

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

S. No.	Name of Participant	Disciplinary Action	Notice Date	Reason
136	136 Securities (Pvt) Ltd	Rescinded	1-09-09	Failure to submit financial statement or Auditor Certificate as required under Regulation 8.2.1 of the CDC Regulation.
137	136 Securities (Pvt) Limited	Rescinded	1-09-09	Failure to submit financial statement or Auditor Certificate as required under Regulation 8.2.1 of the CDC Regulation.
138	N S Securities (Private) Limited	Rescinded	1-09-09	Failure to submit financial statement or Auditor Certificate as required under Regulation 8.2.1 of the CDC Regulation.
139	Central Bank Securities (Private) Limited	Rescinded	01-Nov-09	Voluntary Termination
140	AAA Securities (Pvt) Limited - MP	Rescinded of Authorization	20-Dec-09	Consent to removal of Authorization by NCFCA, as an MP Account holder vide notice no. NCFCA/ER/132/09 dated December 14, 2009.
141	AAA Securities (Private) Limited	Rescinded	01-Nov-09	Voluntary Termination
142	Capital Capital Limited	Consent Letter	01-Dec-09	Non-Compliance of CDC Regulations
143	Capital Capital (Pvt) Ltd	Consent Letter	1-10-09	Non-Compliance of CDC Regulations
144	AAA Securities (Pvt) Limited	Consent Letter	1-10-09	Non-Compliance of CDC Regulations
145	International Investment Securities (Pvt) Limited	Consent Letter	1-10-09	Non-Compliance of CDC Regulations
146	Capital Capital (Pvt) Limited	Consent Letter	1-10-09	Non-Compliance of CDC Regulations
147	Prasad Trust Securities (Pvt) Limited	Consent Letter	1-10-09	Non-Compliance of CDC Regulations
148	India Trade & Commerce (Pvt) Limited	Notice of Rescission & Consent	1-10-09	Non-Compliance of CDC Regulations
149	India Trade Securities (Pvt) Limited	Consent Letter	1-10-09	Non-Compliance of CDC Regulations
150	AAA Securities (Pvt) Limited	Consent Letter	1-10-09	Non-Compliance of CDC Regulations
151	AAA Securities (Pvt) Limited	Consent Letter	1-10-09	Non-Compliance of CDC Regulations
152	Alpha Securities (Pvt) Limited	Consent Letter	2-10-09	Non-Compliance of CDC Regulations
153	International Trade Securities (Private) Limited	Rescinded	01-Nov-09	Voluntary Termination
154	J S India Capital Markets (Private) Limited	Consent Letter	01-Nov-09	Non-Compliance of CDC Regulations
155	J S Capital & Co. (Pvt) Limited	Consent Letter	01-Nov-09	Non-Compliance of CDC Regulations
156	AAA Securities (Pvt) Limited	Consent Letter	01-Nov-09	Non-Compliance of CDC Regulations
157	AAA Securities (Pvt) Ltd	Consent Letter	01-Nov-09	Non-Compliance of CDC Regulations
158	India Investment Securities (Private) Limited	Rescinded	01-Nov-09	Voluntary Termination
159	Alpha Capital Markets Limited	Rescinded	01-Nov-09	Voluntary Termination
160	AAA Securities Limited	Rescinded	01-Nov-09	Consent to revoking of trading account of Participant by PSE vide notice no. PSE/14-248 dated October 01, 2010.
161	AAA Capital Equities (Private) Limited	Rescinded	01-Nov-09	Consent to revoking of trading account of Participant by PSE vide notice no. PSE/14-248 dated October 01, 2010.
162	AAA Capital (Private) Limited	Rescinded	1-Nov-09	Voluntary Termination
163	India Capital Management Services (Pvt) Limited	Notice of Rescission of Authority	1-Nov-09	Non-Compliance of CDC Regulations
164	AAA Capital Management Limited	Notice of Rescission & Consent	1-10-09	Non-Compliance of CDC Regulations
165	AAA Securities (Private) Limited	Rescinded	01-10-09	Consent to the suspension of Participant by NCFCA, as notified vide notice no. NCFCA/ER/132/09 dated September 22, 2009.
