspension	17-Oct-18	Consequent to removal of suspension by NCPA, as notified vide letter no. NCPA/IN/16/001 dated October 17, 2016.
467	4 A.S. Securities (Pvt) Limited	Restored	16-Oct-18	Consequent to switching off of the trading facilities by FPI vide letter no. FPI/IN/16/001 dated October 16, 2016.
468	LAKSHI (Pvt) Limited	Removal of Restriction	17-Oct-18	Consequent to restoration of trading facilities of FPI as notified by FPI vide letter no. FPI/IN/16/001 dated October 16, 2016.
469	Investment Capital Securities (Pvt) Limited	Notice of Restriction & Censure	6-Oct-18	Non Compliance of CFC Regulations.
470	India Securities (Pvt) Limited	Notice of Restriction & Censure	6-Oct-18	Non Compliance of CFC Regulations.
471	Investment Capital Management (Private) Limited	Notice of Restriction & Censure	6-Oct-18	Non Compliance of CFC Regulations.
472	IGF India Securities (Pvt) Limited	Notice of Restriction & Censure	6-Oct-18	Non Compliance of CFC Regulations.
473	IGF India Securities (Pvt) Limited	Notice of Restriction & Censure	6-Oct-18	Non Compliance of CFC Regulations.
474	IGF India Securities (Pvt) Limited	Notice of Restriction & Censure	6-Oct-18	Non Compliance of CFC Regulations.
475	India Securities (Private) Limited	Notice of Restriction & Censure	6-Oct-18	Non Compliance of CFC Regulations.
476	IGF Capital Securities Limited	Suspended	6-Oct-18	Consequent to the suspension by NCPA, as notified vide letter no. NCPA/IN/16/001 dated October 06, 2016.
477	IGF Capital Securities Limited	Removal of Suspension	6-Oct-18	Consequent to the removal of suspension by NCPA, as notified vide letter no. NCPA/IN/16/001 dated October 06, 2016.
478	HVC Securities (Pvt) Limited	Removal of Restriction	6-Oct-18	Consequent to restoration of trading facilities of FPI as notified by FPI vide letter no. FPI/IN/16/001 dated October 16, 2016.
479	India Securities Limited - Investor Complaints/Enquiries	Global Letter	6-Oct-18	Non Compliance of CFC Regulations.
480	HVC Securities (Private) Limited	Global Letter	6-Oct-18	Non Compliance of CFC Regulations.
481	IGF India Securities (Pvt) Ltd.	Global Letter	6-Oct-18	Non Compliance of CFC Regulations.
482	India Securities (Pvt) Ltd.	Global Letter	6-Oct-18	Non Compliance of CFC Regulations.
483	IGF India Securities (Pvt) Ltd.	Global Letter	6-Oct-18	Non Compliance of CFC Regulations.
484	IGF India Securities (Pvt) Limited	Global Letter	6-Oct-18	Non Compliance of CFC Regulations.
485	HVC Securities (Pvt) Ltd.	Notice of Restriction & Censure	6-Oct-18	Non Compliance of CFC Regulations.
486	IGF India Securities (Pvt) Limited	Notice of Restriction & Censure	6-Oct-18	Non Compliance of CFC Regulations.
487	CVN Securities (Pvt) Limited	Restored	19-Sep-18	Consequent to switching off of the trading facilities of Participant as notified by FPI vide letter no. FPI/IN/16/001 dated September 16, 2016.
488	HVC Investments (Private) Limited	Restored	19-Sep-18	Consequent to switching off of the trading facilities of Participant as notified by FPI vide letter no. FPI/IN/16/001 dated September 16, 2016.
489	LAKSHI (Pvt) Limited	Restored	19-Sep-18	Consequent to switching off of the trading facilities of Participant as notified by FPI vide letter no. FPI/IN/16/001 dated September 16, 2016.
490	India Capital Securities (Private) Limited	Removal of Restriction	19-Sep-18	Consequent to restoration of trading facilities of FPI as notified by FPI vide letter no. FPI/IN/16/001 dated September 16, 2016.
