



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1	CMA Securities (Private) Limited	Removal of Restrictions	27-Jul-23	Consequent to restoration of trading facility by PSX as notified vide notice no PSX/N-773 dated July 26,2023.	15.6.2
2	MCBFSL - Trustee Pakistan Emerging Market Fund-I	Terminated	25-Jul-23	Voluntary Termination	15.10.1
3	Millennium Brokerage (Private) Limited	Restricted	21-Jul-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Participant for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
4	Strongman Securities (Private) Limited	Restricted	21-Jul-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Participant for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
5	K & I Global Capital (Private) Limited	Restricted	21-Jul-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Participant for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
6	DJM SECURITIES LIMITED	Censure Letter	18-Jul-23	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5 & 6.2.5A
7	CAMCO (Private) Limited	Restricted	18-Jul-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-735 dated July 18,2023.	15.2.1(a)
8	Iqbal Usman Kodvavi Securities (Pvt.) Limited	Censure Letter	26-Jun-23	Non-Compliance of CDC Regulations	6.2.A.1, 6.2.4, 6.2.5 & 6.2.5A
9	Salman Majeed Securities (Private) Limited	Censure Letter	26-Jun-23	Non-Compliance of CDC Regulations	7.1.1
10	RAH Securities (Pvt.) Limited	Terminated	23-Jun-23	Voluntary Termination	15.10.1
11	Sethi Securities (Private) Limited	Restricted	23-Jun-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Sethi Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
12	AM Chaudhry Securities (Private) Limited	Restricted	23-Jun-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by AM Chaudhry Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
13	Moneyline Securities (Private) Limited	Restricted	23-Jun-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Moneyline Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
14	Patel Securities (Private) Limited	Terminated	22-Jun-23	Voluntary Termination	15.10.1
15	N.U.A Securities (Pvt.) Limited - MF	Removal of Restrictions	19-Jun-23	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/149/23 dated June 19, 2023	15.6.2
16	N.U.A Securities (Pvt.) Limited - MF	Restricted	19-Jun-23	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/147/23 dated June 16, 2023	15.2.1(a)
17	Venus Securities (Pvt.) Limited	Restricted	9-Jun-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Venus Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
18	Dosslanis Securities (Private) Limited	Restricted	9-Jun-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Dosslani's Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
19	Gul Dhami Securities (Private) Limited	Restricted	2-Jun-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Gul Dhami Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)



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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
20	Salman Majeed Securities (Pvt) Limited	Restricted	2-Jun-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Salman Majeed Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
21	Amer Securities (Private) Limited	Censure Letter	30-May-23	Non-Compliance of CDC Regulations	6.2A.1 & 7.1.1
22	IGI Finex Securities Limited	Censure Letter	25-May-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
23	CMA Securities (Private) Limited	Restricted	19-May-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-501 dated May 19, 2023.	15.2.1(a)
24	BMA Capital Management Limited	Censure Letter	18-May-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
25	Dr. Arslan Razaque Securities (Pvt) Limited	Censure Letter	3-May-23	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
26	Adeel & Nadeem Securities (Pvt.) Limited	Restricted	20-Apr-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Adeel & Nadeem Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
27	MsManiar Financials (Pvt.) Limited	Removal of Restrictions	20-Apr-23	Consequent to restoration of trading facility by PSX vide notice no.PSX/N-392 dated April 19, 2023.	15.6.2
28	The Bank of Punjab	Censure Letter	19-Apr-23	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 & 7.1.1
29	Equity Master Securities (Private) Limited	Terminated	3-Apr-23	Consequent to declaring the Participant as Defaulter by PSX vide notice no. PSX/N-329 dated April 03, 2023	15.3.7
30	MRA Securities Limited	Restriction + Censure	3-Apr-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
31	Standard Capital Securities (Pvt.) Limited	Censure Letter	3-Apr-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
32	Value Stock & Commodities (Pvt.) Limited - MF	Removal of Restrictions	29-Mar-23	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/99/22 dated March 29, 2023	15.6.2
33	Aba Ali Habib Securities (Private) Limited	Censure Letter	28-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 8.2.1(e)
34	Value Stock & Commodities (Pvt.) Limited	Censure Letter	28-Mar-23	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
35	Horizon Securities Limited - MF & MT	Terminated	24-Mar-23	Consequent to the termination by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CS/092/23 dated March 24, 2023	15.3.7
36	Khawaja Securities (Pvt.) Limited	Restricted	24-Mar-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Khawaja Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
37	Asian Securities Limited	Terminated	20-Mar-23	Voluntary Termination	15.10.1
38	A. S. Securities (Private) Limited	Removal of Restrictions	20-Mar-23	Consequent to restoration of trading facility by PSX vide notice no.PSX/N-275 dated March 17, 2023.	15.6.2
39	Trust Securities & Brokerage Limited	Censure Letter	17-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
40	Fawad Yusuf Securities (Private) Limited	Direct	17-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
41	Standard Capital Securities (Pvt.) Limited	Restriction + Censure	17-Mar-23	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6(b)
42	Pasha Securities (Pvt.) Limited	Restricted	17-Mar-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Pasha Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
43	Mannoo Capital (Pvt.) Limited	Restricted	17-Mar-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Mannoo Capital (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)



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Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
44	Enrishers Securities (Pvt.) Limited	Restricted	16-Mar-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-259 dated March 16,2023.	15.2.1(a)
45	A. S. Securities (Private) Limited	Restricted	16-Mar-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-259 dated March 16,2023.	15.2.1(a)
46	Equity Master Securities (Private) Limited	Restricted	16-Mar-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-259 dated March 16,2023.	15.2.1(a)
47	MsManiar Financials (Pvt.) Limited	Restricted	16-Mar-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-259 dated March 16,2023.	15.2.1(a)
48	Shaffi Securities (Pvt.) Limited -MF	Restricted	16-Mar-23	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/86/23 dated March 16, 2023	15.2.1(a)
49	ASA Stocks (Private) Limited	Terminated	14-Mar-23	Voluntary Termination	15.10.1
50	Shajar Capital Pakistan (Private) Limited	Censure Letter	14-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
51	ABM Securities (Pvt.) Limited	Terminated	13-Mar-23	Voluntary Termination	15.10.1
52	Multiline Securities Limited	Censure Letter	13-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
53	Seven Star Securities (Pvt.) Limited	Restriction + Censure	10-Mar-23	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6(b)
54	MsManiar Financials (Pvt.) Limited	Censure Letter	10-Mar-23	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6(b)
55	Xpert Securities Limited	Restricted	9-Mar-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-232 dated March 09,2023.	15.2.1(a)
56	Tariq Vohra Securities (Private) Limited	Terminated	9-Mar-23	Voluntary Termination	15.10.1
57	We Financial Services Limited	Censure Letter	2-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
58	Friendly Securities (Private) Limited	Censure Letter	2-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
59	Ayub Chaudhry Investments (Private) Limited	Censure Letter	2-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
60	KP Securities (Private) Limited	Terminated	28-Feb-23	Voluntary Termination	15.10.1
61	Sakarwala Capital Securities (Pvt.) Limited	Direct	27-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
62	MND Investment (Private) Limited	Restricted	24-Feb-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by MND Investment (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
63	Khanani Securities (Pvt.) Limited	Restricted	24-Feb-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Khanani Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
64	Aba Ali Habib Securities (Private) Limited	Direct	24-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
65	FDM Capital Securities (Private) Limited	Restriction + Censure	23-Feb-23	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6(b)
66	New Peak Securities (Pvt.) Limited	Censure Letter	21-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
67	Mannoo Capital (Pvt.) Limited	Removal of Restrictions	17-Feb-23	Consequent to restoration of trading facility by PSX vide notice no.PSX/N-173 dated February 17, 2023.	15.6.2
68	Abbasi & Company (Private) Limited	Censure Letter	17-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
69	Fairtrade Capital Securities (Pvt.) Limited	Censure Letter	16-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
70	Mannoo Capital (Pvt.) Limited	Restricted	16-Feb-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-160 dated February 16,2023.	15.2.1(a)
71	Dr. Arslan Razaque Securities (Pvt) Limited	Censure Letter	15-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
72	B & B Securities (Private) Limited	Censure Letter	10-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)



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73	Foundation Securities (Private) Limited	Direct	10-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
74	Abbasi & Company (Private) Limited	Direct	7-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
75	Millennium Brokerage (Pvt.) Limited	Censure Letter	6-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
76	Interactive Securities (Pvt.) Limited	Censure Letter	6-Feb-23	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
77	Oriental Securities (Pvt.) Limited	Direct	6-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
78	DJM Securities Limited	Censure Letter	6-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
79	Market 786 (Private) Limited	Terminated	1-Feb-23	Voluntary Termination	15.10.1
80	Lakhani Securities (PVT) Limited.	Terminated	26-Jan-23	Voluntary Termination	15.10.1
81	Cedar Capital (Private) Limited	Terminated	19-Jan-23	Voluntary Termination	15.10.1
82	CMA Securities (Private) Limited	Removal of Restrictions	18-Jan-23	Consequent to change of status as an active TRE Certificate Holder by PSX vide notice no.PSX/N-58 dated January 18, 2023.	15.6.2
83	SAAO Capital (Private) Limited	Removal of Restrictions	18-Jan-23	Consequent to restoration of trading facility by PSX vide notice no.PSX/N-49 dated January 18, 2023.	15.6.2
84	SAAO Capital (Private) Limited	Restricted	17-Jan-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-48 dated January 17,2023.	15.2.1(a)
85	Chase Securities Pakistan (Pvt.) Limited	Censure Letter	11-Jan-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
86	Bawa Securities (Private) Limited	Censure Letter	11-Jan-23	Non-Compliance of CDC Regulations	6.2A.1
87	Merchant Investments (Pvt.) Limited	Terminated	6-Jan-23	Voluntary Termination	15.10.1
88	Shajarpak Securities (Private) Limited	Censure Letter	4-Jan-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
89	ACM Global (Pvt.) Limited	Restricted	30-Dec-22	Consequent to suspension of trading terminals by PSX as notified vide notice no PSX/N-1325 dated December 30,2022.	15.2.1(a)
90	GPH Securities (Private) Limited	Restricted	16-Dec-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by GPH Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
91	High Land Securities (Private) Limited	Restricted	16-Dec-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by High Land Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
92	Q. Ain Khanani Securities (Private) Limited	Terminated	14-Dec-22	Voluntary Termination	15.10.1
93	Intermarket Securities Limited	Direct	12-Dec-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
94	Pearl Securities Limited	Censure Letter	12-Dec-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
95	Askari Securities Limited	Censure Letter	12-Dec-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
96	Ismail Iqbal Securities (Private) Limited	Censure Letter	12-Dec-22	Non-Compliance of CDC Regulations	6.2A.1
97	Galaxy Capital Securities (Private) Limited	Removal of Restrictions	6-Dec-22	Consequent to restoration of trading facility by PSX vide notice no.PSX/N-1234 dated December 06, 2022.	15.6.2
98	Khawaja Securities (Private) Limited	Removal of Restrictions	1-Dec-22	Consequent to removal of restriction by NCCPL vide notice no. NCCPL/CRO/234/22 dated December 01, 2022	15.6.2
99	Galaxy Capital Securities (Private) Limited	Restricted	1-Dec-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-790 dated August 16,2022.	15.2.1(a)
100	Khawaja Securities (Private) Limited	Restricted	29-Nov-22	Consequent to imposing the restriction by NCCPL vide notice no. NCCPL/CRO/232/22 dated November 29, 2022	15.2.1(a)
101	AL Habib Capital Markets (Pvt.) Limited	Censure Letter	28-Nov-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A



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102	Akhai Securities (Private) Limited	Censure Letter	16-Nov-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2A.1 & 6.7.2
103	Sherman Securities (Pvt.) Limited	Censure Letter	16-Nov-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
104	A. S. Securities (Private) Limited	Removal of Restrictions	8-Nov-22	Consequent to change of status as an active TRE Certificate Holder by PSX vide notice no.PSX/N-1107 dated November 08, 2022.	15.6.2
105	Alpha Capital (Pvt.) Limited	Censure Letter	2-Nov-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
106	Apex Capital Securities (Private) Limited	Censure Letter	2-Nov-22	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
107	Value Stock & Commodities (Pvt.) Limited - MF	Restricted	31-Oct-22	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/219/22 dated October 31, 2022	15.2.1(a)
108	Rafi Securities (Pvt.) Limited	Censure Letter	20-Oct-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
109	FDM Capital Securities (Private) Limited	Censure Letter	20-Oct-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
110	MsManiar Financials (Pvt.) Limited	Censure Letter	19-Oct-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
111	Asda Securities (Private) Limited - MF	Restricted	18-Oct-22	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/215/22 dated October 18, 2022	15.2.1(a)
112	Xpert Securities Limited	Removal of Restrictions	11-Oct-22	Consequent to restoration of trading facility by PSX vide notice no.PSX/N-1003 dated October 11, 2022.	15.6.2
113	Value Stock & Commodities (Pvt.) Limited - MF	Removal of Restrictions	4-Oct-22	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/212/22 dated October 03, 2022	15.6.2
114	Time Securities (Pvt.) Limited	Censure	3-Oct-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
115	Aziz Fidahusein & Company (Private) Limited	Terminated	23-Sep-22	Consequent to the forfeiture of TRE Certificate of the Participant by PSX vide notice no. PSX/N-935 dated September 22, 2022	15.3.7
116	A. S. Securities (Private) Limited	Notice in respect of Participant	23-Sep-22	Participant has complied with the Regulation 6.8.2 CDC Regulations	15.6.2
117	Ocean Securities Limited	Removal of Restrictions	31-Aug-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-840 dated August 31, 2022.	15.6.2
118	INA Securities (Private) Limited	Terminated	26-Aug-22	Voluntary Termination	15.10.1
119	MRA Securities Limited	Censure	25-Aug-22	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
120	Millennium Brokerage (Pvt.) Limited	Censure	25-Aug-22	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
121	Asda Securities (Private) Limited	Removal of Restrictions	17-Aug-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-794 dated August 17, 2022.	15.6.2
122	Value Stock & Commodities (Pvt.) Limited - MF	Restricted	16-Aug-22	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/205/22 dated August 16, 2022	15.2.1(a)
123	Horizon Securities Limited - MF & MT	Restricted	16-Aug-22	Consequent to imposing the Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/204/22 dated August 16, 2022	15.2.1(a)
124	Ocean Securities Limited	Restricted	16-Aug-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-790 dated August 16,2022.	15.2.1(a)
125	Asda Securities (Private) Limited	Restricted	16-Aug-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-790 dated August 16,2022.	15.2.1(a)
126	S. D. Mirza Securities (Private) Limited	Restricted	5-Aug-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by S. D. Mirza Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
127	K & I Global Capital (Pvt.) Limited	Censure	2-Aug-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1



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128	Faysal Bank Limited	Terminated	1-Aug-22	Voluntary Termination	15.10.1
129	Khawaja Securities (Private) Limited	Removal of Restrictions	22-Jul-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-700 dated July 22, 2022.	15.6.2
130	Fairtrade Capital Securities (Pvt.) Limited	Restricted	22-Jul-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Fairtrade Capital Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
131	SMAC Investments (Private) Ltd.	Restricted	22-Jul-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by SMAC Investments (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
132	DCCL - Trustee BMA Chundrigar Road Savings Fund	Terminated	21-Jul-22	Voluntary Termination	15.10.1
133	Khanani Securities (Pvt.) Limited	Removal of Restrictions	19-Jul-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-680 dated July 19, 2022.	15.6.2
134	Horizon Securities Limited - MF & MT	Removal of Restrictions	19-Jul-22	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/171/22 dated July 19, 2022	15.6.2
135	Asda Securities (Private) Limited - MF	Removal of Restrictions	19-Jul-22	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/170/22 dated July 19, 2022	15.6.2
136	SMAC Investments (Private) Ltd.	Removal of Restrictions	19-Jul-22	Consequent to change of status as an active TRE Certificate Holder by PSX vide notice no.PSX/N-678 dated July 19, 2022.	15.6.2
137	Fairtrade Capital Securities (Pvt.) Limited	Removal of Restrictions	19-Jul-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-675 dated July 19, 2022.	15.6.2
138	Khawaja Securities (Private) Limited	Restricted	18-Jul-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-671 dated July 18,2022.	15.2.1(a)
139	Fairtrade Capital Securities (Pvt.) Limited	Restricted	18-Jul-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-671 dated July 18,2022.	15.2.1(a)
140	Khanani Securities (Pvt.) Limited	Restricted	18-Jul-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-671 dated July 18,2022.	15.2.1(a)
141	Xpert Securities Limited	Restricted	18-Jul-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-668 dated July 18,2022.	15.2.1(a)
142	SMAC Investments (Private) Ltd.	Notice in respect of Participant	6-Jul-22	Participant has complied with the Regulation 6.8.2 CDC Regulations	15.6.2
143	128 Securities (Private) Limited	Restricted	1-Jul-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by 128 Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
144	Gul Dhami Securities (Private) Limited	Direct	29-Jun-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
145	Yasir Mahmood Securities (Pvt.) Limited	Restricted	24-Jun-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Yasir Mahmood Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
146	MGM Securities (Pvt.) Limited	Direct	23-Jun-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
147	Javed Iqbal Securities (Pvt.) Limited	Direct	23-Jun-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
148	Dawood Equities Ltd	Censure Letter	23-Jun-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
149	Bhayani Securities (Private) Limited	Censure Letter	23-Jun-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5 & 6.2.5A
150	Iqbal Usman Kodvavi Securities (Pvt.) Limited	Censure Letter	23-Jun-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5 & 6.2.5A
151	Habib MetroPolitan Financial Services Limited	Direct	22-Jun-22	Non-Compliance of CDC Regulations	6.2.A.1 & 7.1.1
152	Y.H. Securities (Pvt.) Limited	Direct	22-Jun-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
153	Akhai Securities (Private) Limited	Removal of Restrictions	21-Jun-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-582 dated June 21, 2022.	15.6.2
154	Akhai Securities (Private) Limited	Restricted	17-Jun-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-572 dated June 17,2022.	15.2.1(a)
155	HMC Stocks (Private) Limited	Restricted	17-Jun-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by HMC Stocks (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
156	Memon Securities (Pvt.) Limited	Direct	16-Jun-22	Non-Compliance of CDC Regulations	7.1.1
157	Faysal Bank Limited	Restriction + Censure	16-Jun-22	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 & 7.1.1
158	Cedar Capital (Private) Limited	Restriction + Censure	13-Jun-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.7.2
159	Alfalah CLSA Securities (Pvt.) Limited	Censure Letter	13-Jun-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
160	Multiline Securities Limited	Censure Letter	8-Jun-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.5A
161	Asad Mustafa Securities (Private) Limited	Terminated	8-Jun-22	Voluntary Termination	15.10.1
162	Azee Securities (Private) Limited	Removal of Suspension	6-Jun-22	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/129/22 dated June 06, 2022	15.6.2
163	Azee Securities (Private) Limited	Suspended	6-Jun-22	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/128/22 dated June 06, 2022	15.2.1(b)
164	Abbasi Securities (Pvt.) Limited	Terminated	2-Jun-22	Voluntary Termination	15.10.1
165	Royal Securities (Pvt.) Limited	Suspended	2-Jun-22	Due to non-Compliance of 6.8.2 of CDC regulations after completing 60 business days of restrictions	15.3.7
166	Azee Securities (Private) Limited	Removal of Suspension	27-May-22	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-515 dated May 27, 2022	15.6.2
167	Azee Securities (Private) Limited	Suspended	24-May-22	Consequent to suspension of trading terminals of Participant by PSX vide notice no.PSX/N-492 dated May 24, 2022.	15.2.1(b)
168	HMC Stocks (Private) Limited	Removal of Restrictions	23-May-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-481 dated May 23, 2022.	15.6.2
169	General Invest. & Securities (Pvt.) Limited	Direct	20-May-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
170	Progressive Investment Management (Pvt.) Limited	Direct	20-May-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A
171	Fortune Securities Limited	Censure	20-May-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
172	B & B Securities (Private) Limited	Removal of Restrictions	19-May-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-467 dated May 19, 2022.	15.6.2
173	Asda Securities (Private) Limited - MF	Restricted	17-May-22	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/113/22 dated May 17, 2022	15.2.1(a)
174	Horizon Securities Limited - MF & MT	Restricted	17-May-22	Consequent to imposing the Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/114/22 dated May 17, 2022	15.2.1(a)
175	HMC Stocks (Private) Limited	Restricted	17-May-22	Consequent to restriction on trading facility by PSX as notified vide notice no PSX/N-461 dated May 17,2022.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
176	B & B Securities (Private) Limited	Restricted	17-May-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-463 dated May 17,2022.	15.2.1(a)
177	Bismillah Securities (Private) Limited	Terminated	17-May-22	Voluntary Termination	15.10.1
178	Dawood Equities Ltd	Removal of Suspension	11-May-22	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/111/22 dated May 11, 2022	15.6.2
179	Dawood Equities Ltd	Suspended	11-May-22	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/110/22 dated May 11, 2022	15.2.1(b)
180	Market 786 (Private) Limited	Censure Letter	6-May-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
181	Royal Securities (Private) Limited	Censure Letter	27-Apr-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
182	Spinzer Equities (Private) Limited	Censure Letter	25-Apr-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
183	Fikree's (Private) Limited	Removal of Restriction	20-Apr-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-381 dated April 20, 2022	15.6.2
184	Fikree's (Private) Limited	Restricted	18-Apr-22	Consequent of Restriction on Trading Facility by PSX as notified vide notice no PSX/N-371 dated April 18,2022	15.2.1(a)
185	Moneyline Securities (Private) Limited-MF	Terminated	13-Apr-22	Consequent to the termination by NCCPL as an MF Account Holder vide notice no. NCCPL/CS/121/22 dated April 12, 2022	15.3.7
186	Shajar Capital Pakistan (Private) Limited-MF & MT	Terminated	13-Apr-22	Consequent to the termination by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CS/120/22 dated April 12, 2022	15.3.7
187	Sigma Leasing Corporation Limited	Removal of Suspension	12-Apr-22	Account Holder has settled the CDC outstanding dues	15.6.2
188	Faysal Bank Limited	Restriction + Censure	8-Apr-22	Non-Compliance of CDC Regulations	6.2.2 & 7.1.1
189	Faysal Bank Limited	Censure Letter	8-Apr-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
190	KP Securities (Private) Limited	Restricted	29-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by KP Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
191	Patel Securities (Private) Limited	Censure	24-Mar-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 6.2.6 (b)
192	Akhai Securities (Private) Limited	Restriction + Censure	24-Mar-22	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4,6.2.5,6.2.5A & 6.2.6 (b)
193	Habib Bank Limited -LSE Branch	Restriction + Censure	24-Mar-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4,6.2.5,6.2.5A,6.2A.1 & 7.1.1
194	HP Securities (Private) Limited	Terminated	24-Mar-22	Voluntary Termination	15.10.1
195	KP Securities (Private) Limited	Removal of Restriction	22-Mar-22	Consequent to removal of Restrictions by PSX to change the status as an active TRE Certificate holder vide notice no. PSX/N-284 dated March 22, 2022	15.6.2