166	AAA Securities (Private) Limited	Rescinded of Authorization	01-10-09	Due to removal of authorization of Participant by NCFCA, as notified vide notice no. NCFCA/ER/132/09 dated October 22, 2009.
167	Alpha Capital (Private) Limited	Rescinded	01-10-09	Voluntary Termination
168	Alpha Capital Management Limited	Notice of Rescission & Consent	01-10-09	Non-Compliance of CDC Regulations
169	Alpha Capital Securities & Investment Corporation (Private) Limited	Rescinded	01-10-09	Voluntary Termination
170	Alpha Capital (Pvt) Limited	Rescinded	1-10-09	Consent to revoking of trading account of Participant by PSE vide notice no. PSE/14-248 dated October 01, 2010.
171	AAA Securities (Private) Limited	Consent Letter	1-10-09	Non-Compliance of CDC Regulations
172	Alpha Capital Securities (Pvt) Limited	Consent Letter	1-10-09	Non-Compliance of CDC Regulations
173	Alpha Capital Securities (Pvt) Limited	Rescinded of Authorization	01-Sep-09	Consent to revoking of trading account of Participant by PSE vide notice no. PSE/14-248 dated October 01, 2010.
174	Alpha Capital Securities (Private) Limited	Rescinded	01-Sep-09	Voluntary Termination
175	Alpha Capital Ltd	Notice of Rescission & Consent	01-Sep-09	Non-Compliance of CDC Regulations
176	Alpha Capital Securities (Pvt) Limited	Rescinded	01-Sep-09	Consent to revoking of trading account of Participant by PSE vide notice no. PSE/14-248 dated October 01, 2010.
177	AAA Securities (Pvt) Limited - MP	Rescinded	01-Sep-09	Consent to request the revocation by NCFCA, as an MP Account holder vide notice no. NCFCA/ER/132/09 dated September 17, 2009.
178	Alpha Capital Securities (Pvt) Limited	Consent Letter	01-Sep-09	Non-Compliance of CDC Regulations
179	AAA Securities Limited	Consent Letter	01-Sep-09	Non-Compliance of CDC Regulations
180	Alpha & Markets Securities (Pvt) Limited	Consent Letter	01-Sep-09	Non-Compliance of CDC Regulations
181	Alpha Investment (Pvt) Limited	Consent Letter	01-Sep-09	Non-Compliance of CDC Regulations
182	Alpha Capital Securities (Pvt) Limited	Consent Letter	01-Sep-09	Non-Compliance of CDC Regulations
183	Alpha Markets Securities (Private) Limited	Consent Letter	01-Sep-09	Non-Compliance of CDC Regulations
184	Alpha Securities (Pvt) Ltd	Notice of Rescission & Consent	01-Sep-09	Non-Compliance of CDC Regulations
185	AAA Securities (Pvt) Ltd	Consent Letter	01-Sep-09	Non-Compliance of CDC Regulations
186	MP Financial Services Limited	Rescinded of Authorization	01-Sep-09	Consent to the suspension of Status of Participant by NCFCA vide notice no. NCFCA/ER/132/09 dated September 14, 2009.
187	Alpha Capital Securities (Pvt) Limited - MP	Rescinded	01-Sep-09	Consent to request the revocation by NCFCA, as an MP Account holder vide notice no. NCFCA/ER/132/09 dated September 14, 2009.
188	Alpha Securities (Private) Limited - MP	Rescinded	01-Sep-09	Consent to request the revocation by NCFCA, as an MP Account holder vide notice no. NCFCA/ER/132/09 dated September 14, 2009.
189	Alpha Equities (Pvt) Limited	Rescinded	01-Sep-09	Consent to revoking of trading account of Participant by PSE vide notice no. PSE/14-248 dated October 01, 2010.
190	MP Financial Services Limited	Rescinded	01-Sep-09	Consent to suspend the Status of Participant by NCFCA vide notice no. NCFCA/ER/132/09 dated September 14, 2009.