491	HVC Capital Securities (Pvt) Limited	Removal of Restriction	19-Sep-18	Consequent to restoration of trading facilities of FPI as notified by FPI vide letter no. FPI/IN/16/001 dated September 16, 2016.
492	Alpha Capital Securities (Private) Limited	Restored	19-Sep-18	Consequent to switching off of the trading facilities of Participant as notified by FPI vide letter no. FPI/IN/16/001 dated September 16, 2016.
493	HVC Securities (Pvt) Limited	Restored	19-Sep-18	Consequent to switching off of the trading facilities of Participant as notified by FPI vide letter no. FPI/IN/16/001 dated September 16, 2016.
494	HVC Capital Securities (Pvt) Limited	Restored	19-Sep-18	Consequent to switching off of the trading facilities of Participant as notified by FPI vide letter no. FPI/IN/16/001 dated September 16, 2016.
495	Smart Securities Limited	Restored	19-Sep-18	Consequent to switching off of the trading facilities of Participant as notified by FPI vide letter no. FPI/IN/16/001 dated September 16, 2016.
496	Progressive Investment Management (Pvt) Ltd.	Removal of Restriction	18-Sep-18	Participant has removed cause of Restriction.

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Disciplinary Register - Participants
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S. No.	Name of Participant	Disciplinary Action	Notice Date	Reason
729	Bridge Securities (Pvt.) Limited	Restraint Order	16-Aug-17	Non Compliance of CMC Regulations
730	Arundel Investments Limited	Restraint Order	16-Aug-17	Non Compliance of CMC Regulations
731	Global Data Trade (Pvt.) Limited	Restraint Order	16-Aug-17	Non Compliance of CMC Regulations
732	Chandrababu Securities Limited	Notice of Restraint & Penalty	16-Aug-17	Non Compliance of CMC Regulations
733	Alt Asset Securities (Pvt.) Limited	Restraint Order	16-Aug-17	Non Compliance of CMC Regulations
734	Uda Securities (Pvt.) Limited	Notice of Restraint & Penalty	16-Aug-17	Non Compliance of CMC Regulations
735	Uda Securities (Pvt.) Limited	Removal of Restriction	8-Aug-17	Compliant to restriction ending term of participation by PDA vide letter no. PDA/N-WR dated August 08, 2017
736	Chandrababu Securities (Pvt.) Limited	Restraint Order	8-Aug-17	Non Compliance of CMC Regulations

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**Disciplinary Register - Participants
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S. No.	Name of Participant	Disciplinary Action	Notice Date	Reason
885	JA Securities (Pvt) Limited	Removal of Restriction	01-01-17	Participant has complied with the Regulation 14.6.1 of the CFC
886	AA&B Securities (Private) Limited	Removal of Restriction	01-01-17	Participant has complied with the Regulation 14.6.1 of the CFC