196	Strongman Securities (Private) Limited	Removal of Restriction	22-Mar-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-280 dated March 22, 2022	15.6.2
197	Spectrum Securities Limited	Censure Letter	21-Mar-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 7.1.1
198	Darson Securities Limited	Censure Letter	21-Mar-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 7.1.1
199	A. H. M. Securities (Private) Limited	Restriction + Censure	21-Mar-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A, 6.2A.1 & 7.1.1
200	Hamza Farhad Securities (Private) Limited	Censure Letter	21-Mar-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 7.1.1
201	Strongman Securities (Private) Limited	Restricted	21-Mar-22	Consequent of Restriction on Trading Facility by PSX as notified vide notice no PSX/N-265 dated March 21,2022	15.2.1(a)
202	Muhammad Amer Riaz Securities (Private) Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Muhammad Amer Riaz Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
203	Asad Mustafa Securities (Private) Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Asad Mustafa Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
204	Fairway Securities (Private) Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Fairway Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
205	Networth Securities Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Networth Securities Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
206	Fair Edge Securities (Private) Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Fair Edge Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
207	Habib Ullah Sheikh (Private) Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Habib Ullah Sheikh (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
208	Friendly Securities (Private) Limited -MF	Restricted	18-Mar-22	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/67/22 dated March 17, 2022	15.2.1(a)
209	Royal Securities (Pvt.) Limited	Restricted	11-Mar-22	Consequent to continuation of Restriction on Trading Facility by PSX as notified vide notice no PSX/N-242 dated March 11,2022	15.2.1(a)
210	Gulrez Securities (Private) Limited	Restricted	11-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Gulrez Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
211	K.H.S. Securities (Pvt.) Limited	Restricted	11-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by K.H.S. Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
212	Tariq Vohra Securities (Pvt)Limited	Restricted	11-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Tariq Vohra Securities (Pvt) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
213	Patel Securities (Private) Limited	Restricted	11-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Patel Securities (Pvt) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
214	ABM Securities (Pvt.) Limited	Restricted	11-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by ABM Securities (Pvt) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
215	A. I. Securities (Private) Limited	Restricted	4-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by A.I. Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
216	MSD Capital Equities (Private) Limited	Restricted	4-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by MSD Capital Equities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
217	Royal Securities (Pvt.) Limited	Restricted	2-Mar-22	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
218	Arif Habib 1857 (Private) Limited	Terminated	1-Mar-22	Voluntary Termination	15.10.1
219	Nini Securities (Pvt.) Limited	Direct	28-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
220	HH Misbah Securities (Private) Limited	Direct	28-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
221	Pervez Ahmed Capital (Pvt.) Limited	Notice in respect of Participant	24-Feb-22	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
222	Infinite Securities Limited	Notice in respect of Participant	24-Feb-22	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
223	Al Baraka Bank (Pakistan) Limited	Restriction of Sub-Accounts + Censure	23-Feb-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2 & 7.1.1
224	Al Baraka Bank (Pakistan) Limited	Restriction of Sub-Accounts + Censure	23-Feb-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
225	Allied Bank Limited - LSE BRANCH	Restriction of Sub-Accounts + Censure	22-Feb-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2 & 7.1.1
226	Azee Securities (Private) Limited	Censure Letter	21-Feb-22	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.7.2
227	Allied Bank Limited - ISE Branch	Restriction of Sub-Accounts + Censure	18-Feb-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2 & 7.1.1
228	Asad Mustafa Securities (Private) Limited	Censure Letter	18-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
229	Ahsam Securities (Pvt.) Limited	Terminated	18-Feb-22	Voluntary Termination	15.10.1
230	Margalla Financial (Pvt.) Limited	Terminated	18-Feb-22	Voluntary Termination	15.10.1
231	Akik Capital (Private) Limited	Censure	9-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
232	Continental Capital Management (Private) Limited	Censure	9-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
233	Cedar Capital (Private) Limited	Censure	8-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
234	KTrade Securities Limited	Censure	8-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
235	Float Securities (Private) Limited	Terminated	7-Feb-22	Voluntary Termination	15.10.1
236	BankIslami Pakistan Limited	Censure + Restriction	2-Feb-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2 & 7.1.1
237	TS Securities (Pvt.) Limited	Direct	28-Jan-22	Non-Compliance of CDC Regulations	7.1.1
238	K.H.S. Securities (Pvt.) Limited	Censure Letter	24-Jan-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
239	First National Equities Limited	Censure Letter	24-Jan-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
240	Azee Securities (Private) Limited	Notice of Intention to Suspend	18-Jan-22	Failure to settle the CDC outstanding dues.	15.9.1(e)
241	KHS Securities (Pvt.) Limited	Direct	14-Jan-22	Non-Compliance of CDC Regulations	6.2.3
242	BIPL Securities Limited	Censure Letter	10-Jan-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
243	Ismail Iqbal Securities (Private) Limited	Censure Letter	10-Jan-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.5A
244	Habib Ullah Sheikh (Private) Limited	Direct	10-Jan-22	Non-Compliance of CDC Regulations	7.1.1
245	Pervez Ahmed Capital (Pvt.) Limited	Restricted	3-Jan-22	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
246	Infinite Securities Limited	Restricted	3-Jan-22	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
247	Khawaja Securities (Private) Limited	Removal of Restriction	29-Dec-21	Consequent to restoration trading terminals by PSX vide notice no.PSX/N-1518 dated December 29, 2021	15.6.2
248	IGI Finex Securities Limited	Restriction + Censure	24-Dec-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
249	MND Investment (Private) Limited	Censure Letter	24-Dec-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
250	Bawany Securities (Private) Limited	Direct	24-Dec-21	Non-Compliance of CDC Regulations	7.1.1
251	B & B Securities (Private) Limited	Direct	24-Dec-21	Non-Compliance of CDC Regulations	7.1.1
252	Brains Securities (Private) Limited	Censure Letter	24-Dec-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
253	Q. Ain Khanani Securities (Private) Limited	Censure Letter	22-Dec-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
254	Asda Securities (Private) Limited	Restriction + Censure	22-Dec-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
255	First Equity Modaraba	Direct	17-Dec-21	Non-Compliance of CDC Regulations	7.1.1
256	Shaffi Securities (Pvt.) Limited -MF	Removal of Restriction	17-Dec-21	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/418/21 dated December 17, 2021	15.6.2
257	Inveslink Capital (Private) Limited	Restricted	17-Dec-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Inveslink Capital (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
258	Khawaja Securities (Private) Limited	Restricted	17-Dec-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1483 dated December 17, 2021	15.2.1(a)
259	Shajar Capital Pakistan (Private) Limited -MF & MT	Restricted	16-Dec-21	Consequent to imposing the Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/415/21 dated December 15, 2021	15.2.1(a)
260	Equity Master Securities (Private) Limited	Censure Letter	10-Dec-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A
261	Bismillah Securities (Private) Limited	Restricted	9-Dec-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Bismillah Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
262	Saima Qaiser Securities (Pvt.) Limited	Restricted	9-Dec-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Saima Qaiser Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
263	Arif Habib 1857 (Private) Limited	Restricted	3-Dec-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Arif Habib 1857 (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
264	Z.A. Ghaffar Securities (Private) Limited	Restricted	3-Dec-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Z.A. Ghaffar Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
265	Muhammad Salim Kasmani Securities (Private) Limited	Restricted	26-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Muhammad Salim Kasmani Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
266	JSK Securities Limited	Removal of Restriction	25-Nov-21	Consequent to restoration trading terminals by PSX vide notice no.PSX/N-1387 dated November 25, 2021	15.6.2
267	New Peak Securities (Private) Limited	Direct	25-Nov-21	Non-Compliance of CDC Regulations	7.1.1
268	128 Securities (Private) Limited	Censure Letter	25-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
269	Horizon Securities Limited	Censure Letter	24-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
270	Float Securities (Private) Limited	Restricted	19-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Float Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
271	BMA Capital Management Limited	Censure Letter	19-Nov-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
272	Icon Capital Management (Private) Limited	Terminated	17-Nov-21	Voluntary Termination	15.10.1
273	Shaffi Securities (Pvt.) Limited -MF	Restricted	16-Nov-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/381/21 dated November 16, 2021	15.2.1(a)
274	Friendly Securities (Private) Limited -MF	Removal of Restriction	16-Nov-21	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/382/21 dated November 16, 2021	15.6.2
275	JSK Securities Limited	Restricted	16-Nov-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1347 dated November 16, 2021	15.2.1(a)
276	Integrated Equities Limited	Direct	15-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
277	Margalla Financial (Pvt.) Limited	Restricted	12-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Margalla Financial (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
278	Bridge Securities (Pvt.) Limited	Restricted	12-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Bridge Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
279	MSD Capital Equities (Private) Limited	Removal of Restriction	11-Nov-21	Consequent to restoration trading terminals by PSX vide notice no. PSX/N-1332 dated November 11, 2021	15.6.2
280	MSD Capital Equities (Private) Limited	Restricted	9-Nov-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1325 dated November 09, 2021	15.2.1(a)
281	Intermarket Securities Limited	Censure Letter	9-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
282	Saya Securities (Pvt) Ltd.	Restricted	5-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Saya Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
283	ASA Stocks (Private) Limited	Restricted	5-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by ASA Stocks (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
284	Value Stock & Commodities (Pvt.) Limited	Censure Letter	2-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
285	Progressive Securities (Pvt.) Limited	Censure Letter	2-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
286	N.U.A Securities (Pvt.) Limited	Censure Letter	1-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
287	Moneyline Securities (Pvt.) Limited	Direct	29-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
288	RAH Securities (Pvt.) Limited	Censure Letter	29-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
289	Strongman Securities (Private) Limited	Censure Letter	26-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
290	Foundation Securities (Private) Limited	Censure Letter	22-Oct-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
291	Ghani Osman Securities (Private) Limited	Direct	22-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
292	Moonaco Securities (Private) Limited	Censure Letter	22-Oct-21	Non-Compliance of CDC Regulations	7.1.1
293	AKY Securities (Private) Limited	Direct	22-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
294	Millennium Brokerage (Private) Limited	Censure letter	22-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
295	We Financial Services Limited -MF	Restricted	20-Oct-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/363/21 dated October 18, 2021	15.2.1(a)
296	Friendly Securities (Private) Limited -MF	Restricted	20-Oct-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/364/21 dated October 18, 2021	15.2.1(a)
297	Moneyline Securities (Pvt.) Limited -MF	Restricted	20-Oct-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/365/21 dated October 18, 2021	15.2.1(a)
298	Escorts Capital Limited	Terminated	14-Oct-21	Voluntary Termination	15.10.1
299	Azee Securities (Private) Limited	Removal of Restriction	13-Oct-21	Consequent to restoration trading terminals by PSX vide notice no. PSX/N-1219 dated October 13, 2021	15.6.2
300	Tannu Securities (Private) Limited	Censure	12-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
301	Salim Sozer Securities (Pvt.) Limited	Restricted	8-Oct-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Salim Sozer Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
302	Azee Securities (Private) Limited	Restricted	7-Oct-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1190 dated October 07, 2021	15.2.1(a)
303	Falki Capital (Private) Limited	Restricted	17-Sep-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Falki Capital (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
304	We Financial Services Limited -MF	Removal of Restrictions	17-Sep-21	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/352/21 dated September 17, 2021	15.6.2
305	Royal Securities (Pvt.) Limited -MF	Restricted	13-Sep-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/347/21 dated September 10, 2021	15.2.1(a)
306	HP Securities (Private) Limited	Restricted	10-Sep-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by HP Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
307	Ahsam Securities (Pvt.) Limited	Restricted	10-Sep-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Ahsam Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
308	Pearl Securities Limited	Censure	8-Sep-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.A.1, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
309	Askari Securities Limited	Censure	8-Sep-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
310	Azee Securities (Private) Limited	Penalty + Restriction	8-Sep-21	Non-Compliance of CDC Regulations	2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b), 6.2A.1, & 8.2.1
311	Royal Securities (Pvt.) Limited	Removal of Suspension	8-Sep-21	Pursuant to Court Order dated August 25, 2021 of Honorable High Court of Sind and consequent to restoration of the trading terminals by PSX vide notice no. PSX/N-1080 dated September 08, 2021.	15.6.2
312	Arif Habib Limited	Restriction & Censure	7-Sep-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.7.2
313	Aba Ali Habib Securities (Private) Limited	Direct	7-Sep-21	Non-Compliance of CDC Regulations	6.2.A1, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
314	Seven Star Securities (Pvt.) Limited	Censure	6-Sep-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
315	Sherman Securities (Pvt.) Limited	Censure	6-Sep-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
316	MRA Securities Limited	Censure	1-Sep-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
317	Standard Capital Securities (Pvt.) Limited	Censure	1-Sep-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
318	Trust Securities & Brokerage Limited	Censure	1-Sep-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
319	Mayari Securities (Pvt) Limited	Censure	31-Aug-21	Non-Compliance of CDC Regulations	6.2A.1 & 7.1.1
320	R.T. Securities (Pvt) Limited	Censure	26-Aug-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2. & 7.1.1
321	Growth Securities (Private) Limited	Censure	20-Aug-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
322	EFG Hermes Pakistan Limited	Censure	20-Aug-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
323	Next Capital Limited	Direct	20-Aug-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2. & 7.1.1
324	Bawa Securities (Private) Limited	Direct	16-Aug-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
325	Apex Capital Securities (Private) Limited	Censure	16-Aug-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
326	INA Securities (Private) Limited	Restricted	6-Aug-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by INA Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
327	Alfa Adhi Securities (Private) Limited	Censure	27-Jul-21	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.4, 6.2.5, 6.2.5A, 7.1.1, 6.7.2 and 6.2A.1
328	Vector Securities (PVT) Limited	Direct	27-Jul-21	Non-Compliance of CDC Regulations	7.1.1
329	Y.H. Securities (Pvt.) Limited	Direct	27-Jul-21	Non-Compliance of CDC Regulations	7.1.1
330	Fawad Yusuf Securities (Private) Limited	Direct	27-Jul-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 7.1.1, 6.7.2 and 6.2A.1
331	Axis Global Limited	Direct	27-Jul-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
332	We Financial Services Limited	Censure	27-Jul-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
333	Merchant Investments (Pvt.) Limited	Direct	26-Jul-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
334	Time Securities (PVT.) Limited	Censure	26-Jul-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
335	Adam Securities Limited	Censure	23-Jul-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
336	Pearl Securities Limited	Censure	12-Jul-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
337	Din Capital Ltd	Terminated	25-Jun-21	Voluntary Termination	15.10.1
338	Q. Ain Khanani Securities (Private) Limited	Removal of Restriction	17-Jun-21	Consequent to restoration trading terminals by PSX vide notice no. PSX/N-742 dated June 17, 2021	15.6.2
339	Q. Ain Khanani Securities (Private) Limited	Restricted	16-Jun-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-724 dated June 16, 2021	15.2.1(a)
340	First National Equities Limited	Censure	15-Jun-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
341	Fairtrade Capital Securities (Pvt.) Limited	Censure	11-Jun-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
342	Zafar Securities (Private) Limited	Notice of Restriction & Censure	11-Jun-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 7.1.1 & 8.2.1
343	A. H. M. Securities (Private) Limited	Censure	8-Jun-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
344	Muhammad Amer Riaz Securities (Private) Limited	Censure	8-Jun-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
345	HMC Stocks (Private) Limited	Censure	8-Jun-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
346	Moneyline Securities (Pvt) Ltd	Censure	29-May-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
347	Friendly Securities (Private) Limited	Censure	27-May-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
348	128 Securities (Private) Limited	Censure	27-May-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
349	Saya Securities (Pvt) Ltd.	Direct	27-May-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
350	Irfan Mazhar Securities (Pvt) Ltd.	Censure	27-May-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
351	Azee Securities (Private) Limited	Removal of Suspension	25-May-21	consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/215/21 dated May 25, 2021	15.6.2
352	Azee Securities (Private) Limited	Suspended	25-May-21	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/214/21 dated May 25, 2021	15.2.1(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
353	ACM Global (Pvt.) Limited	Censure	24-May-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
354	Infinite Securities Limited	Restricted	18-May-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-608 dated May 18, 2021	15.2.1(a)
355	Iqbal Usman Kodvavi Securities (Pvt) Ltd	Censure	6-May-21	Non-Compliance of CDC Regulations	7.1.1
356	Bank Al Habib Limited	Censure	6-May-21	Censure for assuring compliance of CDC Regulations in every respect	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
357	KP Securities (Private) Limited	Notice in respect of Participant	5-May-21	Participant has complied with the Regulation 6.8.2 CDC Regulations	15.6.2
358	Ayub Chaudhry Investments (Private) Limited	Censure + Restriction	23-Apr-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
359	AL Habib Capital Markets (Pvt.) Limited	Censure	23-Apr-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
360	Yasir Mahmood Securities (Pvt.) Limited	Direct	19-Apr-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
361	Muhammad Tariq Moti Securities (Pvt.) Limited	Censure	16-Apr-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
362	We Financial Services Limited - MF	Restricted	16-Apr-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/187/21 dated April 16, 2021	15.2.1(a)
363	Backers & Partners (Pvt.) Limited	Censure	14-Apr-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
364	Yasir Mahmood Securities (Pvt.) Limited	Direct	14-Apr-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
365	Dawood Equities Ltd	Censure + Restriction	13-Apr-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
366	Infinite Securities Limited	Removal of Suspension	9-Apr-21	Consequent to lift the suspension of license of the Participant as Securities Broker by SECP vide order dated April 09, 2021 and restoring the trading terminals by PSX as notified vide notice no. PSX/N- 477 dated April 09, 2021	15.6.2
367	Rafi Securities (Pvt.) Limited	Censure	9-Apr-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
368	M. J. Memon Securities (Private) Limited	Terminated	8-Apr-21	Voluntary Termination	15.10.1
369	SAZ CAPITAL SECURITIES (PVT) LTD.	Censure	8-Apr-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
370	Multiline Securities Limited	Censure	7-Apr-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
371	TS SECURITIES (PVT) LTD.	Censure	6-Apr-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
372	Aziz Dawood Securities (Private) Limited	Terminated	5-Apr-21	Voluntary Termination	15.10.1
373	ShajarPak Securities (Private) Limited	Censure	31-Mar-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
374	Amer Securities (Private) Limited	Censure	31-Mar-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
375	Abbasi Securities (Pvt.) Limited	Suspended	30-Mar-21	Due to non-Compliance of 6.8.2 of CDC regulations after completing 60 business days of restrictions	15.3.7
376	Din Capital Ltd	Suspended	30-Mar-21	Due to non-Compliance of 6.8.2 of CDC regulations after completing 60 business days of restrictions	15.3.7
377	First Capital Equities Limited	Suspended	30-Mar-21	Due to non-Compliance of 6.8.2 of CDC regulations after completing 60 business days of restrictions	15.3.7
378	IAK Securities (Private) Limited	Suspended	30-Mar-21	Due to non-Compliance of 6.8.2 of CDC regulations after completing 60 business days of restrictions	15.3.7
379	MsManiar Financials (Pvt.) Limited	Restriction & Censure	29-Mar-21	Non-Compliance of CDC Regulations	6.2.2, 6.7.2 & 7.1.1
380	CMA Securities (Private) Limited	Notice in respect of Participant	26-Mar-21	Participant has complied with the Regulation 6.8.2 CDC Regulations	15.6.2
381	Insight Securities (Pvt) Limited	Censure	26-Mar-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
382	FDM Capital Securities (Private) Limited	Censure	24-Mar-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2A.1, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
383	Baba Equities (Pvt.) Limited	Removal of Restriction	19-Mar-21	Consequent to restoration trading terminals by PSX vide notice no. PSX/N-396 dated March 19, 2021	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
384	New Peak Securities (Pvt.) Limited	Removal of Restriction	19-Mar-21	Consequent to removal of Restrictions by PSX vide notice no.PSX/N-391 dated March 19, 2021	15.6.2
385	Baba Equities (Pvt.) Limited	Notice in respect of Participant	19-Mar-21	Participant has complied with the Regulation 6.8.2 CDC Regulations	15.6.2
386	AWT Income Fund	Removal of suspension	17-Mar-21	Consequent to the removal of suspension of Account holder by NCCPL as notified vide notice no. NCCPL/CRO/129/21 dated March 17, 2021.	15.6.2
387	AWT Income Fund	Suspended	17-Mar-21	Consequent to the suspension of Account holder by NCCPL as notified vide notice no. NCCPL/CRO/128/21 dated March 17, 2021.	15.2.1(b)
388	Azee Securities (Private) Limited	Restriction & Censure	15-Mar-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
389	Bawany Securities (Private) Limited	Censure	12-Mar-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
390	Y.H. Securities (Pvt.) Limited	Direct	11-Mar-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
391	Muhammad Ashfaq Hussain Securities (Private) Limited	Censure	9-Mar-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
392	First Equity Modaraba	Direct	8-Mar-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
393	H.M. Idrees H. Adam (Pvt.) Limited	Direct	8-Mar-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
394	A. I. Securities (Private) Limited	Direct	8-Mar-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
395	Tannu Securities (Private) Limited	Direct	4-Mar-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
396	JSK Securities Limited	Removal of Restrictions	2-Mar-21	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-295 dated March 01, 2021	15.6.2
397	Dawood Equities Ltd	Restriction & Censure	24-Feb-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A,6.2.4, 6.2.5, 6.2.5A & 7.1.1
398	Market 786 (Private) Limited	Censure	24-Feb-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
399	Cedar Capital (Private) Limited	Censure	24-Feb-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
400	Khadim Ali Shah Bukhari Securities (Pvt) Ltd	Restriction & Censure	16-Feb-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
401	H.P. Byramji & Co. (Pvt.) Limited	Terminated	15-Feb-21	Voluntary Termination	15.10.1
402	Prime Securities (Private) Limited	Censure	9-Feb-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