191	Alpha Securities (Pvt) Limited	Consent Letter	1-Sep-09	Non-Compliance of CDC Regulations
192	AAA Capital Securities (Pvt) Limited	Notice of Rescission & Consent	1-Sep-09	Non-Compliance of CDC Regulations
193	Alpha Capital (Pvt) Limited	Notice of Rescission & Consent	1-Sep-09	Non-Compliance of CDC Regulations
194	Alpha Securities (Private) Limited	Rescinded	1-Sep-09	Voluntary Termination
195	Alpha Alpha Securities (Private) Limited	Rescinded	1-Sep-09	Voluntary Termination
196	Alpha Securities (Private) Limited	Rescinded	01-Sep-09	Voluntary Termination
197	AAA Alpha Alpha Securities (Pvt) Limited	Rescinded	01-Aug-09	Voluntary Termination
198	AAA Securities (Private) Limited	Rescinded	01-Aug-09	Voluntary Termination
199	AAA Alpha Securities (Private) Limited	Rescinded	01-Aug-09	Voluntary Termination
200	Alpha Alpha Securities (Pvt) Limited	Consent Letter	01-Aug-09	Non-Compliance of CDC Regulations
201	Alpha Securities (Pvt) Limited	Consent Letter	01-Aug-09	Non-Compliance of CDC Regulations
202	AAA Securities (Pvt) Ltd	Consent Letter	01-Aug-09	Non-Compliance of CDC Regulations
203	Alpha Securities (Pvt) Limited	Consent Letter	01-Aug-09	Non-Compliance of CDC Regulations
204	Alpha Securities (Private) Limited	Consent Letter	01-08-09	Non-Compliance of CDC Regulations
205	Alpha Securities (Pvt) Limited	Consent Letter	01-08-09	Non-Compliance of CDC Regulations
206	Alpha Alpha Securities (Pvt) Ltd	Consent Letter	01-08-09	Non-Compliance of CDC Regulations
207	Alpha Securities (Pvt) Limited	Consent Letter	01-08-09	Non-Compliance of CDC Regulations
208	AAA Securities (Pvt) Limited	Rescinded of Authorization	01-08-09	Consent to suspend the trading account of Participant by PSE, as notified by PSE vide notice no. PSE/14-248 dated July 17, 2010.

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

S. No.	Name of Participant	Disciplinary Action	Notice Date	Reason
298	MC Stock (Private) Limited	Removal of Restriction	26-09-18	Compliance to restriction of trading benefits of Participant by PIA with immediate effect as notified by PIA vide notice no. PIA/14.6.1 dated December 14, 2018 .
299	AT Capital Limited	Notice of Restriction & Censure	27-09-18	Non-Compliance of CFC Regulations
300	A.S. Securities (Pvt) Limited	Removal of Restriction	27-09-18	Compliance to restriction of trading benefits of Participant by PIA with immediate effect as notified by PIA vide notice no. PIA/14.6.1 dated December 14, 2018 .
301	Sea Star Securities (Private) Limited	Terminated	28-09-18	Participant has ceased business
302	MC Stock (Private) Limited	Restriction	28-09-18	Compliance to withdrawal of the trading benefits of Participant as notified by PIA vide notice no. PIA/14.6.1 dated January 16, 2019 .
303	S.A.S Securities (Pvt) Limited	Restriction	28-09-18	Compliance to withdrawal of the trading benefits of Participant as notified by PIA vide notice no. PIA/14.6.1 dated January 16, 2019 .
304	SEA Securities (Pvt) Limited	Restriction	28-09-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC Regulations.
305	SEA Stock Management (Pvt) Ltd	Removal of Restriction	27-09-18	Participant has complied with Regulation 14.6.1.
306	MC Stock Securities (Pvt) Ltd	Restriction	1-10-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC Regulations.
307	Seating Investment & Securities (Private) Limited	Restriction	1-10-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC Regulations.
308	MC Stock Securities (Pvt) Limited	Restriction	1-10-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC Regulations.
309	Invest Capital Markets Limited	Restriction	2-10-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC Regulations.
310	Invest Capital Markets (Private) Ltd	Restriction	2-10-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC Regulations.
311	SEA Stock Management (Pvt) Ltd	Restriction	1-10-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC Regulations.
312	SEA Securities (Private) Limited	Restriction	1-10-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC Regulations.
313	Equinox (Private) Financial Services (Private) Limited	Restriction	1-10-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC Regulations.
314	McStock Securities & Investments (Private) Limited	Restriction	1-10-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC Regulations.