887	K.A.R.B. Securities (Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
888	JA Equities (Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
889	AFB Analytics (Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
890	Alind Securities (Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
891	AAI Chaudhry Securities (Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
892	Digipath Electronic Services (Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
893	Iskcon Capital Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
894	AFB Securities (Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
895	Wingate Investments (Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
896	JTA Capital Securities (Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
897	Equinox Capital Markets (DMC-Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
898	MAAB Securities (Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
899	Westfield Securities (Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
900	PA Messer Securities (Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
901	United Multinational Securities (Bim-Pvt) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
902	Reflexus Capital (Pvt) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
903	JA Securities (Pvt) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
904	JA Securities (Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
905	MA Securities (Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
906	MAA Securities (Private) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
907	Udian Securities (Pvt) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
908	MAK Visions(Pvt) Limited	Restriction	21-04-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC
909	Alind Bank Limited, (MA Bank)	Notice of Intention to Suspend	20-Dec-16	Failure to submit the CFC accounting data.
910	Alind Bank Limited, (AB Bank)	Notice of Intention to Suspend	20-Dec-16	Failure to submit the CFC accounting data.
911	Alind Bank Limited, (JA Bank)	Notice of Intention to Suspend	20-Dec-16	Failure to submit the CFC accounting data.
912	Alind Bank Limited, (MA Bank)	Notice of Intention to Suspend	20-Dec-16	Failure to submit the CFC accounting data.
913	Alind Bank Limited, (AB Bank)	Notice of Intention to Suspend	20-Dec-16	Failure to submit the CFC accounting data.
914	Alind Bank Limited, (JA Bank)	Notice of Intention to Suspend	20-Dec-16	Failure to submit the CFC accounting data.
915	Reflexus Capital (Private) Limited	Restriction	20-Dec-16	Due to contravention of provisions of the CFC
916	MAA Capital Securities (Private) Limited	Notice of Restriction	09-Dec-16	Non Compliance of CFC Regulations
917	MAA Capital Securities (Private) Limited	Notice of Restriction	09-Dec-16	Non Compliance of CFC Regulations
918	JA Securities (Pvt) Ltd	Notice of Restriction	09-Dec-16	Non Compliance of CFC Regulations
919	JA Securities (Private) Limited	Notice of Restriction	09-Dec-16	Non Compliance of CFC Regulations
920	Equinox Capital Management (Pvt) Ltd	Notice of Restriction	09-Dec-16	Non Compliance of CFC Regulations
921	Alind Capital Securities (Pvt) Limited	Notice of Restriction	09-Dec-16	Non Compliance of CFC Regulations
922	MAA Capital Securities (Private) Limited	Notice of Restriction	09-Dec-16	Non Compliance of CFC Regulations
923	MAA Capital Securities (Private) Limited	Notice of Restriction	09-Dec-16	Non Compliance of CFC Regulations
924	JA Securities (Pvt) Limited	Notice of Restriction	09-Dec-16	Non Compliance of CFC Regulations
925	MAA Capital Securities (Pvt) Ltd	Notice of Restriction	09-Dec-16	Non Compliance of CFC Regulations
926	Equinox Capital (Pvt) Ltd	Notice of Restriction	09-Dec-16	Non Compliance of CFC Regulations
927	JA Securities (Private) Ltd	Notice of Restriction	09-Dec-16	Non Compliance of CFC Regulations
928	MAA Capital Securities (Private) Limited	Notice of Restriction	09-Dec-16	Non Compliance of CFC Regulations
929	MAA Capital Securities (Private) Limited	Notice of Restriction	09-Dec-16	Non Compliance of CFC Regulations
930	AAI Chaudhry Securities (Private) Limited	Removal of Restriction	7-Dec-16	Consequent to submission using revision of Participant for PFA
931	JA Bank (Private) Limited	Termination	07-Dec-16	due to non compliance with Regulation 14.6.1 of the CFC
932	AAI Chaudhry Securities (Private) Limited	Restriction	06-Dec-16	Due to non-compliance of trading terminals, of Participant for PFA