403	We Financial Services Limited -MF	Removal of Restrictions	3-Feb-21	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/92/21 dated February 03, 2021	15.6.2
404	Venus Securities (Pvt.) Limited	Censure	2-Feb-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
405	ABBASI & COMPANY (PRIVATE) LIMITED	Censure	29-Jan-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.2A & 7.1.1
406	M. J. Memon Securities (Pvt.) Limited	Removal of Restrictions	28-Jan-21	Participant has complied with the Regulation 6.8.2	15.6.2
407	Zafar Moti Capital Securities (Private) Limited	Censure	26-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
408	Moonaco Securities (Private) Limited	Censure	26-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
409	Creative Capital Securities (Private) Ltd.	Censure	26-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
410	Royal Securities (Pvt.) Limited	Suspension	25-Jan-21	Consequent to the suspension of license of the Participant as Securities Broker by SECP vide order dated January 22,2021	15.2.1(b)
411	Alfalah Securities (Private) Limited	Censure	25-Jan-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
412	SUMMIT CAPITAL (PRIVATE) LIMITED	Censure	22-Jan-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
413	Apex Capital Securities (Private) Limited	Censure	22-Jan-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
414	Hamza Farhad Securities (Private) Limited	Censure	19-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
415	New Peak Securities (Private) Limited	Censure	19-Jan-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
416	Iqbal Usman Kodvavi Securities (Pvt) Ltd	Censure	18-Jan-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
417	GMI Capital Securities (Private) Limited	Censure	18-Jan-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
418	Equity Master Securities (Private) Limited	Censure	12-Jan-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
419	Mayari Securities (Pvt) Limited	Censure	12-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 6.2.6 (b)
420	Equity Master Securities (Private) Limited	Censure	11-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 6.2.6 (b)
421	Gazipura Securities & Services (Private) Limited	Censure	11-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 6.2.6 (b)
422	Horizon Securities Limited	Censure	11-Jan-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
423	Infinite Securities Limited	Suspension	11-Jan-21	Consequent to the suspension of license of the Participant as Securities Broker stands suspended in light of SECP vide order dated November 10,2020 and switched off the trading terminals by PSX as notified vide notice no. PSX /N- 27 dated January 11, 2021.	15.2.1(b)
424	JSK Securities Limited	Notice in respect of Participant	5-Jan-21	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
425	Lakhani Securities (PVT) Limited.	Direct	4-Jan-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
426	M. J. Memon Securities (Pvt.) Limited	Restricted	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
427	Abbasi Securities (Pvt.) Limited	Restricted	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
428	JSK Securities Limited	Restricted	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
429	Din Capital Ltd	Restricted	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
430	First Capital Equities Limited	Restricted	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
431	IAK Securities (Private) Limited	Restricted	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
432	INVESTMENT MANAGERS SECURITIES (PVT.) LIMITED	Censure + Restriction	31-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
433	RAFI SECURITIES (PRIVATE) LIMITED	Censure	30-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
434	First National Equities Limited	Censure	28-Dec-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5 & 6.2.5A
435	ROYAL SECURITIES (PVT) LIMITED	Censure	24-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
436	SPECTRUM SECURITIES LIMITED	Restriction & Censure	24-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
437	A. H. M. Securities (Private) Limited	Censure	24-Dec-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
438	Brains Securities (Private) Limited	Restriction & Censure	22-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
439	128 Securities (Private) Limited	Censure	22-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
440	Adeel & Nadeem Securities (Pvt.) Limited	Direct	22-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
441	RAHAT SECURITIES LIMITED	Direct	22-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
442	Amer Securities (Private) Limited - MF	Terminated	18-Dec-20	Voluntary Termination -MF	15.10
443	MND INVESTMENT (PVT) LTD.	Direct	16-Dec-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
444	MEMON SECURITIES (PVT.) LIMITED	Censure	16-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
445	TARIQ VOHRA SECURITIES (PVT) LIMITED	Direct	16-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
446	ISMAIL IQBAL SECURITIES (PVT) LTD.	Censure	15-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A,6.2.3,6.2.2A and 6.2.6 (b)
447	Sakarwala Capital Securities (Pvt.) Limited	Direct	15-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
448	Nini Securities (Pvt.) Limited	Direct	15-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
449	Progressive Securities (Pvt.) limited	Direct	15-Dec-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
450	NETWORTH SECURITIES LIMITED	Direct	14-Dec-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
451	JAVED IQBAL SECURITIES (PVT) LTD.	Censure	14-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
452	SURMAWALA SECURITIES (PRIVATE) LIMITED	Censure	14-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A,6.2.2A and 6.2.6 (b)
453	Aba Ali Habib Securities (Private) Limited	Direct	14-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
454	N.U.A SECURITIES (PRIVATE) LIMITED	Censure	7-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A,6.2.3,6.2.2A and 6.2.6 (b)
455	INSIGHT SECURITIES (PVT.) LIMITED	Censure	7-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
456	Fortune Securities Limited	Direct	30-Nov-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
457	Shaukat Shafi Securities (Private) Limited	Terminated	25-Nov-20	Voluntary Termination	15.10.1
458	BMA Capital Management Limited	Direct	23-Nov-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
459	Friendly Securities (Private) Limited	Censure	23-Nov-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 8.2.1(e)
460	Bawa Securities (Private) Limited	Direct	23-Nov-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
461	Akhai Securities (Private) Limited	Removal of Restrictions	12-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1274 dated November 12, 2020	15.6.2
462	Q. Ain Khanani Securities (Private) Limited	Removal of Restrictions	11-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1262 dated November 10, 2020	15.6.2
463	Akhai Securities (Private) Limited	Restricted	11-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1265 dated November 10, 2020	15.2.1(a)
464	Muhammad Ashfaq Hussain Securities (Private) Limited	Restricted	11-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1263 dated November 10, 2020	15.2.1(a)
465	Muhammad Ashfaq Hussain Securities (Private) Limited	Removal of Restrictions	11-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1268 dated November 11, 2020	15.6.2
466	Continental Capital Management (Private) Limited	Removal of Restrictions	4-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1240 dated November 04, 2020	15.6.2
467	Continental Capital Management (Private) Limited	Restricted	3-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1225 dated November 03, 2020	15.2.1(a)
468	Q. Ain Khanani Securities (Private) Limited	Restricted	3-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1226 dated November 03, 2020	15.2.1(a)
469	Amer Securities (Private) Limited - MF	Restricted	3-Nov-20	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/311/20 dated November 03, 2020	15.2.1(a)
470	We Financial Services Limited - MF	Restricted	3-Nov-20	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/312/20 dated November 03, 2020	15.2.1(a)
471	Fairway Securities (Private) Limited - MF & MT	Removal of Restrictions	3-Nov-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/309/20 dated November 03, 2020	15.6.2
472	A. I. Securities (Private) Limited	Removal of Restrictions	2-Nov-20	Consequent to restoration of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1215 dated November 02, 2020	15.6.2
473	A. I. Securities (Private) Limited	Restricted	29-Oct-20	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-1207 dated October 29, 2020.	15.2.1(a)
474	Darson Securities (Private) Limited	Censure	28-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.2A
475	Next Capital Limited	Censure	28-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
476	A. S. Securities (Private) Limited	Censure + Restrictions	27-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A
477	The Bank of Khyber	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2
478	Silkbank Limited	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
479	Summit Bank Limited	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2
480	Saudi Pak Industrial & Agricultural Investment Co. Limited	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2
481	MRA Securities Limited	Censure + Restrictions	21-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.2A
482	S.D. MIRZA SECURITIES (PVT) LTD.	Censure	19-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
483	MSD CAPITAL EQUITIES (PVT) LTD.	Censure + Restrictions	14-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
484	SINDH BANK LIMITED	Final Report issued	14-Oct-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
485	National Bank of Pakistan	Final Report issued	14-Oct-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
486	IAK Securities (Pvt) Limited	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
487	Shajar Capital Pakistan (Private) Limited	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
488	Habib Ullah Sheikh (Private) Limited	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
489	Brains Securities (Private) Limited	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
490	KHADIM ALI SHAH BUKHARI SECURITIES (PRIVATE) LIMITED	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
491	Xpert Securities Limited	Notice of Removal of Restriction	7-Oct-20	Consequent to removal of Restrictions by PSX to change the status as an active TRE Certificate holder vide notice no. PSX/N -1116 dated October 07, 2020	15.6.2
492	MSD Capital Equities (Private) Limited	Notice of Removal of Restriction	5-Oct-20	Consequent to removal of Restrictions by PSX to change the status as an active TRE Certificate holder vide notice no. PSX/N -1099 dated October 02, 2020	15.6.2
493	Arch Capital Securities (Private) Limited	Terminated	28-Sep-20	Voluntary Termination	15.10.1
494	Reliance Securities Limited	Notice in respect of Participant	28-Sep-20	Consequent to removal of suspension of Reliance Securities Limited by Pakistan Stock Exchange Limited as notified by PSX vide notice no. PSX/N-1058 dated September 25, 2020. However, Trading terminal has not activated due to the brokerage license of Reliance Securities has been expired.	15.6.2 and 15.2.1(a)
495	R.T SECURITIES (PVT.) LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
496	PUNJAB CAPITAL SECURITIES (PVT) LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
497	Taurus Securities Limited	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
498	SPECTRUM SECURITIES LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
499	TAURUS SECURITIES LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
500	Horizon Securities Limited	Censure	23-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
501	INA SECURITIES (PVT) LTD	Censure	23-Sep-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
502	SPINZER EQUITIES (PRIVATE) LIMITED	Censure	23-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
503	KHAWAJA SECURITIES (PVT.) LIMITED	Censure	17-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
504	SALMAN MAJEED SECURITIES (PRIVATE) LIMITED	Censure	17-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
505	First Street Capital (Private) Limited	Censure	17-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
506	New Peak Securities (Private) Limited	Restrictions on opening of New Sub-Accounts	17-Sep-20	Consequent to restriction on opening of new clients' account by the Participant as notified by PSX vide notice no. PSX/N/1017 dated September 17, 2020	15.2.1(a)
507	SAAO CAPITAL (PVT) LIMITED	Censure + Restriction	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
508	Zafar Securities (Private) Limited	Censure	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
509	Dattoo Securities (Private) Limited	Censure	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
510	Muhammad Tariq Moti Securities (Pvt) Ltd.	Censure + Restriction	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
511	Dossanis Securities (Private) Limited	Censure	10-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
512	Pearl Securities Limited	Censure + Restriction	9-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, & 6.2.5A



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
513	Faysal Bank Limited	Final Report issued	9-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
514	Time Securities (Pvt.) Limited	Censure	9-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1
515	Asda Securities (Private) Limited	Removal of Restrictions	3-Sep-20	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/265/20 dated September 03, 2020	15.6.2
516	Trust Securities & Brokerage Limited	Censure	28-Aug-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
517	Rahat Securities Limited	Censure	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
518	Millennium Brokerage (Pvt.) Limited	Censure	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
519	We Financial Services Limited	Censure	28-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
520	PAKISTAN KUWAIT INVESTMENT COMPANY (PVT) LTD	Final Report Issued	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
521	SAMBA BANK LIMITED	Final Report Issued	28-Aug-20	Non-Compliance of CDC Regulations	6.2.2
522	SONERI BANK LIMITED	Final Report Issued	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
523	RAH Securities (Pvt.) Limited	Censure	27-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
524	KOSMOPOLITAN SECURITIES (PRIVATE) LIMITED	Censure	27-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
525	Zafar Moti Capital Securities (Private) Limited	Censure + Restriction	21-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1
526	Friendly Securities (Private) Limited	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
527	ASIAN SECURITIES LIMITED	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
528	FIRST NATIONAL EQUITIES LIMITED	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
529	Eleven Stars Securities (Private) Limited	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
530	M. M. SECURITIES (PVT.) LIMITED	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
531	Fairtrade Capital Securities (Pvt.) Limited	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
532	Askari Securities Limited	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
533	EFG HERMES PAKISTAN LIMITED	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
534	Amer Securities (Private) Limited	Removal of Restrictions	19-Aug-20	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/248/20 dated August 18, 2020	15.6.2
535	Fair Edge Securities (Private) Limited	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
536	Growth Securities (Private) Limited	Censure + Restriction	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
537	Integrated Equities Limited	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
538	B & B Securities (Private) Limited	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
539	Fairway Securities (Private) Limited	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
540	High Land Securities (Private) Limited	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
541	R.A. Securities (Private) Limited	Terminated	30-Jul-20	Voluntary Termination	15.10.1
542	Apex Capital Securities (Private) Limited	Censure + Restriction	24-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1
543	General Invest. & Securities (Pvt.) Limited	Censure	24-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
544	MGM Securities (Private) Limited	Censure	24-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
545	General Invest. & Securities (Pvt.) Limited	Censure	20-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
546	ABM Securities (Pvt.) Limited	Censure	16-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
547	Asda Securities (Private) Limited	Censure + Restriction	16-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
548	Asad Mustafa Securities (Private) Limited - MT & MF	Removal of Restrictions	16-Jul-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/224/20 dated July 16, 2020	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
549	Patel Securities (Private) Limited	Removal of Suspension	14-Jul-20	Consequent to the removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/222/20 dated July 14, 2020.	15.6.2
550	Patel Securities (Private) Limited	Suspended	14-Jul-20	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/221/20 dated July 14, 2020.	15.2.1(b)
551	MILLENNIUM BROKERAGE (PVT.) LIMITED	Censure	9-Jul-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
552	Mayari Securities (Pvt.) Limited	Censure	8-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
553	Fair Edge Securities (Private) Limited	Censure	6-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
554	Hamza Farhad Securities (Private) Limited	Censure	6-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
555	Pasha Securities (Pvt.) Limited	Censure	6-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
556	SAZ Capital Securities (Pvt.) Limited	Censure	1-Jul-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 8.2.1
557	General Invest. & Securities (Pvt.) Limited	Censure	29-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
558	Progressive Securities (Private) Limited	Censure	29-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
559	Backers & Partners (Pvt.) limited	Censure	26-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
560	PUNJAB CAPITAL SECURITIES (PVT) LIMITED	Censure	26-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
561	Fikree's (Private) Limited	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1
562	Value Stock And Commodities (Private) Limited	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
563	Hamza Farhad Securities (Private) Limited	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
564	High Land Securities (Private) Limited	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
565	JAVED IQBAL SECURITIES (PVT) LTD.	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
566	Gulrez Securities (Private) Limited	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
567	Bawa Securities (Private) Limited	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
568	DR. Arslan Razaque Securities (Pvt) Limited	Notice of Restriction & Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
569	MRA Securities Limited	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
570	Sethi Securities (Private) Limited	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2A.1
571	Zahid Latif Khan Securities (Pvt.) limited	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.5A
572	MONEYLINE SECURITIES (PRIVATE) LIMITED	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
573	Intermarket Securities Limited	Notice of Restriction & Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
574	Asad Mustafa Securities (Private) Limited - MT & MF	Restricted	16-Jun-20	consequent to imposing the Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/187/20 dated June 16, 2020	15.2.1(a)
575	Shajar Capital Pakistan (Private) Limited	Notice of Removal of Restriction	16-Jun-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/188/20 dated June 16, 2020	15.6.2
576	Creative Capital Securities (Private) Ltd.	Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
577	Msmaniar Financial (Pvt.) Limited	Notice of Restriction & Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
578	Cedar Capital (Private) Limited	Notice of Restriction & Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
579	Msmaniar Financial (Pvt.) Limited	Notice of Restriction & Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
580	New Peak Securities (Pvt.) Limited	Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
581	ASA Stocks (Private) Limited	Notice of Restriction & Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
582	Askari Bank Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2
583	Bank Alfalah Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
584	Habib Bank Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
585	Al Baraka Bank (Pakistan) Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
586	BankIslami Pakistan Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
587	Concordia Securities (Private) Limited	Terminated	28-May-20	Voluntary Termination	15.10.1
588	Vecttor Secities (Private) Limited - MF	Removal of Restrictions	18-May-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/182/20 dated May 18, 2020	15.6.2
589	First Street Capital (Private) Limited - MF & MT	Removal of Restrictions	15-May-20	Consequent to removal of restriction by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/181/20 dated May 15, 2020.	15.6.2
590	Progressive Investment Management (Pvt.) Ltd	Censure	14-May-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
591	Falki Capital (Private) Limited	Censure	14-May-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
592	Bridge Securities (Pvt.) Limited	Notice of Restriction & Censure	14-May-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
593	MCFSL-Trustee Allied Capital Protected Fund	Terminated	23-Apr-20	Voluntary Termination	15.10.1
594	Vecttor Secities (Private) Limited - MF	Restricted	17-Apr-20	consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/163/20 dated April 17, 2020	15.2.1(a)
595	First Street Capital (Private) Limited - MF & MT	Restricted	17-Apr-20	consequent to imposing the Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/164/20 dated April 17, 2020	15.2.1(a)
596	Zillion Capital Securities (Private) Limited - MF	Restricted	17-Apr-20	consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/162/20 dated April 17, 2020	15.2.1(a)
597	Royal Securities (Pvt.) Ltd.	Censure	10-Apr-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
598	Next Capital Limited	Notice of Restriction & Censure	2-Apr-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
599	Axis Global Limited	Censure	2-Apr-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
600	HMC Stocks (Private) Limited	Censure	2-Apr-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
601	Khawaja Securities (Pvt.) Limited	Censure	2-Apr-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
602	Baba Equities (Pvt.) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of Restrictions.	15.3.7
603	KP Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
604	M. F. Stocks (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
605	Beaming Investment & Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
606	RUC Securities Private Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
607	Maha Securities (Pvt.) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
608	F.M. Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
609	CMA Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
610	A. S. Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
611	Reliance Securities Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
612	Akhai Securities (Private) Limited	Removal of Restrictions	24-Mar-20	Consequent to restoration of trading terminals of Participant by PSX vide notice noPSX/N-407 dated March 24, 2020 .	15.6.2
613	Amer Securities (Private) Limited - MF	Restricted	17-Mar-20	Consequent to imposing the Restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/130/20 dated March 17, 2020.	15.2.1(a)
614	Akhai Securities (Private) Limited	Restricted	17-Mar-20	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-353 dated March 17, 2020 .	15.2.1(a)
615	JSK Securities Limited	Restricted	17-Mar-20	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-353 dated March 17, 2020 .	15.2.1(a)
616	Asda Securities (Private) Limited - MF	Restricted	17-Mar-20	Consequent to imposing the Restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/127/20 dated March 17, 2020.	15.2.1(a)
617	Zillion Capital Securities (Private) Limited - MF	Removal of Restrictions	16-Mar-20	Consequent to removal of restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/124/20 dated March 13, 2020.	15.6.2
618	Amer Securities (Private) Limited - MF	Removal of Restrictions	13-Mar-20	Consequent to removal of restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/122/20 dated March 13, 2020.	15.6.2
619	BIPL Securities Limited	Notice of Restriction & Censure	3-Mar-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
620	First Capital Equities Limited	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
621	Din Capital Ltd	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
622	Concordia Securities (Private) Limited	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
623	IAK Securities (Private) Limited	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
624	Abbasi Securities (Pvt.) Limited - MT and MF	Restricted	20-Feb-20	Consequent to imposing the restriction by NCCPL as an MF Account Holder and MT Account Holder vide notice no. NCCPL/CRO/103/20 dated February 19, 2020.	15.2.1(a)
625	Fairway Securities (Private) Limited - MF & MT	Restricted	20-Feb-20	Consequent to imposing the restriction by NCCPL as an MF Account Holder and MT Account Holder vide notice no. NCCPL/CRO/102/20 dated February 19, 2020.	15.2.1(a)
626	Shajar Capital Pakistan (Private) Limited - MT and MF	Restricted	20-Feb-20	Consequent to imposing the restriction by NCCPL as an MF Account Holder and MT Account Holder vide notice no. NCCPL/CRO/104/20 dated February 19, 2020.	15.2.1(a)
627	Reliance Securities Limited	Suspended	14-Feb-20	Consequent to suspension of TRE Certificate of Participant by PSX vide notice no. PSX/N-201 dated February 14, 2020.	15.2.1(b)
628	BankIslami Pakistan Limited	Terminated	14-Feb-20	Voluntary Termintaion	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
629	Azee Securities (Private) Limited	Removal of Suspension	10-Feb-20	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/90/20 dated February 10, 2020	15.6.2
630	Azee Securities (Private) Limited	Suspended	10-Feb-20	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/89/20 dated February 10, 2020.	15.2.1(b)
631	Xpert Securities Limited	Notice in respect of Participant	7-Feb-20	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