315	SEA Trading Seating Member	Restriction	2-10-18	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 14.6.1 of the CFC Regulations.
316	Seating Seating Corporation Limited	Restriction	01-10-18	Failure to submit the CFC outstanding dues.
317	SEA Alpha Securities (Private) Limited	Removal of Suspension	21-09-18	Compliance to restriction of trading benefits of Participant by PIA with immediate effect vide notice no. PIA/14.6.1 dated December 14, 2018 .
318	SEA Capital Market Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
319	SEA Trading (Private) (Pvt) Limited	Removal of Restriction	01-10-18	Compliance to restriction of trading benefits of Participant by PIA with immediate effect vide notice no. PIA/14.6.1 dated December 14, 2018 .
320	SEA Capital Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
321	Capital Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
322	SEA Capital Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
323	SEA Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
324	SEA Stock Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
325	SEA Securities (Private) Limited	Removal of CFC notice with suspension till 30/09/18	01-10-18	Participant has complied with Regulation 14.6.1 of the CFC Regulations.
326	SEA Securities Limited	Notice of Restriction & Censure	01-10-18	Non-Compliance of CFC Regulations
327	Capital Capital Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
328	SEA Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
329	SEA Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
330	Capital Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
331	Teal Beyond Securities (Private) Limited	Removal of Suspension	28-09-18	Compliance to removal of suspension by NCPA as notified vide notice no. NCPA/REG/13/158 dated November 28, 2018 and approval of trading benefits of Participant as notified vide notice no. PIA/14.6.1 dated December 14, 2018 .
332	SEA Global Capital (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
333	Capital Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
334	SEA Capital Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
335	SEA Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
336	SEA Securities (Private) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
337	Capital Capital Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
338	SEA Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
339	Capital Securities (Private) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
340	SEA Securities (Private) Limited	Removal of Suspension	28-09-18	Compliance to restriction of trading benefits of Participant by PIA vide notice no. PIA/14.6.1 dated December 14, 2018 .
341	SEA Securities (Private) Limited	Restriction	01-10-18	Compliance to withdrawal of the trading benefits of Participant by PIA vide notice no. PIA/14.6.1 dated December 14, 2018 .
342	Capital Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
343	SEA Stock Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
344	SEA Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
345	SEA Securities (Private) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
346	SEA Securities (Private) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
347	Capital Securities (Pvt) Ltd	Restriction	01-10-18	Non-Compliance of CFC Regulations
348	SEA Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
349	Capital Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
350	SEA Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
351	SEA Securities (Private) Limited	Restriction	26-09-18	Compliance to withdrawal of the trading benefits of Participant as notified by PIA vide notice no. PIA/14.6.1 dated December 14, 2018 .
352	SEA Securities Limited	Removal of Restriction	26-09-18	Compliance to restriction of trading benefits of Participant by PIA with immediate effect vide notice no. PIA/14.6.1 dated December 14, 2018 .
353	Investment Bank Limited	Terminated	27-09-18	Participant has ceased business
354	SEA Stock Securities (Pvt) Limited	Restriction	27-09-18	Compliance to restriction of trading benefits of Participant by PIA vide notice no. PIA/14.6.1 dated December 14, 2018 .
355	SEA Stock Securities (Pvt) Limited	Removal of Suspension	27-09-18	Compliance to removal of suspension by NCPA as notified vide notice no. NCPA/REG/13/158 dated November 28, 2018 and approval of trading benefits of Participant as notified vide notice no. PIA/14.6.1 dated December 14, 2018 .
356	A.S. Securities (Pvt) Limited	Restriction	28-09-18	Compliance to restriction of trading benefits of Participant by PIA with immediate effect as notified by PIA vide notice no. PIA/14.6.1 dated December 14, 2018 .
357	CAWCO (Pvt) Limited	Removal of Restriction	27-09-18	Compliance to restriction of trading benefits of Participant by PIA as notified by PIA vide notice no. PIA/14.6.1 dated December 14, 2018 .