933	AAI Chaudhry Securities (Private) Limited	Restriction	06-Dec-16	Due to non-compliance of trading terminals, of Participant for PFA
934	MAA Capital Securities (Pvt) Ltd	Notice of Restriction	06-Dec-16	Non Compliance of CFC Regulations
935	Iskcon Finance (DMC-Private) Limited	Removal of Restriction	04-Nov-16	Consequent to submission of opening of new sub account and
936	JA Securities (Private) Limited	Termination	03-Nov-16	due to non compliance with Regulation 14.6.1 of the CFC
937	MAA Capital Securities (Private) Limited	Termination	03-Nov-16	due to non compliance with Regulation 14.6.1 of the CFC
938	JA Securities (Private) Limited	Termination	03-Nov-16	due to non compliance with Regulation 14.6.1 of the CFC
939	MAA Capital Securities (Private) Limited	Termination	03-Nov-16	due to non compliance with Regulation 14.6.1 of the CFC
940	MAA Capital Securities (Private) Limited	Termination	03-Nov-16	due to non compliance with Regulation 14.6.1 of the CFC
941	MAA Capital Securities (Private) Limited	Termination	03-Nov-16	due to non compliance with Regulation 14.6.1 of the CFC
942	MAA Capital Securities (Private) Limited	Termination	03-Nov-16	due to non compliance with Regulation 14.6.1 of the CFC
943	MAA Capital Securities (Private) Limited	Termination	03-Nov-16	due to non compliance with Regulation 14.6.1 of the CFC
944	MAA Capital Securities (Private) Limited	Termination	03-Nov-16	due to non compliance with Regulation 14.6.1 of the CFC
945	JA Capital Securities (Private) Limited	Restriction	01-Oct-16	Due to non-compliance of trading terminals, of Participant for PFA
946	MAA Capital Securities (Private) Limited	Notice of Restriction	08-Oct-16	Non Compliance of CFC Regulations
947	MAA Capital Securities (Private) Limited	Notice of Restriction	08-Oct-16	Non Compliance of CFC Regulations
948	MAA Capital Securities (Private) Limited	Notice of Restriction	08-Oct-16	Non Compliance of CFC Regulations
949	JA Securities (Private) Ltd	Notice of Restriction	07-Oct-16	Non Compliance of CFC Regulations
950	MAA Capital Securities (Private) Limited	Notice of Restriction	07-Oct-16	Non Compliance of CFC Regulations
951	MAA Capital Securities (Private) Limited	Notice of Restriction	07-Oct-16	Non Compliance of CFC Regulations
952	MAA Capital Securities (Private) Limited	Notice of Restriction	07-Oct-16	Non Compliance of CFC Regulations
953	MAA Capital Securities (Private) Limited	Notice of Restriction	07-Oct-16	Non Compliance of CFC Regulations
954	MAA Capital Securities (Private) Limited	Notice of Restriction	07-Oct-16	Non Compliance of CFC Regulations
955	MAA Capital Securities (Private) Limited	Notice of Restriction	07-Oct-16	Non Compliance of CFC Regulations
956	MAA Capital Securities (Private) Limited	Notice of Restriction	07-Oct-16	Non Compliance of CFC Regulations
957	MAA Capital Securities (Private) Limited	Notice of Restriction	07-Oct-16	Non Compliance of CFC Regulations
958	MAA Capital Securities (Private) Limited	Notice of Restriction	07-Oct-16	Non Compliance of CFC Regulations
959	H. A. Remy & Co. (Pvt) Limited	Removal of Restriction	04-Oct-16	Participant has complied with Regulation 14.6.1 of the CFC
960	Equinox Capital Management (Private) Limited	Termination	03-Oct-16	due to non compliance with Regulation 14.6.1 of the CFC
961	H. A. Remy & Co. (Pvt) Limited	Restriction	04-Oct-16	Participant has not complied with Regulation 14.6.1 of the CFC
962	MAK Visions Securities (Private) Limited	Restriction	03-Oct-16	Due to non-compliance of trading terminals, of Participant for PFA
963	MAK Visions Securities (Private) Limited	Restriction	03-Oct-16	Due to non-compliance of trading terminals, of Participant for PFA
964	JA Securities (Pvt) Ltd	Notice of Restriction	03-Oct-16	Non Compliance of CFC Regulations
965	Iskcon Capital Limited	Restriction	03-Oct-16	Due to non-compliance of trading terminals, of Participant for PFA
966	Equinox Capital Management (Private) Limited	Restriction	03-Oct-16	Due to non-compliance of trading terminals, of Participant for PFA
967	PA Messer Securities (Private) Limited	Restriction	03-Oct-16	Due to non-compliance of trading terminals, of Participant for PFA
968	AAI Chaudhry Securities (Private) Limited	Restriction	03-Oct-16	Due to non-compliance of trading terminals, of Participant for PFA
969	MA Securities (Private) Limited	Termination	03-Oct-16	due to non compliance with Regulation 14.6.1 of the CFC