632	AMCAP Securities (Private) Limited	Terminated	31-Jan-20	Consequent to the forfeiture of TRE Certificate of the Participant by PSX vide notice no. PSX/N-137 dated January 31, 2020.	15.3.7
633	Luxor Securities (SMC-Private) Limited	Terminated	30-Jan-20	Voluntary Termination	15.10.1
634	Foundation Securities (Private) Limited	Notice of Restriction & Censure	27-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
635	Foundation Securities (Private) Limited	Notice of Restriction & Censure	27-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
636	MCFSL-Trustee Askari Islamic Asset Allocation Fund	Terminated	21-Jan-20	Voluntary Termination	15.10.1
637	K & I Global Capital (Pvt.) Limited	Censure	14-Jan-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
638	Amer Securities (Private) Limited	Censure	14-Jan-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
639	Ayub Chaudhry Investments (Private) Limited	Notice of Restriction & Censure	13-Jan-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
640	Habib Metropolitan Financial Services Limited	Censure	10-Jan-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
641	Shajar Capital Pakistan (Private) Limited	Notice of Restriction & Censure	10-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
642	Q. Ain Khanani Securities (Private) Limited	Notice of Restriction & Censure	9-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
643	Oriental Securities (Pvt.) Limited	Censure	7-Jan-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
644	Surmawala Securities (Private) Limited	Censure	7-Jan-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
645	Baba Equities (Pvt.) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
646	KP Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
647	M. F. Stocks (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
648	Xpert Securities Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
649	Beaming Investment & Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
650	Reliance Securities Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
651	RUC Securities Private Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
652	Maha Securities (Pvt.) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
653	F.M. Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
654	CMA Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
655	A. S. Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
656	Chenab Stock Services (Private) Limited	Terminated	31-Dec-19	Voluntary Termination	15.10.1
657	Asda Securities (Private) Limited - MF	Removal of Restriction	20-Dec-19	Consequent to removal of restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/209/19 dated December 19, 2019.	15.6.2
658	Abid Ali Habib Securities (Private) Limited	Terminated	11-Dec-19	Voluntary Termination	15.10.1
659	JS Global Capital Limited	Censure	10-Dec-19	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
660	Bhayani Securities (Private) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
661	Akhai Securities (Private) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
662	Muhammad Slaim Kasmani Securities (Pvt.) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
663	Growth Securities (Private) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
664	Fawad Yusuf Securities (Private) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
665	Value Stock & Commodities (Pvt.) Limited	Notice of Restriction & Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
666	Ismail Iqbal Securities (Pvt.) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
667	S.D. Mirza Securities (Pvt.) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
668	Alfa Adhi Securities (Private) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
669	Abbasi Securities (Pvt.) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
670	Jamshaid & Hasan Securities (Private) Limited	Terminated	27-Nov-19	Voluntary Termination	15.10.1
671	AL Habib Capital Markets (Pvt.) Limited	Censure	25-Nov-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) & 6.2.2A
672	H.P. Byramji & Co. (Pvt.) Limited	Censure	25-Nov-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
673	High Land Securities (Private) Limited	Censure	25-Nov-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
674	Yasir Mahmood Securities (Pvt.) Limited	Censure	25-Nov-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
675	Techno Fundamental Securities (Private) Limited	Terminated	21-Nov-19	Voluntary Termination	15.10.1
676	Schon Capital Markets Limited	Terminated	18-Nov-19	Voluntary Termination	15.10.1
677	Xpert Securities Limited	Restricted	18-Nov-19	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-1469 dated November 18, 2019 .	15.2.1(a)
678	MSD Capital Equities (Private) Limited	Restricted	18-Nov-19	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-1480 dated November 18, 2019 .	15.2.1(a)
679	Share Centre (Private) Limited	Terminated	7-Nov-19	Voluntary Termination	15.10.1
680	M. Munir M. Ahmed Khanani Securities (Pvt.) Limited	Notice of imposition of Penalty	5-Nov-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.7.3(a)
681	BMA Capital Management Limited	Notice of Restriction & Censure	31-Oct-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
682	Azee Securities (Private) Limited	Suspended	22-Oct-19	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/187/19 dated October 22, 2019.	15.2.1(b)
683	Azee Securities (Private) Limited	Removal of Suspension	22-Oct-19	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/188/19 dated October 22, 2019	15.6.2
684	BankIslami Pakistan Limited	Terminated	16-Oct-19	Voluntary Termination	15.10.1
685	Market 786 (Private) Limited	Notice of Restriction & Censure	14-Oct-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
686	Al-Hoqani Securities & Investment Corporation (Pvt.) Ltd	Terminated	10-Oct-19	Voluntary Termination	15.10.1
687	Pervez Ahmed Capital (Pvt.) Limited	Restricted	7-Oct-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1249 dated October 07, 2019 .	15.2.1(a)
688	AAA Securities (Private) Limited	Censure	7-Oct-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
689	Equity Master Securities (Private) Limited	Censure	1-Oct-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
690	Hamza Farhad Securities (Private) Limited	Removal of Restrictions	27-Sep-19	Consequent to restoration of trading terminals of Participant by PSX vide notice no. PSX/N-1201 dated September 27, 2019.	15.6.2
691	South Asian Securities (Private) Limited	Terminated	26-Sep-19	Voluntary Termination	15.10.1
692	Dawood Equities Ltd	Notice of Restriction & Censure	23-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1 (e)
693	Hamza Farhad Securities (Private) Limited	Restricted	19-Sep-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1162 dated September 19, 2019.	15.2.1(a)
694	Asda Securities (Private) Limited - MF	Restricted	17-Sep-19	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/127/19 dated September 17, 2019.	15.2.1(a)
695	Progressive Securities (Pvt.) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
696	Rahat Securities Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
697	Adeel & Nadeem Securities (Pvt.) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
698	MND Investment (Pvt.) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
699	Insight Securities (Pvt.) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
700	Salman Majeed Securities (Private) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
701	Dattoo Securities (Private) Limited	Notice of Restriction & Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 8.2.1(e), 8.6.1(e), 8.2.2, 8.2.3 and 6.2A.1
702	Gul Dhami Securities (Private) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
703	We Financial Services Limited	Removal of Suspension	16-Sep-19	Consequent to lift up the suspension of license of Participant by SECP vide Order dated September 16, 2019 as Securities Broker.	15.6.2
704	Zillion Capital Securities (Private) Limited - MF	Restricted	16-Sep-19	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/122/19 dated September 13, 2019.	15.2.1(a)
705	Amer Securities (Private) Limited - MF	Restricted	16-Sep-19	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/123/19 dated September 16, 2019.	15.2.1(a)
706	Baba Equities (Pvt.) Limited	Restricted	16-Sep-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1132 dated September 16, 2019 .	15.2.1(a)
707	We Financial Services Limited	Suspended	6-Sep-19	Consequent to suspension of the license of Participant by SECP vide order dated September 06, 2019 as Securities Broker.	15.2.1(b)
708	Msmaniar Financial (Pvt.) Limited	Censure	5-Sep-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 and 6.2.5A



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
709	FDM Capital Securities (Private) Limited	Notice of Restriction & Censure	5-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
710	Summit Capital (Pvt.) Limited	Notice of Restriction & Censure	5-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
711	Tariq Sayeed Securities (Pvt) Limited	Terminated	4-Sep-19	Voluntary Termination	15.10.1
712	Ashfaq Ashraf Securities (Private) Limited	Terminated	2-Sep-19	Voluntary Termination	15.10.1
713	Nayyar Sheikh Securities (Pvt.) Limited	Terminated	30-Aug-19	Voluntary Termination	15.10.1
714	Haji Abdul Sattar Securities (Pvt.) Limited	Terminated	30-Aug-19	Voluntary Termination	15.10.1
715	M H Securities (Private) Limited	Terminated	27-Aug-19	Voluntary Termination	15.10.1
716	R.F.J. Equity (Private) Limited	Terminated	21-Aug-19	Voluntary Termination	15.10.1
717	Zahid Latif Khan Securities (Pvt.) Limited	Censure	8-Aug-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
718	Memon Securities (Pvt.) Limited	Censure	8-Aug-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
719	Rafi Securities (Pvt.) Ltd	Censure	8-Aug-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
720	Multiline Securities (Pvt) Limited	Censure	31-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
721	Maan Securities (Private) Limited	Censure	26-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
722	Shajarpak Securities (Pvt) Limited	Censure	26-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
723	Nayyar Sheikh Securities (Pvt) Ltd.	Censure	26-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
724	Khawaja Securities (Pvt.) Limited	Censure	25-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
725	IAK Securities (Private) 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.	15.6.2
726	IAK Securities (Private) 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.	15.2.1(a)
727	Topline Securities Limited	Censure	15-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
728	Aba Ali Habib Securities (Private) Limited	Censure	15-Jul-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 and 6.2.5A
729	Azee Securities (Private) Limited	Removal of Suspension	15-Jul-19	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/104/19 dated July 15, 2019.	15.6.2
730	KP 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.	15.2.1(a)
731	Azee Securities (Private) Limited	Suspended	15-Jul-19	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/103/19 dated July 15, 2019.	15.2.1(b)
732	Alfalah Securities (Private) Limited	Notice of Restriction & Censure	9-Jul-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
733	Taurus Securities Limited	Notice of Restriction & Censure	9-Jul-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
734	Reliance 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-803 dated June 28, 2019.	15.6.2
735	Dawood Equities Ltd	Suspended	26-Jun-19	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/92/19 dated June 26, 2019.	15.2.1(b)
736	Dawood Equities Ltd	Removal of Suspension	26-Jun-19	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/93/19 dated June 26, 2019.	15.6.2
737	CMA Securities (Private) Limited	Notice in respect of Participant	21-Jun-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
738	Reliance 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.	15.2.1(a)
739	Diyanah Islamic Financial Services (Private) Limited	Terminated	11-Jun-19	Voluntary Termination	15.10.1
740	Standard Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	31-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 and 6.2.5A
741	Din Capital Ltd	Censure	31-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
742	Azee Securities (Private) Limited	Notice of Restriction & Censure	30-May-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 and 6.2.5A
743	Nini Securities (Pvt.) Limited	Censure	30-May-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.5A
744	R.T. Securities (Pvt.) Limited	Notice of Restriction & Censure	30-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
745	Khadim Ali Shah Bukhari Securities (Pvt.) Limited	Notice of Restriction & Censure	28-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
746	A. H. M. Securities (Private) Limited	Notice of Restriction & Censure	28-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
747	Omni Capital Management (Private) Limited	Terminated	23-May-19	Voluntary Termination	15.10.1
748	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.	15.6.2
749	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.	15.2.1(a)
750	Azee Securities (Private) Limited	Suspended	14-May-19	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/68/19 dated May 14, 2019.	15.2.1(b)
751	Azee Securities (Private) Limited	Removal of Suspension	14-May-19	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/69/19 dated May 14, 2019.	15.6.2
752	KSR Stock Brokerage (Pvt) Limited	Terminated	13-May-19	Voluntary Termination	15.10.1
753	Azee Securities (Private) Limited	Suspended	9-May-19	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/66/19 dated May 09, 2019.	15.2.1(b)
754	Azee Securities (Private) Limited	Removal of Suspension	9-May-19	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/67/19 dated May 09, 2019.	15.6.2
755	Spectrum Securities Limited	Notice of Restriction & Censure	9-May-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
756	Beaming Investment & Securities (Private) Limited	Notice in respect of Participant	7-May-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
757	SAL Securities (Pvt) Limited	Terminated	2-May-19	Voluntary Termination	15.10.1
758	Intermarket Securities Limited	Notice of Restriction & Censure	30-Apr-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
759	Royal Securities (Pvt.) Limited	Censure	29-Apr-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
760	EFG Hermes Pakistan Limited	Notice of Restriction & Censure	29-Apr-19	Non-Compliance of CDC Regulations	6.2.2 & 6.2.2A
761	Cassim Investment (Private) Limited	Terminated	19-Apr-19	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
762	CMA Securities (Private) Limited	Suspended	9-Apr-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
763	Beaming Investment & Securities (Private) Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
764	First Fidelity Leasing Modaraba	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
765	Millennium Securities & Investments (Private) Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
766	Diyanah Islamic Financial Services (Private) Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
767	SMAC Investments (Private) Ltd.	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
768	First Pakistan Securities Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business day of restrictions.	15.3.7
769	Multiline Securities (Pvt.) Limited	Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
770	Seven Star Securities (Pvt.) Limited	Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, & 6.2.5A
771	Vector Securities (Pvt.) Limited	Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
772	Muhammad Ashfaq Hussain Securities (Private) Limited	Notice of Restriction & Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
773	Prime Securities (Pvt.) Limited	Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2A.1, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
774	Saao Capital (Pvt.) Limited	Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
775	IAK Securities (Private) 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-337 dated March 22, 2019.	15.6.2
776	Pine Securities (Private) Limited	Terminated	22-Mar-19	Voluntary Termination	15.10.1
777	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.	15.2.1(a)
778	IAK Securities (Private) 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.	15.2.1(a)
779	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.	15.2.1(a)
780	Best Securities Pvt Ltd	Censure	28-Feb-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, and 6.2.2A
781	Reliance Securities Limited	Censure	28-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
782	Khanani Securities (Pvt.) Limited	Censure	27-Feb-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
783	N.U.A Securities (Pvt.) Limited	Censure	27-Feb-19	Non-Compliance of CDC Regulations	6.2.2A & 6.2.3
784	Fikree's (Private) Limited	Censure	27-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
785	Insight Securities (Pvt.) Limited	Censure	27-Feb-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
786	Maha Securities (Pvt.) Limited	Notice in respect of Participant	22-Feb-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
787	Maha Securities (Pvt.) Limited	Notice in respect of Participant	22-Feb-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
788	AMCAP Securities (Private) Limited	Notice of Restriction & Censure	22-Feb-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
789	Habib Metropolitan Financial Services Limited	Notice of Restriction & Censure	22-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 8.2.1(e)
790	AMCAP Securities (Private) Limited	Suspended	22-Feb-19	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/31/19 dated February 21, 2019.	15.2.1(b)
791	Maha Securities (Pvt.) Limited	Notice in respect of Participant	22-Feb-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
792	Invest Capital Markets Limited	Terminated	21-Feb-19	Consequent to the forfeiture of TRE Certificate of the Participant by PSX vide notice no. PSX/N-207 dated February 21, 2019.	15.3.7
793	128 Securities (Private) Limited	Removal of Restriction for opening of New Sub-Accounts	18-Feb-19	Consequent to removal of restriction for the opening of new clients' accounts by the PSX as notified by PSX vide notice no. PSX/N-194 dated February 18, 2019.	15.6.2
794	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-193 dated February 18, 2019.	15.2.1(a)
795	F.M. Securities (Private) Limited	Notice of Restriction & Censure	15-Feb-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
796	Growth Securities (Private) Limited	Notice of Restriction & Censure	13-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 8.2.1(e)
797	JSK Securities Limited	Censure	13-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 and 6.2.5A
798	Millenium Brokerage (Pvt.) Limited	Censure	13-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.2A.1
799	Pearl Brokerage (Private) Limited	Terminated	31-Jan-19	Voluntary Termination	15.10.1
800	Dalal Securities (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1 (e)
801	Galaxy Capital Securities (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
802	Fairway Securities (Private) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
803	Shajar Capital Pakistan (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
804	Fawad Yusuf Securities (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
805	ASA Stocks (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
806	Foundation Securities (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
807	N.U.A Securities (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
808	Muhammad Salim Kasmani Securities (Pvt.) Ltd.	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
809	Abbasi & Company (Private) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
810	HH Misbah Securities (Private) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
811	ABM Securities (Pvt.) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
812	Saima Qaiser Securities (Pvt.) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2A.1
813	Javed Iqbal Securities (Pvt) Ltd.	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
814	Chenab Stock Services (Private) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
815	Alfa Adhi Securities (Private) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
816	128 Securities (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
817	HMC 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.	15.6.2
818	Arif Habib Limited	Notice of Restriction & Censure	22-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, & 6.2.6(b)
819	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.	15.6.2
820	Fair Deal Securities (Private) Limited	Terminated	16-Jan-19	Voluntary Termination	15.10.1
821	HMC 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.	15.2.1(a)
822	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.	15.2.1(a)
823	CMA Securities (Private) Limited	Restricted	15-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
824	KSR Stock Brokerage (Pvt) Ltd.	Removal of Restriction	15-Jan-19	Participant has complied with the Regulation 6.8.2	15.6.2
825	Fair Deal 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.	15.2.1(a)
826	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.	15.2.1(a)
827	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.	15.2.1(a)
828	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.	15.2.1(a)
829	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.	15.2.1(a)
830	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.	15.2.1(a)
831	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.	15.2.1(a)
832	Diyanah Islamic Financial 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.	15.2.1(a)
833	Millennium 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.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
834	First Fidelity Leasing Modaraba	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
835	Sigma Leasing Corporation Limited	Suspended	31-Dec-18	Failure to settle the CDC outstanding dues.	-
836	South Asian Securities (Private) Limited	Removal of Suspension	21-Dec-18	Consequent to restoration of the trading terminals by PSX with immediate effect vide notice no. PSX/N-6554 dated December 21, 2018.	15.6.2
837	Iqbal usman kodvavi Securities (Pvt.) Limited	Censure	20-Dec-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
838	RUC 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	15.6.2
839	GMI Capital Securities (Private) Limited	Censure	14-Dec-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
840	Oriental Securities (Pvt.) Limited	Censure	14-Dec-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
841	Apex Capital Securities (Private) Limited	Censure	14-Dec-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
842	Time Securities (Pvt.) Limited	Censure	14-Dec-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
843	JS Bank Limited	Censure	14-Dec-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
844	MRA Securities Limited	Notice of Restriction & Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
845	Creative Capital Securities (Private) Ltd.	Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
846	B & B Securities (Private) Limited	Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
847	Akhai Securities (Private) Limited	Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
848	Surmawala Securities (Pvt.) Limited	Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
849	Tariq Sayeed Securities (Private) Limited	Removal of Suspension	29-Nov-18	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/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.	15.6.2
850	K&I Global Capital (Pvt.) Limited	Censure	23-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
851	Jahanzaib Securities (Pvt) Limited	Terminated	23-Nov-18	Voluntary Termination	15.10.1
852	Bhayani Securities (Private) Limited	Notice of Restriction & Censure	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.2A.1
853	Nael Capital (Pvt) Limited	Notice of Restriction & Censure	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
854	TS Securities (Pvt.) Limited	Notice of imposition of Penalty	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.2A.1
855	Dawood Equities Ltd	Notice of Restriction & Censure	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
856	Khayyam Securities (Private) Limited	Terminated	16-Nov-18	Voluntary Termination	15.10.1
857	AM Chaudhry 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.	15.2.1(a)
858	RUC 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.	15.2.1(a)
859	Moneyline Securities (Pvt.) Limited	Censure	15-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
860	Gul Dhami Securities (Private) Limited	Censure	15-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
861	CMA Securities (Private) Limited	Censure	15-Nov-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
862	Mayari Securities (Private) Limited	Censure	12-Nov-18	Non-Compliance of CDC Regulations	6.2.3



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
863	Q. Ain Khanani Securities (Private) Limited	Censure	12-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
864	Friendly Securities (Private) Limited	Censure	9-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
865	Shaffi Securities (Private) Limited	Censure	9-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b) and 6.2.5A
866	Cassim Investment (Private) Limited	Censure	9-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
867	Khawaja Securities (Pvt.) limited	Censure	9-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b) and 6.2.5A
868	B & B Securities (Private) Limited	Censure	7-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b), 6.2A.1 and 8.2.1(e)
869	Baba Equities (Pvt.) Limited	Censure	7-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b), 6.2A.1 and 8.2.1(e)
870	F.M. 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.	15.2.1(a)
871	Xpert 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-6281 dated October 24, 2018.	15.6.2
872	IGI Investment Bank Limited	Terminated	22-Oct-18	Voluntary Termination	15.10.1
873	Salim Sozer Securities (Pvt.) Limited	Suspended	17-Oct-18	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/184/18 dated October 17, 2018.	15.2.1(b)
874	Salim Sozer Securities (Pvt.) Limited	Removal of Suspension	17-Oct-18	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/185/18 dated October 17, 2018.	15.6.2
875	A. S. Securities (Private) 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.	15.2.1(a)
876	CAMCO (Private) 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.	15.6.2
877	Fairtrade Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
878	Unex Securities (Pvt) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 6.2A.1
879	Optimus Capital Management (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
880	EFG Hermes Pakistan Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 and 6.2.6(b)
881	FDM Capital Securities (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.2.1(e)
882	Cassim Investment (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.2.1(e)