358	Capital Capital Securities (Pvt) Limited	Notice of Restriction & Censure	01-10-18	Non-Compliance of CFC Regulations
359	SEA Securities (Private) Limited	Notice of Restriction & Censure	01-10-18	Non-Compliance of CFC Regulations
360	Equinox Capital Management (Private) Limited	Notice of Restriction & Censure	01-10-18	Non-Compliance of CFC Regulations
361	SEA Securities (Private) Limited	Notice of Restriction & Censure	01-10-18	Non-Compliance of CFC Regulations
362	Capital Capital Securities (Private) Limited	Notice of Restriction & Censure	01-10-18	Non-Compliance of CFC Regulations
363	Capital Capital Securities (Private) Limited	Notice of Restriction & Censure	01-10-18	Non-Compliance of CFC Regulations
364	SEA Stock Securities (Pvt) Limited	Notice of Restriction & Censure	01-10-18	Non-Compliance of CFC Regulations
365	SEA Capital Securities Limited	Restriction	01-10-18	Compliance to restriction by NCPA as notified vide notice no. NCPA/REG/13/158 dated November 28, 2018 and approval of trading benefits of Participant as notified vide notice no. PIA/14.6.1 dated December 14, 2018 .
366	SEA Capital Securities Limited	Removal of Suspension	01-10-18	Compliance to removal of suspension by NCPA as notified vide notice no. NCPA/REG/13/158 dated November 28, 2018 and approval of trading benefits of Participant as notified vide notice no. PIA/14.6.1 dated December 14, 2018 .
367	SEA Securities (Pvt) Limited	Removal of Restriction	01-10-18	Compliance to restriction of trading benefits of Participant by PIA as notified by PIA vide notice no. PIA/14.6.1 dated December 14, 2018 .
368	Capital Capital Securities - Capital Capital Securities	Restriction	01-10-18	Non-Compliance of CFC Regulations
369	SEA Securities (Private) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
370	SEA Stock Securities (Pvt) Ltd	Restriction	01-10-18	Non-Compliance of CFC Regulations
371	SEA Stock Securities (Pvt) Ltd	Restriction	01-10-18	Non-Compliance of CFC Regulations
372	SEA Capital Securities (Pvt) Ltd	Restriction	01-10-18	Non-Compliance of CFC Regulations
373	SEA Securities & Investments Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
374	SEA Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
375	SEA Capital Securities (Pvt) Limited	Restriction	01-10-18	Non-Compliance of CFC Regulations
376	SEA Securities (Pvt) Limited	Restriction	01-10-18	Compliance to withdrawal of the trading benefits of Participant as notified by PIA vide notice no. PIA/14.6.1 dated September 14, 2018 .
377	SEA Securities (Private) Limited	Restriction	01-10-18	Compliance to withdrawal of the trading benefits of Participant as notified by PIA vide notice no. PIA/14.6.1 dated September 14, 2018 .
378	CAWCO (Pvt) Limited	Restriction	01-10-18	Compliance to withdrawal of the trading benefits of Participant as notified by PIA vide notice no. PIA/14.6.1 dated September 14, 2018 .
379	SEA Capital Securities (Private) Limited	Removal of Restriction	01-10-18	Compliance to restriction of trading benefits of Participant by PIA as notified by PIA vide notice no. PIA/14.6.1 dated September 14, 2018 .
380	SEA Capital Securities (Pvt) Limited	Removal of Restriction	01-10-18	Compliance to restriction of trading benefits of Participant by PIA as notified by PIA vide notice no. PIA/14.6.1 dated September 14, 2018 .
381	SEA Capital Securities (Private) Limited	Restriction	01-10-18	Compliance to withdrawal of the trading benefits of Participant as notified by PIA vide notice no. PIA/14.6.1 dated September 14, 2018 .
382	SEA Securities (Pvt) Limited	Restriction	01-10-18	Compliance to withdrawal of the trading benefits of Participant as notified by PIA vide notice no. PIA/14.6.1 dated September 14, 2018 .
383	SEA Capital Securities (Pvt) Limited	Restriction	01-10-18	Compliance to withdrawal of the trading benefits of Participant as notified by PIA vide notice no. PIA/14.6.1 dated September 14, 2018 .
384	SEA Securities Limited	Restriction	01-10-18	Compliance to withdrawal of the trading benefits of Participant as notified by PIA vide notice no. PIA/14.6.1 dated September 14, 2018 .
385	Progressive Investment Management (Pvt) Ltd	Removal of Restriction	01-10-18	Participant has resumed issues of Restriction.