883	Market 786 (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6(b) and 8.2.1(e)
884	First Capital Equities Limited	Suspended	9-Oct-18	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/175/18 dated October 09, 2018.	15.2.1(b)
885	First Capital Equities Limited	Removal of Suspension	9-Oct-18	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/176/18 dated October 09, 2018.	15.6.2
886	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.	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
887	Summit Bank Limited - Summit Custodial Services	Censure	5-Oct-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2A.1, 6.2.4, 6.2.5 & 6.2.6(b)
888	MGM Securities (Private) Limited	Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) and 6.2A.1
889	Fair Deal Securities (Private) Limited	Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.6.1 (e)
890	Riaz Ahmed Securities (Pvt) Ltd.	Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
891	Arif Latif Securities (Pvt) Ltd.	Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
892	Trust Securities & Brokerage Limited	Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 6.2A.1
893	Asda Securities (Private) Limited	Notice of Restriction & Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.2.1 (e)
894	Zahid Latif Khan Securities (Pvt.) Limited	Notice of Restriction & Censure	25-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.6(b)
895	CMA Securities (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-5351 dated September 18, 2018.	15.2.1(a)
896	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-5351 dated September 18, 2018.	15.2.1(a)
897	CAMCO (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-5351 dated September 18, 2018.	15.2.1(a)
898	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-5344 dated September 18, 2018.	15.6.2
899	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-5344 dated September 18, 2018.	15.6.2
900	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-5310 dated September 18, 2018.	15.2.1(a)
901	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.	15.2.1(a)
902	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.	15.2.1(a)
903	Xpert 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.	15.2.1(a)
904	Progressive Investment Management (Pvt.) Ltd	Removal of Restriction	18-Sep-18	Participant has removed causes of Restrictions	15.6.2
905	Next Capital Limited	Notice of Restriction & Censure	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
906	Horizon Securities Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b), 6.2.2A & 6.7.3
907	WE Financial Services Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, & 6.7.3(a)
908	Elixir Securities Pakistan (Pvt.) Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, & 6.7.3(a)
909	First Capital Equities Limited	Notice of Restriction & Censure	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.6(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
910	Darson Securities (Private) Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, & 6.7.3(a)
911	Invest Forum (Private) Limited	Terminated	17-Sep-18	Voluntary Termination	15.10.1
912	Progressive Investment Management (Pvt.) Ltd	Restricted	14-Sep-18	Due to contravention of Section 24 of CD Act 1997 read with Regulation 6.7 of the CDC Regulations.	15.2.1(a)
913	AMCAP Securities (Private) Limited	Further revised Restriction	13-Sep-18	Due to the Prohibitory Order by SECP vide Order dated September 13, 2018.	15.2.1(a)
914	First National Equities Limited	Notice of Restriction & Censure	12-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
915	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.	15.2.1(a)
916	Fairtrade Capital Securities (Pvt.) 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.	15.6.2
917	Saima Qaiser Securities (Pvt.) 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.	15.6.2
918	Saima Qaiser Securities (Pvt.) 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.	15.2.1(a)
919	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-4702 dated August 13, 2018 and in view of letter No. 2(33)SE/SMD/18 dated May 16, 2018 of the SECP.	15.6.2
920	Pearl Securities Limited	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
921	Summit Capital (Pvt.) Limited - Lhr	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
922	Topline Securities Limited	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
923	Zafar Securities (Private) Limited	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
924	HMC Stocks (SMC-Pvt.) Limited	Notice of Restriction & Penalty	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5, 6.2.6(b), 6.2A.1 & 6.7.3(a)
925	Javed Zakaria Gulabi Securities (Pvt.) Limited	Terminated	1-Aug-18	Voluntary Termination	15.10.1
926	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-4532 dated August 01, 2018 for opening of new clients account.	15.6.2
927	Omni 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	15.6.2
928	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	15.6.2
929	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	15.6.2
930	HK Securities (Private) Limited	Terminated	20-Jul-18	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
931	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	15.6.2
932	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	15.6.2
933	First Dawood Investment Bank Limited	Terminated	13-Jul-18	Voluntary Termination	15.10.1
934	Darson Securities (Private) Limited	Terminated	9-Jul-18	Voluntary Termination	15.10.1
935	Darson Securities (Private) Limited	Censure	6-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6(b)
936	Javed Iqbal Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
937	Fair Edge Securities (Private) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
938	General Invest. & Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
939	Msmaniar Financial (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
940	Safe Securities (Private) Limited	Terminated	4-Jul-18	Voluntary Termination	15.10.1
941	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-3946 dated June 29, 2018.	15.6.2
942	Sakarwala Capital Securities (Pvt) Ltd.	Censure	27-Jun-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
943	High Land Securities (Private) Limited	Censure	27-Jun-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
944	128 Securities (Private) Limited	Censure	27-Jun-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 6.2A.1 & 8.2.1
945	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.	15.6.2
946	Fairtrade Capital Securities (Pvt.) Limited	Restriction on opening of New Sub-Accounts	25-Jun-18	Consequent to the restriction on opening of new clients account by PSX vide notice no. PSX/N-3828 dated June 22, 2018.	15.2.1(a)
947	R.T. Securities (Pvt) Limited	Censure	21-Jun-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
948	Gulrez Securities (Private) Limited	Censure	21-Jun-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
949	Summit Capital (Private) Limited	Censure	21-Jun-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.6.1 (e)
950	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.	15.2.1(a)
951	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.	15.2.1(a)
952	AMCAP Securities (Private) Limited	Modification in Restriction	19-Jun-18	Consequent to removal of suspension NCCPL as notified vide notice no. NCCPL/CRO/79/18 dated June 19, 2018. However, Restriction in respect of the opening of new Sub-Account not yet removed.	15.6.2
953	AMCAP Securities (Private) Limited	Suspended	19-Jun-18	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/78/18 dated June 19, 2018.	15.2.1(b)
954	Adeel Zafar Securities (Private) Limited	Terminated	1-Jun-18	Voluntary Termination	15.10.1
955	FDM Capital Securities (Private) Limited	Notice of Restriction & Censure	30-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
956	First Zeiva (Private) Limited	Terminated	29-May-18	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
957	DJM Securities (Private) Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.2.1 (e)
958	Pearl Brokerage (Private) Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
959	Falki Capital (Private) Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
960	Continental Capital Management (Private) Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
961	Rahat Securities Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
962	Bismillah Securities (Private) Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
963	Yasir Mahmood Securities (Pvt.) Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
964	Fair Deal Securities (Private) Limited	Restricted	16-May-18	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-3262 dated May 16, 2018.	15.2.1(a)
965	Standard Capital Securities Pvt Ltd.	Notice of Restriction & Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
966	Patel Securities (Pvt.) Limited	Notice of Restriction & Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
967	Pasha Securities (Pvt.) Limited	Notice of Restriction	7-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
968	Hamza Farhad Securities (Private) Limited	Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
969	Spinzer Equities (Pvt.) Limited	Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
970	JSK Securities Limited	Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
971	Punjab Capital Securities (Pvt.) Limited	Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.2A
972	Progressive Investment Management (Pvt.) Ltd	Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
973	Iqbal Usman Kodvavi Securities (Pvt.) Limited	Censure	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b) & 8.2.1(e)
974	Dossanis Securities (Private) Limited	Censure	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
975	Seven Star Securities (Pvt.) Limited	Censure	25-Apr-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6 (b)
976	First National Equities Limited	Censure	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
977	Pace Investment & Securities (Private) Limited	Terminated	16-Apr-18	Voluntarily termination	15.10.1
978	Fortune Securities Limited	Notice of Restriction & Censure	13-Apr-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
979	Mannoo Capital (Pvt.) Limited	Censure	13-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
980	Askari Securities Limited	Censure	9-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
981	Abbasi Securities (Pvt.) Limited	Censure	6-Apr-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6 (b)
982	S.D. Mirza Securities (Pvt.) Limited	Notice of Restriction & Censure	30-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
983	Brains Securities (Private) Limited	Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
984	Adeel & Nadeem Securities (Pvt.) Limited	Notice of Restriction & Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
985	Amer Securities (Private) Limited	Notice of Restriction & Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
986	MND Investment (Pvt.) Limited	Notice of Restriction & Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
987	Fair Deal Securities (Private) Limited	Censure	28-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b)
988	KP Securities (Private) Limited	Censure	28-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
989	Al-Haq Securities (Pvt.) Limited	Notice of Restriction & Censure	27-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
990	Axis Global Limited	Notice of Restriction & Censure	27-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
991	Ali Husain Rajabali Limited	Terminated	22-Mar-18	Voluntary Termination	15.10.1
992	Adam Securities Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
993	Progressive Securities (Pvt.) Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
994	Rahat Securities Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
995	Equity Master Securities (Private) Limited	Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
996	Jamshaid & Hasan Securities (Pvt.) Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
997	Shaffi Securities (Private) Limited	Restricted	19-Mar-18	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-1786 dated March 16, 2018.	15.2.1(a)
998	Maha Securities (Pvt.) Limited	Restricted	19-Mar-18	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-1787 dated March 16, 2018.	15.2.1(a)
999	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.	15.6.2
1000	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.	15.1.1(a)(i) read with 15.2.1
1001	Alfalah Securities (Private) Limited	Notice of Restriction & Censure	9-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
1002	Saya Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 (b)
1003	F.M. Securities (Private) Limited	Restriction on opening of New Sub-Accounts	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.	15.2.1(a)
1004	128 Securities (Private) Limited	Notice of Restriction & Penalty	8-Mar-18	Non-Compliance of CDC Regulations	6.2.2 6.7.3 (a) 6.2.2A, 6.2.4 6.2.5 6.2.6 (b)
1005	Dossanis Securities (Private) Limited	Notice of Restriction & Penalty	8-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 (a), 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
1006	Ismail Iqbal Securities (Pvt.) Limited	Notice of Restriction & Censure	2-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
1007	Aba Ali Habib Securities (Private) Limited	Notice of Restriction & Censure	2-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
1008	Summit Capital (Pvt.) Limited	Notice of Restriction & Censure	2-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
1009	Aba Ali Habib Securities (Private) Limited	Censure	1-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.7.2, 6.2A.1 & 8.2.1(e)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1010	128 Securities (Private) Limited	Restriction on opening of New Sub-Accounts	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.	15.2.1(a)
1011	Royal Securities (Pvt) Limited	Censure	26-Feb-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, & 6.2.6(b)
1012	Wisdom Securities (Private) Limited	Terminated	22-Feb-18	Voluntary Termination	15.10.1
1013	Ali Husain Rajabali Limited	Censure	21-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
1014	Ghani Osman Securities (Private) Limited	Notice of Restriction & Censure	21-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
1015	HH Misbah Securities (Private) Limited	Censure	20-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
1016	Bawa Securities (Private) Limited	Notice of Restriction & Censure	20-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.7.3
1017	F.M. Securities (Private) Limited	Censure	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2A.1 & 8.2.1
1018	ICON Capital Management (Pvt.) Limited	Censure	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
1019	Fortune Securities Limited	Censure	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
1020	Alfalah Securities (Private) Limited	Censure	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
1021	M.M. Securities (Pvt.) Limited	Censure	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 8.2.1
1022	MGM Securities (Pvt.) Limited	Notice of Restriction & Censure	15-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
1023	New Peak Securities (Pvt.) Limited	Censure	15-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
1024	Infinite Securities Limited	Censure	15-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
1025	M.A.N Securities (Pvt.) Limited	Terminated	14-Feb-18	Voluntary Termination	15.10.1
1026	High Land Securities (Private) Limited	Notice of Restriction & Censure	8-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
1027	K.H.S Securities (Pvt.) Limited	Censure	8-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1028	Zafar Moti Capital Securities (Private) Limited	Notice of Restriction & Censure	8-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
1029	BlackStone Equities (Private) Limited	Terminated	26-Jan-18	Voluntary Termination	15.10.1
1030	Alfa Adhi Securities (Private) Limited	Notice of Restriction & Penalty	25-Jan-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.7.3(a)
1031	H. P. Byramji & Co. (Pvt.) Limited	Notice of Restriction & Penalty	23-Jan-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, 6.2A.1 & 6.7.3
1032	XPRT Securities (Private) Limited	Removal of Restriction	19-Jan-18	Participant has complied with Regulation 6.8.2 of the CDC Regulations.	15.6.2
1033	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.	15.2.1(a)
1034	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.	15.6.2
1035	Bright Investment and Securities (Private) Limited	Terminated	28-Dec-17	Voluntarily termination and surrender of TREC as communicated by PSX vide notice no. PSX/N-7870 dated December 27, 2017.	15.3.7 (a) read with 15.10
1036	Pearl Brokerage (Private) Limited	Restricted	26-Dec-17	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-7866 dated December 26, 2017.	15.2.1(a)
1037	Asad Mustafa Securities (SMC-Pvt.) Ltd	Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
1038	Rafi Securities (Pvt.) Ltd	Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1039	Fair Edge Securities (Private) Limited	Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2A.1 & 8.2.1e
1040	First Capital Equities Limited	Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
1041	A. N. Equities (Pvt.) Limited	Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
1042	Khawaja Securities (Pvt.) Limited	Notice of Restriction & Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5
1043	Strongman Securities (Private) Limited	Censure	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
1044	Techno Fundamental Securities (Private) Limited	Censure	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
1045	Maan Securities (Private) Limited	Censure	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
1046	Sherman Securities (Private) Limited	Censure	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
1047	Muhammad Amer Riaz Securities (Private) Limited	Notice of Restriction & Penalty	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b), 6.2.2A & 6.2A.1
1048	N.U.A Securities (Pvt.) Ltd	Notice of Restriction & Penalty	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, 6.7.3 & 6.7.3(a)
1049	Nini Securities (SMC-Pvt.) Ltd	Censure	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1050	Memon Securities (Pvt.) Ltd	Censure	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1051	First Zeiva (Private) Limited	Censure	20-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1052	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.	15.2.1(a)
1053	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.	15.6.2
1054	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.	15.2.1(b)
1055	HK Securities (Private) Limited	Suspended	14-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
1056	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.	15.2.1(b)
1057	Invest Forum (SMC-Private) Limited	Restricted	13-Dec-17	Due to the cancellation of liscence by SECP as a securities broker vide order dated December 13, 2017.	15.2.1(a)
1058	HK Securities (Private) Limited	Restricted	13-Dec-17	Due to the cancellation of liscence by SECP as a securities broker vide order dated December 13, 2017.	15.2.1(a)
1059	Jahanzaib Securities (Pvt.) Limited	Suspended	12-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
1060	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.	15.2.1(b)
1061	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.	15.2.1(b)
1062	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.	15.2.1(a)
1063	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-7471 dated November 30, 2017.	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1064	Topline Securities Limited	Censure	29-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.7.1
1065	A. S. Securities (Private) Limited	Censure	28-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b), 6.2.2A & 6.2A.1
1066	AM Chaudhry Securities (Private) Limited	Notice of Restriction & Censure	28-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
1067	Din Capital Ltd	Revised Notice of Restriction	23-Nov-17	Consequent to the restoration of trading terminals by PSX vide notice dated PSX/N-7369 dated November 23, 2017 however opening of new sub-Account is restricted.	15.6.2
1068	Tumbi 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	15.1.1(a)(i) read with 15.3.7
1069	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-7203 dated November 13, 2017	15.1.1(a)(i) read with 15.3.7
1070	Ayub Chaudhry Investments (Private) Limited	Notice of Restriction & Censure	21-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1071	Darson Securities (Private) Limited	Notice of imposition of Penalty	17-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6, 6.2A.1, 8.2.1e & 8.6.1e
1072	Din Capital Ltd	Restricted	17-Nov-17	Consequent to the suspension of liscence by SECP as a securities broker vide order dated November 08, 2017	15.2.1(a)
1073	Elixir Securities Pakistan (Pvt.) Limited	Censure	14-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.2.1e
1074	Reliance Securities Limited	Censure	14-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6, 6.2A.1 & 8.2.1e
1075	Gazipura Securities & Services (Private) Limited	Censure	11-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1076	Concordia Securities (Private) Limited	Censure	11-Nov-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
1077	R.T Securities (Pvt.) Limited	Censure	11-Nov-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.6(b) & 6.2.2A
1078	Fikree (SMC-Pvt.) Limited	Censure	8-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6, 6.2.3 & 6.2.2A
1079	Millennium Securities & Investments (Private) Limited	Notice of Restriction & Censure	8-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1080	MSD Capital Equities (Pvt.) Limited	Notice of Restriction & Censure	8-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1081	First Equity Modaraba	Censure	8-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.2.1e
1082	Din Capital Ltd	Revised Notice of Restriction	8-Nov-17	Due to advise of PSX vide email dated November 07, 2017	15.6.2
1083	Millennium Securities & Investments (Private) Limited	Restricted	6-Nov-17	Consequent FS as of June 30, 2017 submitted by Participant under Regulation 6.8.2 of the CDC Regulations discloses negative Capital Adequacy Level	15.3.1(a)
1084	Din Capital Ltd	Restricted	6-Nov-17	Consequent to imposition of restriction by PSX as notified vide notice no. PSX/N-7045 dated November 03, 2017	15.2.1(a)
1085	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-6951 dated November 01, 2017	15.2.1(a)
1086	Safe Securities (Private) Limited	Restricted	31-Oct-17	Consequent to suspension of the trading terminals by PSX vide notice no. PSX/N-6903 dated October 31, 2017	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1087	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	15.2.1(a)
1088	Sakarwala Capital Securities (Pvt.) Limited	Notice of Restriction & Penalty	26-Oct-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1089	Sunrise Capital (Private) Limited	Further Suspended	20-Oct-17	Due to cancellation of liscence by Securities and Exchange Commission of Pakistan vide order dated September 14, 2017	15.2.1(b)
1090	Pak Meezan Securities (Private) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017	15.1.1(b)
1091	Kayzone 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	15.1.1(b)
1092	Faith Securities (Private) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017	15.1.1(b)
1093	Stock Vision(Pvt.) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017	15.1.1(b)
1094	Value Stock and Commodities (Private) Limited	Notice of Restriction & Penalty	16-Oct-17	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.4, 8.2.1e, 8.6.1e & 6.2A.1
1095	Earth Securities (Private) Limited	Terminated	16-Oct-17	Voluntary Termintaion	15.10.1
1096	F.M. Securities (Private) Limited	Notice of Imposition of Penalty	16-Oct-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
1097	Value Stock and Commodities (Private) Limited	Notice of Restriction & Penalty	16-Oct-17	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.4, 8.2.1e, 8.6.1e & 6.2A.1
1098	Switch Securities (Private) Limited	Suspended	13-Oct-17	Consequent to the suspension of liscence by Securities and Exchange Commission of Pakistan vide order dated October 11, 2017	15.2.1(b)
1099	Shaffi Securities (Private) Limited	Censure	4-Oct-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.2.1e, 6.2A.1
1100	Security Investment Bank Limited	Terminated	29-Sep-17	Voluntary Termintaion	15.10.1
1101	Kausar Securities (Private) Limited	Terminated	27-Sep-17	Voluntary Termintaion	15.10.1
1102	Abbasi Securities (Pvt.) Limited	Censure & Restriction Letter	27-Sep-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1103	Askari Securities Limited	Censure & Restriction Letter	25-Sep-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.7.3
1104	First Zeiva (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	15.6.2
1105	First Zeiva (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	15.2.1(a)
1106	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	15.2.1(a)
1107	Global Securities Pakistan Limited	Terminated	21-Sep-17	Voluntary Termintaion	15.10.1
1108	Progressive Investment Management (Pvt.) Ltd	Notice of imposition of Penalty	21-Sep-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.2.1e & 6.2A.1
1109	Invest Capital Markets Limited	Restricted	18-Sep-17	Consequent to imposing the restriction by NCCPL vide notice no. NCCPL/CRO/237/17 dated September 15, 2017	15.2.1(a)
1110	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	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1111	Live Securities Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
1112	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.	15.3.7
1113	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.	15.3.7
1114	AKD Analytics (Private) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
1115	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.	15.3.7
1116	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.	15.3.7
1117	Mian Pervaz Aslam Securities (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
1118	Riaz Ahmed Securities (Pvt) Ltd.	Censure	21-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1119	Safe Securities (Private) Limited	Restriction Letter	21-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1120	Adeel Zafar Securities (Private) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6.
1121	IAK Securities (Private) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1122	Shajarpak Securities (Pvt.) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1123	AAA Securities (Private) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
1124	K & I Global Capital (Pvt.) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
1125	Mannoo Capital (Pvt.) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A.1
1126	Haji Abdul Sattar Securities (Pvt.) Limited	Restriction Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.7.3
1127	Bridge Securities (Pvt.) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1128	Amanah Investments Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6.
1129	Habib Ullah Sheikh (Private) Limited	Restriction Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1130	Intermarket Securities Limited	Notice of Restriction & Penalty	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1131	Gul Dhami Securities (Private) Limited	Restriction Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1132	Time Securities (Pvt.) Limited	Notice of Restriction & Penalty	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1133	128 Securities (Private) 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	15.6.2
1134	Moneyline Securities (Pvt.) Limited	Restriction Letter	8-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1135	Baba Equities (Pvt.) Limited	Restriction Letter	8-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.7.3
1136	UNEX Securities (Pvt) Limited	Censure	4-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
1137	Strongman Securities (Private) Limited	Censure	4-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1138	128 Securities (Private) Limited	Restricted	3-Aug-17	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-4631 dated August 03, 2017	15.2.1(a)
1139	NIB Bank Limited	Terminated	1-Aug-17	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1140	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 21, 2017 However, PSX has not lifted restriction on opening of new Client Accounts.	15.6.2
1141	S. Z. Securities (Pvt.) Limited	Terminated	18-Jul-17	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-4346 dated July 18, 2017	15.3.7
1142	Jamshaid & Hasan Securities (Pvt) Ltd	Notice of imposition of Penalty	22-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1143	Zafar Securities (Private) Limited	Notice of imposition of Penalty	22-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1144	Azee Securities (Private) Limited	Suspended	22-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/199/17 dated June 22, 2017	15.2.1(b)
1145	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/CRO/200/17 dated June 22, 2017	15.6.2
1146	Aziz Dawood Securities (Private) Limited	Suspended	16-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/197/17 dated June 16, 2017	15.3.7(b)
1147	Tariq Sayeed Securities (Private) Limited	Suspended	16-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/195/17 dated June 16, 2017	15.3.7(b)
1148	AB Equities (Private) Limited	Suspended	16-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/196/17 dated June 16, 2017	15.3.7(b)
1149	Reliance Securities Limited	Censure	13-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1150	Habib Metropolitan Financial Services Limited	Censure	13-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1151	Invest and Finance Securities Limited	Notice of Restriction & Penalty	13-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1152	Dawood Equities Ltd	Suspended	5-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/187/17 dated June 05, 2017	15.2.1(b)
1153	Dawood Equities Ltd	Removal of Suspension	5-Jun-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/188/17 dated June 05, 2017	15.6.2
1154	Oriental Securities (Pvt.) Limited	Censure	5-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1155	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-3566 dated May 31, 2017 for opening of new sub-accounts	15.2.1(a)
1156	Escorts Capital Limited	Suspended	31-May-17	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of Restrictions.	15.3.7(b)
1157	Allied Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1158	S. A Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1159	Interactive Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1160	Chippa Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1161	JCR Capital Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1162	Luxor Securities (SMC-Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1163	MAN Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1164	Omni Capital Management (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1165	Jawed Zakaria Gulabi Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1166	MAC Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1167	Muhammad Anaf Kapadia Securities (SMC-Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1168	Motiwala Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1169	MY Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1170	AAU Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1171	Abid Ali Habib Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1172	Ahsam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1173	Ashfaq Ashraf Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1174	BMS Capital (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1175	Bright Investment and Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1176	Fine Securities (SMC-Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1177	Fort Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1178	Fortress Financial Services (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1179	H.H.K. Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1180	Khayyam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1181	Prime Capital Management (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1182	R.F.J. Equity (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1183	S. M. Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1184	Schon Capital Markets Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1185	Sher Capital Equities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1186	SMAC Investments (SMC-Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1187	South Asian Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1188	Union Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1189	Venus Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1190	ZM Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1191	MAS Capital Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1192	R. A. Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1193	Fine 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	15.2.1(a)
1194	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	15.2.1(a)
1195	Mian Pervez Aslam Securities (Private) Limited	Restricted	23-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-3401 dated May 23, 2017	15.2.1(a)
1196	Trust Securities & Brokerage Limited	Restriction Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1197	Switch Securities (Private) Limited	Restriction Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1198	SETHI SECURITIES (SMC-PVT) LTD	Restriction Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1199	ASA Stocks (Private) Limited	Censure	18-May-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
1200	M. M. SECURITIES (PVT.) LIMITED	Censure	18-May-17	Non-Compliance of CDC Regulations	6.2.3 6.2.4, 6.2.5 & 6.2.6
1201	Live Securities Limited	Restricted	12-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-3196 dated May 12, 2017	15.2.1(a)
1202	MSD 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	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1203	MAM 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	15.3.7
1204	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	15.6.2
1205	Shaffi Securities (Private) Limited	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1206	Techno Fundamental Securities (Private) Limited	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1207	NAYYAR SHEIKH SECURITIES (PVT) LTD.	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1208	MAAN SECURITIES (PRIVATE) LIMITED	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1209	Pearl Brokerage (Private) Limited	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1210	INTEGRATED EQUITIES (PRIVATE) LIMITED	Censure	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1211	Gulrez Securities (Private) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1212	Fairway Securities (Private) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1213	Networth Securities Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1214	Khawaja Securities (Pvt.) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1215	ABM Securities (Pvt.) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1216	MSD Capital Equities (Private) Limited	Restricted	27-Apr-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-2636 dated April 26, 2017	15.2.1(a)
1217	AMCAP Securities (Private) Limited	Modification in Restriction	25-Apr-17	Consequent to restoration of sale side transactions for only Sub-Accounts of the Participant by PSX vide notice no. PSX/N-2499 dated April 24, 2017	-
1218	AMCAP Securities (Private) Limited	Restricted	5-Apr-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-2131 dated April 05, 2017	15.2.1(a)
1219	Creative Capital Securities (Private) Ltd.	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1220	SAZ CAPITAL SECURITIES (PVT) LTD.	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1221	M. J. Memon Securities (Pvt.) Limited	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1222	SPECTRUM SECURITIES (PVT.) LIMITED	Censure	30-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 3.7
1223	TARIQ VOHRA SECURITIES (PVT) LIMITED	Censure	30-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
1224	GLOBAL SECURITIES PAKISTAN LIMITED	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1225	H.M. Idress H. Adam(SMC-Pvt.) Limited	Censure	30-Mar-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 3.7
1226	Motiwala Securities (Private) Limited	Notice of Restriction & Penalty	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
1227	H.H.K. Securities (Pvt.) Limited	Notice of Restriction & Penalty	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
1228	MUHAMMAD HUSSAIN ISMAIL SECURITIES (PVT) LTD.	Censure	30-Mar-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6
1229	ACM GLOBAL (PVT.) LIMITED	Censure	30-Mar-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6
1230	JCR Capital Securities (Private) Limited	Notice in respect of Participant	29-Mar-17	Participant has complied with the Regulation 6.8.2	15.6.2
1231	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-1742 dated March 16, 2017	15.2.1(a)
1232	HK 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	15.2.1(a)
1233	Bhayani Securities (Private) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1234	First Equity Modaraba	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
1235	Muhammad Ashfaq Hussain Securities (Private) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
1236	Surmawala Securities (Private) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
1237	SEVEN STAR SECURITIES (PVT.) LTD.	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4 & 6.2.6
1238	IQBAL USMAN KODVAVI SECURITIES (PVT) LTD	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4 & 6.2.6
1239	MULTILINE SECURITIES (PVT.) LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
1240	Dattoo Securities (Private) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
1241	SECURITY INVESTMENT BANK LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.6 & 6.2.6
1242	S. Z. Securities (Pvt.) Limited	suspended	14-Mar-17	Due to violation of Section 24 of the Central Depositories Act, 1997	15.2.1(b)
1243	KSR Stock Brokerage (Pvt.) Ltd	Notice of Imposition of Penalty	13-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.3A.1 & 6.2A.1
1244	Progressive Securities (Private) Limited	Notice of Imposition of Penalty	13-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 6.7.4 & 6.2A.1
1245	MAM Securities (Private) Limited	Further Suspended	13-Mar-17	Consequent to suspension of TRE Certificate of Participant by PSX vide notice no. PSX/N-1637 dated March 10, 2017.	15.2.1(b)
1246	Tariq Sayeed Securities (Private) Limited	Restricted	7-Mar-17	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1531 dated March 06, 2017 on the Participant request.	15.2.1(a)
1247	ESCORTS CAPITAL LIMITED	Restricted	6-Mar-17	Participant has not complied with Regulation 6.8.1 of the CDC Regulations,	15.2.1(a)
1248	Faith Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1249	Stock Vision(Pvt.) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1250	Kayzone Capital Markets (SMC-Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1251	A.H.K.D. Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1252	AKD Analytics (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1253	SNM Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1254	SMB Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1255	Stable Securities (Pvt) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1256	Qasim Mahmood Securities (Smc-Pvt) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1257	JCR Capital Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1258	Reliance Capital (Pvt) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1259	Fincap Investments (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1260	Allied Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business day of restrictions.	15.3.7(b)
1261	Ab Equities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1262	Universal Equities (Private) Limited	Terminated	2-Mar-17	Voluntary Termination	15.10.1
1263	M. R. Securities (SMC-Private) Limited	Terminated	2-Mar-17	Consequent to the forfeiture of TRE Certificate of the Participant by PSX vide notice no. PSX/N-1460 dated March 01, 2017	15.3.7
1264	AWJ Securities (Private) Limited	Terminated	28-Feb-17	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-1334 dated February 27, 2017	15.3.7
1265	MAM Securities (Private) Limited	Suspended	20-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
1266	Sunrise Capital (Private) Limited	Suspended	17-Feb-17	Due to non-compliances of regulatory provisions	15.2.1(b)
1267	M. R. Securities (SMC-PVT.) Limited	Further Suspended	10-Feb-17	Due to non-compliances of regulatory provisions	15.2.1(b) & 50(2) of the Sec. Act.
1268	MAM Securities (Private) Limited	Notice of Imposition of Penalty	8-Feb-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2A.1 & 8.2.1e
1269	M. R. Securities (SMC-PVT.) Limited	Intention of further Suspension	6-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
1270	M. R. Securities (SMC-PVT.) Limited	Suspended	1-Feb-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/20/17 dated February 01, 2017	15.2.1(b)
1271	AWJ Securities (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
1272	Sunrise Capital (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
1273	Zafar Securities (Private) Limited	Restricted	30-Jan-17	Participant has not complied with Regulation 6.8.1 of the CDC Regulations,	15.2.1(a)
1274	Zafar Securities (Private) Limited	Removal of Restriction	30-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1275	Sonia Shahzad Securities (Private) Limited	Terminated	24-Jan-17	Voluntary Termination	15.10.1
1276	Pak Meezan Securities (Private) Limited	Notice in respect of Participant	18-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1277	Zafar Moti 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.	15.6.2
1278	Zafar Moti 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	15.2.1(b)
1279	AM Chaudhry Securities (Private) Limited	Removal of Restriction	13-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1280	AWJ 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.	15.6.2
1281	Mashhadi Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
1282	SIS Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
1283	AWJ 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	15.2.1(b)
1284	Allied Bank Limited - LSE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
1285	Allied Bank Limited - ISE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1286	Allied Bank Limited - ISE Branch	Extension of intention of Regulatory Action	9-Jan-17	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
1287	Allied Bank Limited- KSE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
1288	Allied Bank Limited- KSE Branch	Extension of intention of Regulatory Action	9-Jan-17	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
1289	Allied Bank Limited - LSE Branch	Extension of intention of Regulatory Action	9-Jan-17	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
1290	Sherman Securities (Pvt.) Limited	Notice of Restriction	6-Jan-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, & 6.2.6
1291	Diyanah Islamic Financial Services (Private) Limited	Notice in respect of Participant	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1292	Malik Securities (Private) Limited	Terminated	6-Jan-17	Voluntary Termination	15.10.1
1293	S A Securities (Pvt) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1294	SIS Securities (Private) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1295	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.	15.2.1(a)
1296	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.	15.2.1(a)
1297	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.	15.2.1(a)
1298	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.	15.2.1(a)
1299	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.	15.2.1(a)
1300	Diyanah 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.	15.2.1(a)
1301	Escorts 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.	15.2.1(a)
1302	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.	15.2.1(a)
1303	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.	15.2.1(a)
1304	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.	15.2.1(a)
1305	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.	15.2.1(a)
1306	Malik 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.	15.2.1(a)
1307	Mashhadi 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.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1308	Pak Meezan 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.	15.2.1(a)
1309	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.	15.2.1(a)
1310	Reliance 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.	15.2.1(a)
1311	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.	15.2.1(a)
1312	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.	15.2.1(a)
1313	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.	15.2.1(a)
1314	SNM 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.	15.2.1(a)
1315	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.	15.2.1(a)
1316	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.	15.2.1(a)
1317	Allied Bank Limited- KSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
1318	Allied Bank Limited - LSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
1319	Allied Bank Limited - ISE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
1320	Allied Bank Limited- KSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
1321	Allied Bank Limited - LSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
1322	Allied Bank Limited - ISE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
1323	Sunrise Capital (Private) Limited	Restricted	21-Dec-16	Due to contravention of provisions of the CDC Regulations	15.2.1(a)
1324	Apex Capital Securities (Private) Limited	Notice of Restriction	20-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6
1325	Apex Capital Securities (Private) Limited	Notice of Restriction	20-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4 & 6.2.6
1326	A. I. Securities (Private) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6
1327	B & B Securities (Private) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6
1328	Continental Capital Management (Private) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6
1329	Fawad Yusuf Securities (Private) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6
1330	Irfan Mazhar Securities (Pvt.) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6
1331	Khanani Securities (Pvt.) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6
1332	M H Securities (Pvt.) Limited	Censure	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1333	Muhammad Tariq Moti Securities (Pvt) Ltd.	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1334	Vector Securities (Pvt.) Ltd.	Censure	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6, 3.7
1335	Z.A. Ghaffar Securities (Private) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1336	Ghory's Securities (Private) Limited	Terminated	9-Dec-16	Voluntary Termination	15.10.1
1337	Paramount Securities (SMC-Private) Limited	Terminated	8-Dec-16	Voluntary Termination	15.10.1
1338	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.	15.6.2
1339	Y.S. Stocks (Private) Limited	Terminated	2-Dec-16	Voluntary Termination	15.10.1
1340	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-6865 dated November 30, 2016.	15.2.1(a)
1341	A. H. M. Securities (Private) Limited	Notice of Restriction	22-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.25, 6.2.6, 3.7
1342	Moonaco Securities (Pvt.) Ltd	Notice of Restriction	22-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1343	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.	15.6.2
1344	First Punjab Modaraba	Terminated	14-Nov-16	Voluntary Termination	15.10.1
1345	MYM Equities (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
1346	Fort Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
1347	Abid Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
1348	Shajar Capital Pakistan (Private) Limited	Notice of Restriction	4-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.25, 6.2.6, 3.7
1349	Friendly Securities (Private) Limited	Notice of Restriction	4-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.25, 6.2.6, 3.7
1350	Al Habib Capital Markets (Pvt.) Limited	Notice of Restriction	1-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1351	Icon Capital Management (Private) Limited	Censure	1-Nov-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6, 3.7
1352	Sunrise Capital (Private) Limited	Censure	1-Nov-16	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6, 3.7
1353	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-6216 dated October 31, 2016	15.2.1(a)
1354	DJM Securities (Private) Limited	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1355	Muhammad Salim Kasmani Securities	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1356	Prime Securities (Pvt.) Limited	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1357	Q. Ain Khanani Securities (Pvt.) Limited	Notice of Restriction	27-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1358	SAAO Capital (Pvt.) Limited	Notice of Restriction	27-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1359	Akbani Securities (SMC-PVT) Limited	Terminated	25-Oct-16	Voluntary Termination	15.10.1
1360	Cassim Investment (Private) Limited	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1361	Ample Securities (Private) Limited	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1362	GMI Capital Securities (Private) Limited	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1363	Al-Hoqani Securities & Investment Corporation (Pvt.) Ltd	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1364	Dalal Securities (Private) Limited	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1365	Investment Managers Securities (Pvt.) Ltd	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1366	Zillion Capital Securities (Private) Limited	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1367	H. P. Byramji & Co. (Pvt.) Limited	Removal of Restriction	18-Oct-16	Participant has complied with Regulation 6.8.1 of the CDC Regulations,	6.8.1
1368	Prosperity Securities (Private) Limited	Terminated	18-Oct-16	Voluntary Termination	15.10.1
1369	H. P. Byramji & Co. (Pvt.) Limited	Restricted	14-Oct-16	Participant has not complied with Regulation 6.8.1 of the CDC Regulations,	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1370	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	15.2.1(a)
1371	Growth Securities (Private) Limited	Notice of Restriction	10-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1372	TS Securities (Pvt.) Limited	Notice of Restriction	10-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1373	Escorts 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	15.2.1(a)
1374	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	15.2.1(a)
1375	Pak Meezan 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	15.2.1(a)
1376	Aziz 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	15.2.1(a)
1377	Star Securities (Private) Limited	Terminated	10-Oct-16	Voluntary Termination	15.10.1
1378	Beaming Investment & 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	15.2.1(a)
1379	Asian Securities Limited	Notice of Restriction	29-Sep-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1380	Mayari Securities (Private) Limited	Notice of Restriction	29-Sep-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1381	MBJ Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
1382	Taha Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
1383	Faith Securities (Private) Limited	Restricted	26-Sep-16	Due to suspension of all trading terminals of Participant by PSX vide notice no. PSX/N-5259 dated September 26, 2016	15.2.1(a)
1384	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	15.2.1(a)
1385	Smart Investments Capital Management (Pvt.) Limited	Terminated	8-Sep-16	Voluntary Termination	15.10.1
1386	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	15.6.2
1387	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	15.2.1(b)
1388	Nizam Securities (Private) Limited	Terminated	1-Sep-16	Voluntary Termination	15.10.1
1389	SNM Securities (Private) Limited	Restricted	31-Aug-16	Consequent to switch off of trading terminals of Participant by PSX vide notice no. PSX/N-4841 dated August 31, 2016	15.2.1(a)
1390	AB Equities (Private) Limited	Removal of Suspension	26-Aug-16	Participant has complied with the Regulation 6.8.2	15.6.2
1391	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	15.2.1(a)
1392	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	15.2.1(a)
1393	Stable Securities (Pvt) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
1394	Qasim Mahmood Securities (Smc-Pvt) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1395	Mashhadi Securities (Private) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
1396	SMB Securities (Private) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
1397	H.M.Y. Securities (Private) Limited	Terminated	19-Aug-16	Voluntary Termination	15.10.1
1398	Saima Qaiser Securities (Pvt.) Limited	Suspended	17-Aug-16	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/410/16 dated August 17, 2016	15.2.1(b)
1399	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	15.6.2
1400	Cassim Investment (Private) Limited	Removal of Restriction	12-Aug-16	Participant has complied with Regulation 6.8.1 of the CDC Regulations,	15.6.2
1401	Cassim Investment (Private) Limited	Restricted	11-Aug-16	As the Participant has not complied 6.8.1 of the CDC Regulation	15.3.1(a)
1402	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
1403	Alpha Beta Capital Markets (Private) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
1404	Amin Tai Securities (Private) Limited	Terminated	20-Jul-16	Voluntary Termination	15.10.1
1405	Concept Securities (Private) Limited	Terminated	13-Jul-16	Voluntary Termination	15.10.1
1406	Malik Securities (Private) Limited	Restricted	11-Jul-16	Consequent to imposing restriction by PSX vide notice no. no. PSX/N-4021 dated July 11, 2016	15.2.1(a)
1407	Invest Forum (SMC-Private) Limited	Restricted	29-Jun-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-3911 dated June 29, 2016	15.2.1(a)
1408	Platinum Capital Management (Private) Limited	Terminated	24-Jun-16	Voluntary Termination	15.10.1
1409	Infinite Securities Limited	Suspended	22-Jun-16	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/308/16 dated June 22, 2016	15.2.1(b)
1410	Infinite Securities Limited	Removal of Suspension	22-Jun-16	consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/309/16 dated June 22, 2016	15.6.2
1411	Stock Street (Private) Limited	Terminated	13-Jun-16	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-3611 dated June 13, 2016	15.3.7
1412	Dugan Securities (Private) Limited	Terminated	6-Jun-16	Voluntary Termination	15.10.1
1413	Shehzad Chaudhary Securities (Pvt.) Limited	Terminated	3-Jun-16	Voluntary Termination	15.10.1
1414	Stock Street (Private) Limited	Suspended	2-Jun-16	Consequent to suspension of Participant by PSX vide notice no. PSX/N-3457 dated June 01, 2016	15.3.7
1415	Switch Securities (Private) Limited	Restricted	31-May-16	Consequent to imposing restriction by PSX vide letter no. PSX/RAD-0-250 dated May 30, 2016	15.2.1(a)
1416	Mikon Securities (Pvt.) Limited	Terminated	27-May-16	Voluntary Termination	15.10.1
1417	Sohail Raza Moosani (SMC-Pvt) Limited	Terminated	25-May-16	Voluntary Termination	15.10.1
1418	Main Muhammad Akram Securities (Private) Limited	Terminated	18-May-16	Voluntary Termination	15.10.1
1419	Muhammad Bashir Kasmani Securities (Pvt.) Limited	Terminated	17-May-16	Voluntary Termination	15.10.1
1420	Munaf Sattar Securities (Pvt.) Limited	Terminated	9-May-16	Voluntary Termination	15.10.1
1421	Stock Street (Private) Limited	Restricted	2-May-16	Consequent to suspension of trading terminals by PSX vide notice no. PSX/N-2883 dated May 02, 2016	15.2.1(a)
1422	Pak Meezan Securities (Private) Limited	Removal of Restriction	28-Apr-16	Consequent certificate of registration as broker is granted by SECP and PSX declared the Participants as active broker vide notice no. PSX/N-2565 dated April 26, 2016	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1423	Uzma Shabbir Securities (Private) Limited	Terminated	12-Apr-16	Voluntary Termination	15.10.1
1424	H.R. Securities & Brokerage (Private) Limited	Terminated	7-Apr-16	Voluntary Termination	15.10.1
1425	Al Asar Securities (Private) Limited	Terminated	6-Apr-16	Voluntary Termination	15.10.1
1426	AKD Analytics (Private) Limited	Removal of Suspension	5-Apr-16	Participant has complied with the Regulation 6.8.2	15.6.2
1427	Samba Bank Limited	Terminated	25-Mar-16	Voluntary Termination	15.10.1
1428	Quality Islamic Investments & Securities (Pvt) Limited	Removal of Restriction	25-Mar-16	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-1869 dated March 25, 2016	15.6.2
1429	Quality Islamic Investments & Securities (Pvt) Limited	Restricted	16-Mar-16	Consequent to Switching off trading terminals by PSX vide notice no. PSX/N-1701 dated March 16, 2016	15.2.1(a)
1430	A.H.K.D. Securities (Private) Limited	Removal of Suspension	4-Mar-16	Participant has complied with the Regulation 6.8.2	15.6.2
1431	A.H.K.D. Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1432	Ab Equities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1433	AKD Analytics (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1434	Pak United Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1435	Invisor Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1436	QF Securities (Pvt) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1437	Khoja'S Capital Management (Pvt.) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1438	Al-Mal Securities & Services Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1439	Mohammed Hanif Moosa	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1440	Investec Securities Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1441	Javed Omer Vohra & Company Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1442	Yousuf Ebrahim	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1443	Shahid Hassan Awan	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1444	Mohammad Tanveer Malik	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1445	Islamabad Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1446	Orion Investments (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1447	Tariq Sayeed Securities (Private) Limited	Removal of Restriction	1-Mar-16	Participant has complied with the Regulation 6.8.2	15.6.2
1448	Elixir Securities Pakistan (Pvt.) Limited	Restricted	24-Feb-16	As the Participant has not complied 6.8.1 of the CDC Regulation	15.3.1(a)
1449	Elixir Securities Pakistan (Pvt.) Limited	Removal of Restriction	24-Feb-16	Participant has complied with the Regulation 6.8.1	15.6.2
1450	Fincap Investments (Private) Limited	Notice in respect of Participant	3-Feb-16	Participant has complied with the Regulation 6.8.2	15.6.2
1451	Pak Meezan Securities (Private) Limited	Notice in respect of Participant	3-Feb-16	Participant has complied with the Regulation 6.8.2	15.6.2
1452	Trust Capital (Private) Limited	Suspended	25-Jan-16	on the completion of 60 days of Restriction.	15.3.7(b)
1453	Saima Qaiser Securities (Pvt.) Limited	Removal of Restriction	22-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
1454	Safe Securities (Private) Limited	Terminated	18-Jan-16	Voluntary Termination	15.10.1
1455	JCR Capital Securities (Private) Limited	Removal of Restriction	13-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
1456	Kayzone Capital Markets (SMC-Private) Limited	Notice in respect of Participant	7-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
1457	SMB Securities (Private) Limited	Removal of Restriction	30-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1458	Kayzone Capital Markets (SMC-Private) Limited	Restricted	23-Dec-15	Due to switching off of all trading terminals by the LSE vide notice no.6621 Dated December 22, 2015 received by CDC on December 23, 2015.	15.2.1(a)
1459	Trust Securities & Brokerage Limited	Removal of Restriction	22-Dec-15	Consequent to restoration of all trading terminals by the LSE vide notice no.6620 Dated December 22, 2015	15.6.2
1460	Faith Securities (Private) Limited	Removal of Restriction	18-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1461	Trust Securities & Brokerage Limited	Restricted	14-Dec-15	Due to switching off of all trading terminals by the LSE vide notice no.6245 Dated December 11, 2015 received by CDC on December 14, 2015.	15.2.1(a)
1462	AKD Analytics (Private) Limited	Restricted	14-Dec-15	Due to switching off of all trading terminals by the LSE vide notice no.6248 Dated December 11, 2015 received by CDC on December 14, 2015.	15.2.1(a)
1463	Faith Securities (Private) Limited	Restricted	14-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1464	Aziz Fidahusein & Company (Private) Limited	Suspended	11-Dec-15	Consequent to suspension of Participant by KSE vide notice no. KSE/N-6454 dated December 10, 2015	15.2.1(b)
1465	Shaukat Shaffi Securities (Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1466	First Fidelity Leasing Modaraba	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1467	Sohail Raza Moosani (Smc-Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1468	JCR Capital Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1469	Saima Qaiser Securities (Pvt.) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1470	SMB Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1471	A.H.K.D. Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1472	AB Equities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1473	Shaukat Shaffi Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1474	AKD Analytics (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1475	H.R. Securities & Brokerage (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1476	Kayzone Capital Markets (SMC-Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1477	Sohail Raza Moosani (SMC-Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1478	Tariq Sayeed Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1479	Pak United Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1480	Aziz Fidahusein & Company (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1481	Pak Meezan Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1482	Invisor Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1483	QF Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1484	First Fidelity Leasing Modaraba	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1485	Khoja's Capital Management (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1486	Al-Mal Securities & Services Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1487	Mohammed Hanif Moosa	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1488	Investec Securities Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1489	Javed Omer Vohra & Company Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1490	Yousuf Ebrahim	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1491	Shahid Hassan Awan	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1492	Mohammad Tanveer Malik	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1493	Islamabad Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1494	Fincap Investments (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1495	Orion Investments (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1496	Trust Capital (Private) Limited	Restricted	26-Nov-15	Participant under Regulation 6.8.2 of the CDC Regulations discloses negative Capital Adequacy Level	15.3.1(a)
1497	A.H.K.D. Securities (Private) Limited	Removal of Intention to Suspend	24-Nov-15	Participant has settled the CDC outstanding dues.	15.9.1 (e)
1498	Main Muhammad Akram Securities (Private) Limited	Removal of Suspension	17-Nov-15	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/537/15 dated November 17, 2015	15.6.2
1499	Main Muhammad Akram Securities (Private) Limited	Suspended	16-Nov-15	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/536/15 dated November 16, 2015	15.2.1(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1500	A.H.K.D. Securities (Private) Limited	Final Notice of Intention to Suspend	16-Nov-15	Failure to settle the CDC outstanding dues.	15.9.1 (e)
1501	A.H.K.D. Securities (Private) Limited	Extension of intention to suspend	30-Oct-15	Failure to settle the CDC outstanding dues.	15.9.1 (e)
1502	A.H.K.D. Securities (Private) Limited	Notice of Intention to Suspend	15-Oct-15	Failure to settle the CDC outstanding dues.	15.9.1 (e)
1503	Hamza Farhad Securities (Private) Limited	Suspended	29-Sep-15	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/469/15 dated September 29, 2015	15.2.1(b)
1504	Hamza Farhad Securities (Private) Limited	Removal of Suspension	29-Sep-15	consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/470/15 dated September 29, 2015	15.6.2
1505	Invest Capital Markets Limited	Revised Notice of Restriction	28-Sep-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1506	BMS Capital (Private) Limited	Removal of Restriction	28-Sep-15	Consequent to restoration of trading terminals by LSE vide notice no. 4848 dated September 28, 2015	15.6.2
1507	Allied Securities (Private) Limited	Removal of Restriction	21-Sep-15	Consequent to restoration of trading terminals by LSE vide notice no. 4810 dated September 21, 2015	15.6.2
1508	Hatim Investments & Securities (Pvt.) Limited	Terminated	18-Sep-15	Voluntary Termination	15.10.1
1509	First National Equities Limited	Revised Notice of Restriction	15-Sep-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1510	FDM Capital Securities (Private) Limited	Notice of Imposition of Penalty	31-Aug-15	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1511	Allied Securities (Private) Limited	Restricted	31-Aug-15	Consequent to Switching off trading terminals by LSE vide notice no. 4535 dated August 31, 2015	15.2.1(a)
1512	QF Securities (Private) Limited	Restricted	31-Aug-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1513	BMS Capital (Private) Limited	Restricted	28-Aug-15	Consequent to expiry of broker registration of Participant as notified by LSE vide notice no. 4478 dated August 26, 2015 received on August 28, 2015	15.2.1(a)
1514	Live Securities Limited	Removal of Restriction for opening of New Sub-Accounts	5-Aug-15	consequent to lifting of restriction of Participants for opening of new sub-accounts by KSE vide notice no. KSE/GEN-6177 dated August 03, 2015	15.6.2
1515	Darson Securities (Private) Limited	Removal of Restriction for opening of New Sub-Accounts	5-Aug-15	consequent to lifting of restriction of Participants for opening of new sub-accounts by KSE vide notice no. KSE/GEN-6188 dated August 04, 2015	15.6.2
1516	Azee Securities (Private) Limited	Removal of Restriction for opening of New Sub-Accounts	5-Aug-15	consequent to lifting of restriction of Participants for opening of new sub-accounts by KSE vide notice no. KSE/GEN-6173 dated August 04, 2015	15.6.2
1517	WE Financial Services Limited	Notice of Imposition of Penalty	24-Jul-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1518	Live Securities Limited	Restriction on opening of New Sub-Accounts	22-Jul-15	Due to imposed restriction on Participants for opening of new sub-accounts by KSE vide order no. KSE/GEN-5746 dated July 16, 2015.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1519	Darson Securities (Private) Limited	Restriction on opening of New Sub-Accounts	22-Jul-15	Due to imposed restriction on Participants for opening of new sub-accounts by KSE vide order no.KSE/GEN-5747 dated July 16, 2015	15.2.1(a)
1520	Aziz Fidahusein & Company (Private) Limited	Restricted	22-Jul-15	Consequent to the suspension of Trading Right Entitlement Certificate of the Participant by KSE vide notice no.no. KSE/N-3626 dated July 16, 2015	15.2.1(a)
1521	Azee Securities (Private) Limited	Restriction on opening of New Sub-Accounts	22-Jul-15	Due to imposed restriction on Participants for opening of new sub-accounts by KSE vide order no.KSE/GEN-5721 dated July 16, 2015	15.2.1(a)
1522	Aziz Fidahusein & Company (Private) Limited	Restricted	14-Jul-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1523	H. P. Byramji & Co. (Pvt.) Limited	Notice of Restriction & Penalty	6-Jul-15	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1524	Harvest Smartrend Securities (Private) Limited	Terminated	6-Jul-15	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by LSE vide notice no.3069 dated July 03, 2015	15.2.1(a)
1525	Azee Securities (Private) Limited	Removal of Restriction	2-Jul-15	Participant represented to CDC vide letter dated July 02, 2015 to consider removing the Restriction against deposit amount sufficient to settle the claims.	15.6.2
1526	Pak Meezan Securities (Private) Limited	Restricted	1-Jul-15	Due to suspension of registration Participant as Broker by Securities Exchange Commission of Pakistan vide order dated June 30, 2015	15.2.1(a)
1527	Reliance Capital (Private) Limited	Restricted	1-Jul-15	Due to suspension of registration Participant as Broker by Securities Exchange Commission of Pakistan vide order dated June 30, 2015	15.2.1(a)
1528	Azee Securities (Private) Limited	Restricted	1-Jul-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1529	Investforum (Smc-Pvt) Limited	Notice of Imposition of Penalty	19-Jun-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1530	ACE Securities (Private) Limited	Terminated	18-May-15	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by KSE vide notice no. KSE/N-2793 dated May 15, 2015 .	15.3.7
1531	First National Equities Limited	Restricted	14-May-15	Due to contravention of provision of Regulation 6.7.3 of the CDC Regulations	15.2.1(a)
1532	ACE Securities (Private) Limited	Suspended	14-May-15	Consequent to suspension of Participant by KSE vide notice no. KSE/N-2754 dated May 13, 2015	15.2.1(b)
1533	Invest Capital Markets Limited	Imposition of Penalty & Restricted	13-May-15	Due to contravention of provision of Regulation 6.7.3 of the CDC Regulations	14.3.1 (b) and 15.2.1(a)
1534	MAK Securities (Private) Limited	Terminated	30-Apr-15	Voluntary Termination	15.10.1
1535	ACE Securities (Private) Limited	Suspended	27-Apr-15	Consequent to Switching off trading terminals by KSE vide email dated April 27, 2015 and Directive of SECP vide Letter no. 4(BRK-129)SE/SMD/2001 dated April 27, 2015.	15.2.1(b)
1536	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1537	Alfa Adhi Securities (Private) Limited	Censure	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1538	Ali Husain Rajabali Limited	Censure	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1539	AWJ Securities (Private) Limited	Censure	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1540	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Censure	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1541	Prime Securities (Pvt.) Limited	Censure	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1542	Azee Securities (Private) Limited	Notice of Imposition of Penalty	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1543	Alfalah Securities (Private) Limited	Notice of Imposition of Penalty	14-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1544	Aziz Fidahusein & Company (Private) Limited	Notice of Imposition of Penalty	14-Apr-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
1545	KASB Securities Limited	Removal of Restriction	14-Apr-15	Pursuant to directive issued vide letter no. SMD/SE/2(20)2014 dated April 13, 2015 of the SECP.	-
1546	First National Equities Limited	Notice of Imposition of Penalty	2-Apr-15	Non-Compliance of CDC Regulations	6.2.2, 6.2.6 & 6.7.3
1547	Capital Vision Securities (Private) Limited	Terminated	31-Mar-15	Consequent to declaring the participant as defaulter by Lahore stock Exchange Limited vide notice no. LSE/1417 dated March 31, 2015.	15.3.7
1548	Patel Securities (Pvt.) Limited	Notice of Imposition of Penalty	9-Mar-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
1549	Moosani Securities (Pvt.) Limited	Terminated	6-Mar-15	Voluntary Termination	15.10.1
1550	Main Muhammad Akram Securities (Private) Limited	Notice of Imposition of Penalty	5-Mar-15	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1551	A.H.K.D. Securities (Private) Limited	Removal of Restriction	3-Mar-15	Consequent to restoration of trading terminals by the Karachi Stock Exchange Limited vide notice no. 1188 dated March 03, 2015	15.6.2
1552	Capital Vision Securities (Private) Limited	Notice of Imposition of Penalty	27-Feb-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1553	Motiwala Securities (Private) Limited	Removal of Suspension	18-Feb-15	Consequent to Change of status of participant as an active TRE Holder of Karachi Stock Exchange as notified by KSE vide notice no. KSE/N-702 dated February 17, 2015.	15.6.2
1554	Universal Equities (Private) Limited	Removal of Restriction	16-Feb-15	Consequent to Restoration of Trading terminals of participant by Lahore Stock Exchange as notified by LSE vide notice no. 0643 dated February 13, 2015.	15.6.2
1555	Excel Securities (Pvt.) Limited	Terminated	13-Feb-15	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE vide notice no. 035 of 2015 dated February 13, 2015.	15.3.7
1556	H.H.K. Securities (Pvt.) Limited	Removal of suspension	29-Jan-15	Consequent to Restoration of Trading of participant by Karachi Stock Exchange as notified by KSE vide notice no. KSE/N-419 dated January 29, 2015.	15.6.2
1557	A. S. Securities (Private) Limited	Removal of suspension	22-Jan-15	Consequent to Restoration of Trading of participant by Lahore Stock Exchange as notified by LSE vide notice no. 0276 dated January 16, 2015.	15.6.2
1558	Aazeb Securities (Private) Limited	Terminated	24-Dec-14	Voluntary Termination	15.10.1
1559	Dossanis Securities (Private) Limited	Censure	12-Dec-14	Non-Compliance of CDC Regulations	6.2.6
1560	KASB Securities Limited	Relaxation on Restriction	3-Dec-14	Pursuant to directive issued vide letter no. SMD/SE/2(20)2014 dated December 02, 2014 of the SECP.	-
1561	KASB Securities Limited	Restricted	18-Nov-14	Pursuant to directive issued vide letter no. SMD/SE/2(20)2014 dated November 17, 2014 of the SECP.	-
1562	Harvest Smartrend Securities (Private) Limited	Restricted	31-Oct-14	Consequent to switching off of all trading terminals by the LSE vide notice no.7910 Dated October 31, 2014.	15.2.1(a)
1563	Invest Capital Markets Limited	Restricted	24-Sep-14	Due to contravention of provision of Regulation 6.7.3 of the CDC Regulations	15.2.1(a)
1564	AFIC Securities (Private) Limited	Terminated	4-Sep-14	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1565	AFIC Securities (Private) Limited	Restricted	3-Sep-14	Consequent to Switching off trading terminals by LSE on the request of AFIC Securities (Private) Limited	15.2.1(a)
1566	Ismail Iqbal Securities (Pvt.) Limited	Notice of Imposition of Penalty	25-Aug-14	Non-Compliance of CDC Regulations	6.2.2, 6.2.6 & 6.7.3
1567	FDM Capital Securities (Private) Limited	Notice of Imposition of Penalty	6-Aug-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
1568	Beaming Investment & Securities (Private) Limited	Removal of Suspension	25-Jul-14	Consequent to Revocation of Suspension of participant by Karachi Stock Exchange as notified by KSE vide notice no. ISE/RAD/205 dated July 25, 2014.	15.6.2
1569	Diyanah Islamic Financial Services (Private) Limited	Restricted	20-Jun-14	Consequent to broker registration of the Participant has expired as notified by ISE vide notice no. ISE/RAD/161 dated June 16, 2014	15.1.1(a) (ii) to (iv)
1570	Ghory's Securities (Private) Limited	Removal of suspension	18-Jun-14	Consequent to change of status of participant as an active TRE Certificates holder of Karachi Stock Holder as notified by KSE vide notice no. KSE/N-3337 dated June 18, 2014.	15.6.2
1571	Ghory's Securities (Private) Limited	Suspended	11-Jun-14	Consequent to completion of 60 Business Day of Restriction	15.3.7(b)
1572	Invest Capital Markets Limited	Notice of Imposition of Penalty	10-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1573	High Land Securities (Private) Limited	Censure	5-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1574	Din Capital (Private) Limited	Censure	8-May-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
1575	Ayub Chaudhry Investments (Private) Limited	Censure	24-Apr-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1576	Muhammad Tariq Moti Securities (Pvt.) Limited	Censure	10-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
1577	SAAO Capital (Pvt.) Limited	Censure	9-Apr-14	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1578	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	9-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
1579	K. H. S. Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1580	Islamabad Securities (Private) Limited	Suspended	7-Apr-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE	15.2.1(b)
1581	Aziz Fidahusein & Company (Private) Limited	Censure	26-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
1582	Highlink Capital (Private) Limited	Terminated	26-Mar-14	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE vide notice no. 1585 dated March 24, 2014	15.3.7
1583	SNM Securities (Private) Limited	Removal of Restriction	25-Mar-14	Consequent to change of status of participant as an active TRE Certificates holder of Karachi Stock Holder as notified by KSE vide notice no. KSE/N-1624 dated March 24, 2014.	15.2.1(b)
1584	Alfalsh Securities (Private) Limited	Censure	21-Mar-14	Non-Compliance of CDC Regulations	6.2.6
1585	Excel Securities (Pvt.) Limited	Suspended	21-Mar-14	Pursuant to directive dated February 20, 2014 of the SECP.	15.2.1(b)
1586	Ghory's Securities (Private) Limited	Restricted	19-Mar-14	Consequent to Switching off trading terminals by KSE on the request of Ghory's Securities (Private) Limited	15.2.1(a)
1587	Multiline Securities (Pvt.) Limited	Censure	13-Mar-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
1588	Apex Capital Securities (Private) Limited	Censure	4-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1589	Pearl Brokerage (Private) Limited	Notice of Imposition of Penalty	4-Mar-14	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1590	Maximus Securities (Private) Limited	Terminated	4-Mar-14	Voluntary Termination	15.10.1
1591	FINCAP Investments (Private) Limited	Suspended	21-Feb-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE vide notice no. ISE/2014/050 dated February 21, 2014.	15.2.1(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1592	Highlink Capital (Private) Limited	Suspended	20-Feb-14	Pursuant to order dated February 20, 2014 of the SECP.	15.2.1(b)
1593	Highlink Capital (Private) Limited	Restricted	18-Feb-14	Consequent to switching off of all trading terminals by the LSE vide notice no.856 Dated February 17, 2014, due to Suspension of its registration as a Broker by SECP.	15.2.1(a)
1594	Capital Vision Securities (Private) Limited	Censure	14-Feb-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
1595	First National Equities Limited	Notice of Imposition of Penalty	14-Feb-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 and 6.2A.1
1596	Nasir Ali Shah Bukhari	Terminated	14-Feb-14	Voluntary Termination	15.10.1
1597	Prime Securities (Pvt.) Limited	Censure	13-Feb-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1598	Escorts Capital Limited	Notice of Imposition of Penalty	31-Jan-14	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1599	G. R. Securities (SMC-Pvt.) Limited	Terminated	30-Jan-14	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE	15.3.7
1600	Maximus Securities (Private) Limited	Restricted	29-Jan-14	Consequent to expiry of broker registration as notified by LSE.	15.2.1(a)
1601	G. R. Securities (SMC-Pvt.) Limited	Suspended	13-Jan-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE	15.1.1(a) (ii) to (iv)
1602	Diyanah Islamic Financial Services (Private) Limited	Restricted	31-Dec-13	Consequent to switching off of all trading terminals by the ISB and Cancellation of its registration as a Broker by SECP.	15.1.1(a) (ii) to (iv)
1603	SNM Securities (Private) Limited	Restricted	26-Dec-13	Consequent to deactivation of all trading terminals by the KSE	15.1.1(a)
1604	M. J. Memon Securities (Pvt.) Limited	Censure	18-Dec-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1605	Maha Securities (Pvt.) Limited	Censure	9-Dec-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1606	Highlink Capital (Private) Limited	Restricted	29-Nov-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1607	Highlink Capital (Private) Limited	Removal of Restriction	29-Nov-13	Consequent to restoration of all trading terminals by the LSE in view of order dated 29-11-2013 of Court of Senior Civil Judge, Lahore	15.6.2
1608	Hameed Mukhtar Chaudhry	Terminated	27-Nov-13	Voluntary Termination	15.10.1
1609	Excel Securities (Pvt.) Limited	Censure	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1610	Main Muhammad Akram Securities (Private) Limited	Censure	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1611	MTM Securities (Private) Limited	Terminated	20-Nov-13	Voluntary Termination	15.10.1
1612	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Nov-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1613	MTM Securities (Private) Limited	Restricted	18-Nov-13	Consequent to Switching off trading terminals by LSE on the request of MTM Securities (Private) Limited	15.2.1(a)
1614	Trade-In-Securities (Pvt.) Limited	Censure	7-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1615	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	6-Nov-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1616	MCFSL - Trustee MCFSL Trustee Atlas Fund of Funds	Terminated	6-Nov-13	Voluntary Termination	15.10.1
1617	Jamshaid & Hasan Securities (Pvt.) Limited	Notice of Imposition of Penalty	5-Nov-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1618	Time Securities (Pvt.) Limited	Notice of Imposition of Penalty	5-Nov-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.6
1619	Ghani Osman Securities (Private) Limited	Removal of Restriction	28-Oct-13	Pursuant to Order dated October 26, 2013 of the Honorable High Court of Sindh at Karachi in Civil Suit No. 1346 of 2013	Court Order
1620	Ghani Osman Securities (Private) Limited	Restricted	25-Oct-13	Consequent to Suspension of registration of Participant by SECP vide Order dated October 25, 2013	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1621	Fair Edge Securities (Private) Limited	Censure	24-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1622	Azee Securities (Private) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1623	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1624	Apex Capital Securities (Private) Limited	Removal of Intention to Suspend	4-Oct-13	Participant has settled the fine imposed by CDC	15.9.1(e)
1625	Dossanis Securities (Private) Limited	Notice of Imposition of Penalty	2-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1626	Gul Dhami Securities (Private) Limited	Censure	30-Sep-13	Non-Compliance of CDC Regulations	6.2.6
1627	AMCAP Securities (Private) Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1628	First Pakistan Securities Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1629	Dattoo Securities (Private) Limited	Censure	27-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1630	Intermarket Securities Limited	Censure	26-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1631	Apex Capital Securities (Private) Limited	Imposition of Penalty / Notice of Intention to Suspend	23-Sep-13	Penalty imposed on non-compliances highlighted in Inspection of Participant Record and Intention to Suspend in case of non removing discrepancies and failure to pay amount of fine.	14.3.1 (b)
1632	FDM Capital Securities (Private) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1633	Oriental Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1634	Standard Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1635	Ismail Iqbal Securities (Pvt.) Limited	Notice of Imposition of Penalty	28-Aug-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1636	SNM Securities (Private) Limited	Censure	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1637	Axis Global Limited	Notice of Imposition of Penalty	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1638	Sakarwala Capital Securities (Pvt.) Limited	Censure	20-Aug-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1639	Akhai Securities (Private) Limited	Notice of Imposition of Penalty	31-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1640	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Terminated	29-Jul-13	Consequent to forfeiture of Trading Right Entitlement Certificate of the Participant by the KSE	15.3.7
1641	DJM Securities (Private) Limited	Notice of Imposition of Penalty	24-Jul-13	Non-Compliance of CDC Regulations	6.7.2 & 6.2A.1
1642	Live Securities Limited	Notice of Imposition of Penalty	19-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1643	Invest Capital Markets Limited	Notice of Imposition of Penalty	11-Jul-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.1
1644	Diyanah Islamic Financial Services (Private) Limited	Notice of Imposition of Penalty	10-Jul-13	Non-Compliance of CDC Regulations	6.2A.1 & 6.2.6
1645	Dalia Securities (Private) Limited	Removal of Restriction	5-Jul-13	Consequent of re-registration as broker under the Brokers & Agents Registration Rules (the "Rules").	15.6.2
1646	Arif Majid Chaudhry	Removal of Restriction	26-Jun-13	Consequent to restoration of trading right entitlement by the LSE and withdrawal of directives of SECP	Rule 7
1647	Arif Majid Chaudhry	Terminated	26-Jun-13	Voluntary Termination	15.10.1
1648	Continental Capital Management (Private) Limited	Censure	21-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1649	Irfan Mazhar Securities (Pvt.) Limited	Censure	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1650	KASB Securities Limited	Censure	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1651	Dawood Equities Ltd	Notice of Imposition of Penalty	21-Jun-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.2.6
1652	Mian Nusrat-Ud-Din	Notice of Imposition of Penalty	21-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1653	Darson Securities (Private) Limited	Censure	19-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1654	M.R.A. Securities (Pvt.) Limited	Censure	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1655	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
1656	Live Securities Limited	Removal of Restriction	17-Jun-13	As the Participant has provided the evidence in form of Sub-Account Opening Form from the Complainant	15.6.3
1657	Live Securities Limited	Extension of Restricted Period	10-Jun-13	Due to non-resolution of investor's complaint against the Participant	15.3.1
1658	Alfalah Securities (Private) Limited	Notice of Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.7.3
1659	Progressive Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.6
1660	Live Securities Limited	Restricted	5-Jun-13	Restriction Imposed due to no clarification is given by the Participant w.r.t. Investor complaint	15.3.1
1661	Ghani Osman Securities (Private) Limited	Censure	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1662	Multiline Securities (Pvt.) Limited	Censure	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6
1663	Moonaco Securities (Pvt.) Limited	Censure	3-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1664	Bawa Securities (Private) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1665	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
1666	Alfa Adhi Securities (Private) Limited	Censure	24-May-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1667	Adeel & Nadeem Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1668	Aziz Fidahusein & Company (Private) Limited	Notice of Imposition of Penalty	22-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1669	Hameed Mukhtar Chaudhry	Removal of Restriction	21-May-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
1670	K. H. S. Securities (Pvt.) Limited	Notice of Imposition of Penalty	17-May-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1671	ZHV Securities (Private) Limited	Terminated	15-May-13	Consequent to Forfeiture of TRE Certificate by KSE	15.3.7
1672	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Suspended	15-May-13	Consequent to suspension of TRE Certificate by KSE	15.2.1(b)
1673	Saliha Haroon	Terminated	15-May-13	Voluntary Termination	15.10.1
1674	B & B Securities (Private) Limited	Notice of Imposition of Penalty	14-May-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.7.3
1675	We Financial Services Limited	Notice of Imposition of Penalty	14-May-13	Non-Compliance of CDC Regulations	6.2.2 and 6.7.3
1676	Zahid Ali Habib	Terminated	14-May-13	Voluntary Termination	15.10.1
1677	SAZ Capital Securities (Pvt.) Limited	Censure	9-May-13	Non-Compliance of CDC Regulations	6.2.6
1678	Arif Latif	Terminated	9-May-13	Voluntary Termination	15.10.1
1679	Mian Nusrat-Ud-Din	Terminated	9-May-13	Voluntary Termination	15.10.1
1680	Mohammad Amer Riaz	Terminated	9-May-13	Voluntary Termination	15.10.1
1681	Muhammad Ayub Chaudhry	Terminated	9-May-13	Voluntary Termination	15.10.1
1682	Sajid Masood	Terminated	9-May-13	Voluntary Termination	15.10.1
1683	Saima Qaiser	Terminated	9-May-13	Voluntary Termination	15.10.1
1684	First Fidelity Leasing Modaraba	Restricted	8-May-13	Consequent to Switching off trading terminals by the ISE	15.2.1(a)
1685	Investforum (Smc-Pvt) Limited	Notice of Imposition of Penalty	7-May-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.6 & 6.2A1
1686	Seven Star Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1687	Arif Latif	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1688	Mian Nusrat-Ud-Din	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1689	Mohammad Amer Riaz	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1690	Zahid Ali Habib	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1691	Arif Majid Chaudhry	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1692	Saliha Haroon	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1693	Muhammad Ayub Chaudhry	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1694	Hameed Mukhtar Chaudhry	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1695	Nasir Ali Shah Bukhari	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1696	Sajid Masood	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1697	Saima Qaiser	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1698	H. M. Idrees H. Adam	Terminated	6-May-13	Voluntary Termination	15.10.1
1699	Tewfiq Mohammed Amin Fikree	Terminated	6-May-13	Voluntary Termination	15.10.1
1700	Muhammad Tariq Moti	Terminated	6-May-13	Voluntary Termination	15.10.1
1701	Rayomund J.H.P Byramji	Terminated	6-May-13	Voluntary Termination	15.10.1
1702	Dawood Mohammad	Terminated	6-May-13	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1703	Surmawala Securities (Private) Limited	Notice of Imposition of Penalty	18-Apr-13	Non-Compliance of CDC Regulations	6.2.6, 6.2A.1 & 6.7.3
1704	Apex Capital Securities (Private) Limited	Notice of Imposition of Penalty	16-Apr-13	Penalty imposed on non-compliances highlighted in Inspection of Participant Record and Intention to Suspend in case of non removing discrepancies and failure to pay amount of fine.	6.2.2, 6.2.6, 6.2A.1, 6.7.2, & 6.7.3
1705	A. I. Securities (Private) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1706	G. R. Securities (SMC-Pvt.) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
1707	Sajid Masood	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1708	Stock Street (Private) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.2A.1 & 9.1.1
1709	ZHV Securities (Private) Limited	suspended	11-Apr-13	Consequent to suspension of TRE Certificate by the KSE	15.2.1(b)
1710	Dalia Securities (Private) Limited	Censure	9-Apr-13	Non-Compliance of CDC Regulations	6.2.6
1711	Pearl Brokerage (Private) Limited	Censure	9-Apr-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
1712	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	suspended	9-Apr-13	Consequent to suspension of clearing member account by the NCCPL	15.2.1(b)
1713	BlackStone Equities (Private) Limited	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1714	Creative Capital Securities (Private) Ltd.	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1715	Prosperity Securities (SMC-Pvt.) Limited	suspended	3-Apr-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
1716	N.U.A Securities (Pvt.) Limited	Notice of Imposition of Penalty	28-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1717	Techno Fundamental Securities (Private) Limited	Censure	27-Mar-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
1718	Fair Deal Securities (Private) Limited	Notice of Imposition of Penalty	27-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1719	Maan Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Mar-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1720	A. H. M. Securities (Private) Limited	Notice of Imposition of Penalty	26-Mar-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 & 6.7.3
1721	Ms. Saliha Haroon	Notice of Imposition of Penalty	26-Mar-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1722	Alfalal Securities (Private) Limited	Removal of Restriction	25-Mar-13	Consequent to restoration of trading right entitlement certificate by the KSE	15.6.2
1723	First National Equities Limited	Removal of Intention to Suspend	18-Mar-13	Participant has settled the fine imposed by CDC	15.9.1(e)
1724	Switch Securities (Private) Limited	Censure	15-Mar-13	Non-Compliance of CDC Regulations	6.2.6
1725	Alfalal Securities (Private) Limited	Restricted	15-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
1726	ZHV Securities (Private) Limited	Restricted	13-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1727	Friendly Securities (Private) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1728	Khanani Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.2A.1
1729	Harvest Smartrend Securities (Private) Limited	Notice of Imposition of Penalty	4-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2A.1 & 9.1.1
1730	First National Equities Limited	Notice of Intention to Suspend	4-Mar-13	Due to failure to pay the fine to CDC	15.9.1(e)
1731	M. J. Memon Securities (Pvt.) Limited	Censure	27-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1732	Dalia Securities (Private) Limited	Restricted	26-Feb-13	Consequent to switching off the trading terminal by the ISE due to non-submission of renewal of registration document to SECP	15.2.1(a)
1733	Sherman Securities (Pvt.) Limited	Notice of Imposition of Penalty	20-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1734	GMI Capital Securities (Private) Limited	Notice of Imposition of Penalty	19-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1735	KSR Stock Brokerage (Pvt.) Limited	Censure	15-Feb-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 9.1.1
1736	Arif Majid Chaudhry	Restricted	15-Feb-13	SECP directive pursuant to Rule 7 of Central Depository Companies (Establishment and Regulation) Rules, 1996	-
1737	Baba Equities (Pvt.) Limited	Censure	12-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
1738	MCBFSL - Trustee AH Dow Jones Pak Titans 15 Index Fund	Terminated	12-Feb-13	Voluntary Termination	15.10.1
1739	Safe Securities (Private) Limited	Censure	11-Feb-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1740	SAAO Capital (Pvt.) Limited	Notice of Imposition of Penalty	11-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 & 6.7.3
1741	Arif Majid Chaudhry	Removal of Suspension	11-Feb-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
1742	First National Equities Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.7.3, 9.1.1 & 6.2A.1
1743	Habib Metropolitan Financial Services Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1744	Infinite Securities Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1745	Muhammad Ayub Chaudhry	Notice of Imposition of Penalty	28-Jan-13	Non-Compliance of CDC Regulations	6.2.2 & 9.1.1
1746	Jahanzaib Gondal	Terminated	24-Jan-13	Voluntary Termination	15.10.1
1747	A. S. Securities (Private) Limited	Suspended	11-Jan-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
1748	Prosperity Securities (SMC-Pvt) Limited	Restricted	7-Jan-13	Consequent to Switching off trading terminals by the ISE, on the request of the Participant	15.2.1(a)
1749	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Removal of Intention to Suspend	4-Jan-13	Participant has settled the fine imposed by CDC	15.9.1(e)
1750	AWJ Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1751	Excel Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
1752	Zafar Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1753	Imperial Investments (Private) Limited	Terminated	24-Dec-12	Consequent to expulsion of Participant by the KSE.	15.3.7
1754	ACE Securities (Private) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1755	Maha Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2A.1 & 9.1.1
1756	Time Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.2.3, 6.2.6, 6.2A.1 & 6.7.3
1757	Ahmad Shoaib Akram	Terminated	18-Dec-12	Voluntary Termination	15.10.1
1758	Arif Majid Chaudhry	Suspended	17-Dec-12	Consequent to suspension of trading right entitlement certificate by the LSE	15.2.1(b)
1759	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Intention to Suspend	17-Dec-12	Due to failure to pay the fine to CDC	15.9.1(e)
1760	Arif Majid Chaudhry	Restricted	14-Dec-12	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1761	First National Equities Limited	Restricted	12/3/2012	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1762	Arif Majid Chaudhry	Intention to Suspend	30-Nov-12	Due to failure to pay CDC dues	15.9.1(e)
1763	Moosa, Noor Mohammad, Shahzada & Co (Pvt.) Limited	Notice of Imposition of Penalty	20-Nov-12	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.6, 6.7.2 & 6.7.3
1764	Imperial Investments (Private) Limited	Suspended	13-Nov-12	Consequent to suspension of trading right entitlement certificate by the LSE	15.2.1(b)
1765	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	30-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1766	Imperial Investments (Private) Limited	Notice of Imposition of Penalty	24-Oct-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.6 & 9.1.1
1767	Imperial Investments (Private) Limited	Suspended	22-Oct-12	Due to non-compliance of regulatory requirements with respect to transfer of securities and non payment of Penalty	15.2.1(b)
1768	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	19-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1769	Pearl Securities Limited	Notice of Imposition of Penalty	18-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1770	A. S. Securities (Private) Limited	Restricted	15-Oct-12	Consequent to Switching off trading terminals by the LSE on the request of the Participant.	15.2.1(a)
1771	Invisor Securities (Private) Limited	Restricted	12-Oct-12	Consequent to Switching off trading terminals by the KSE on the request of the Participant.	15.2.1(a)
1772	Imperial Investments (Private) Limited	Restricted	12-Oct-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1773	Dattoo Securities (Private) Limited	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1774	H. P. Byramji & Co. (Pvt.) Limited	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1775	Rayomund J.H.P. Byramji	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1776	Pearl Capital Management (Private) Limited	Terminated	4-Oct-12	Membership suspended by the KSE.	15.3.7
1777	Intermarket Securities Limited	Notice of Imposition of Penalty	3-Oct-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.3 and 6.2.6
1778	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	28-Sep-12	Non-Compliance of CDC Regulations	6.2 & 6.2.6
1779	Gul Dhami Securities (Private) Limited	Notice of Imposition of Penalty	26-Sep-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1780	F.M. Securities (Private) Limited	Notice of Imposition of Penalty	14-Sep-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
1781	Jamshaid & Hasan Securities (Pvt.) Limited	Notice of Imposition of Penalty	13-Sep-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1782	Pearl Capital Management (Private) Limited	Notice of Imposition of Penalty	13-Sep-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.2, 6.7.3 & 9.1.1
1783	Jahangir Siddiqui & Company Limited	Terminated	11-Sep-12	Voluntary Termination	15.10.1
1784	Dosslanis Securities (Private) Limited	Notice of Imposition of Penalty	30-Aug-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1785	Pearl Capital Management (Private) Limited	Restricted	24-Aug-12	Consequent to Switching off trading terminals by the KSE on the request of the Participant.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1786	Pearl Capital Management (Private) Limited	Suspended	24-Aug-12	Membership suspended by the KSE.	15.2.1(b)
1787	NBP Trustee - NI(UT) (LOC) Fund	Terminated	15-Aug-12	Voluntary Termination	15.10.1
1788	First Pakistan Securities Limited	Notice of Imposition of Penalty	9-Aug-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
1789	Switch Securities (Private) Limited	Removal of Intention	8/3/2012	Participant has settled the CDC outstanding dues	15.9.1(e)
1790	Unex Securities (Pvt.) Limited	Censure	1-Aug-12	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
1791	AMCAP Securities (Private) Limited	Notice of Imposition of Penalty	1-Aug-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1792	Arif Majid Chaudhry	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1793	Live Securities Limited	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1794	Hum Securities Limited	Notice of Imposition of Penalty	25-Jul-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1795	Hum Securities Limited	Notice of Imposition of Penalty	24-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 9.1.1
1796	Salma	Terminated	20-Jul-12	Voluntary Termination	15.10.1
1797	YKD Securities (Pvt.) Limited	Terminated	19-Jul-12	Voluntary Termination	15.10.1
1798	Al-Hamd Investment and Securities (Private) Ltd.	Terminated	19-Jul-12	Voluntary Termination	15.10.1
1799	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
1800	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
1801	Darson Securities (Private) Limited	Notice of Imposition of Penalty	25-Jun-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1802	Al-Hamd Investment and Securities (Private) Ltd.	Suspended	25-Jun-12	Consequent to completion of 60 Business Days of Restrictions	15.3.7(b)
1803	Salman Capital Investments (Private) Limited	Terminated	22-Jun-12	Voluntary Termination	15.10.1
1804	Invisor Securities (Private) Limited	Removal of Restriction	18-Jun-12	Consequent to change of status as an Active Member by KSE	15.6.2
1805	Dawoodi Alibhoy Morkas	Terminated	14-Jun-12	Voluntary Termination	15.10.1
1806	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Terminated	13-Jun-12	Consequent to cancellation of the membership by the ISE	15.3.7
1807	Beaming Investment & Securities (Private) Limited	Suspended	8-Jun-12	Consequent to Suspension of Membership by the ISE.	15.2.1(b)
1808	United Capital Securities (Private) Limited	Terminated	6/3/2012	Consequent to expulsion of Participant by the KSE.	15.3.7
1809	H.H.K. Securities (Pvt.) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1810	Khoja's Capital Management (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1811	Mr. Haroon Suleman	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1812	MAK Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1813	Motiwala Securities (Private) Limited	Restricted	3-Jun-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1814	Naveed H. M. Idrees	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1815	Latif Suleman Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1816	H.H.K. Securities (Pvt.) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
1817	Motiwala Securities (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
1818	Khoja's Capital Management (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
1819	Khawaja Securities (Pvt.) Limited	Removal of Suspension	30-May-12	Consequent to restoration of trading terminals	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1820	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Suspended	28-May-12	Consequent to Suspension of membership by the ISE.	15.2.1(b)
1821	Beaming Investment & Securities (Private) Limited	Restricted	28-May-12	Consequent to Switching off trading terminals by the ISE.	15.2.1(a)
1822	Beaming Investment & Securities (Private) Limited	Censure	25-May-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.3 & 6.2.6
1823	SAL Securities (Pvt.) Limited	Censure	25-May-12	Non-Compliance of CDC Regulations	6.2.6 & A041
1824	A.H.K.D. Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1825	Invisor Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)
1826	Arif Habib Securities Limited	Terminated	23-May-12	Voluntary Termination	15.10.1
1827	Escorts Investment Bank Limited	Terminated	22-May-12	Voluntary Termination	15.10.1
1828	MCFSL - Trustee UBL Capital Protected Fund-II	Terminated	22-May-12	Voluntary Termination	15.10.1
1829	Stock Master Securities (Private) Limited	Terminated	16-May-12	Consequent to Expulsion of the membership by the LSE	15.3.7
1830	Latif Suleman Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
1831	Aqeel Karim Dhedhi Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
1832	Hum Securities Limited	Terminated	8-May-12	Voluntary Termination	15.10.1
1833	Khoja's Capital Management (Private) Limited	Intention to Suspend	30-Apr-12	Due to failure to pay CDC dues	15.9.1(e)
1834	Naveed H. M. Idrees	Terminated	30-Apr-12	Voluntary Termination	15.10.1
1835	Beaming Investment & Securities (Private) Limited	Restricted	27-Apr-12	Consequent to Switching off of trading terminals by the ISE.	15.2.1(a)
1836	Y. S. Securities & Services (Private) Limited	Terminated	24-Apr-12	Consequent to Expulsion by the LSE	15.3.7
1837	Trust Capital (Private) Limited	Restricted	18-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
1838	Arif Majid Chaudhry	Removal of Intention to Suspend	18-Apr-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1839	Darson Securities (Private) Limited	Restricted	12-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1840	Darson Securities (Private) Limited	Restricted	12-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1841	Salman Capital Investments (Private) Limited	Restricted	12-Apr-12	Consequent to change of status as inactive member	15.2.1(a)
1842	Stock Master Securities (Private) Limited	Suspended	10-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(b)
1843	Y. S. Securities & Services (Private) Limited	Suspended	10-Apr-12	Consequent to Suspension of membership by the LSE.	15.2.1(b)
1844	Y. S. Securities & Services (Private) Limited	Restricted	9-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
1845	Stock Master Securities (Private) Limited	Restricted	5-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1846	Dawoodi Alibhoy Morkas	Restricted	5-Apr-12	Consequent to Switching off trading terminals by the ISE.	15.2.1(a)
1847	Al-Haq Securities (Pvt.) Limited	Censure	30-Mar-12	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1848	Ms. Saliha Haroon	Censure	30-Mar-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1849	Al-Hamd Investment and Securities (Private) Ltd.	Restricted	30-Mar-12	Consequent to Switching off of trading terminals by the LSE.	15.2.1(a)
1850	Stock Master Securities (Private) Limited	Intention to Restrictions	30-Mar-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.1.1(b)(iii)
1851	Dosslanis Securities (Private) Limited	Intention to Restrictions	30-Mar-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.1.1(b)(iii)
1852	Harvest Smartrend Securities (Private) Limited	Removal of Intention	27-Mar-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1853	Universal Equities (Private) Limited	Restricted	26-Mar-12	Non-Renewal of Broker Registration Certificate	15.2.1(a)
1854	MAK Securities (Private) Limited	Terminated	22-Mar-12	Voluntary Termination	15.10.1
1855	Haroon Suleman	Terminated	22-Mar-12	Ceasing of as Member of KSE	15.2.1(c)
1856	First National Equities Limited	Removal of Restriction	22-Mar-12	Participant complied with Regulatory requirements relating to transfer of securities	15.2.1(a)
1857	Mr. Shahid Nauman Rana	Terminated	16-Mar-12	Due to declaration of the Participant as defaulter by the LSE	15.2.1(c)
1858	Hum Securities Limited	Restricted	13-Mar-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1859	Javed Iqbal Securities (Pvt.) Limited	Censure	28-Feb-12	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1860	National Bank of Pakistan	Terminated	28-Feb-12	Voluntary Termination	15.10.1
1861	AKY Securities (Private) Limited	Terminated	27-Feb-12	Voluntary Termination	15.10.1
1862	Value Stock Securities (Pvt.) Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1863	First Dawood Investment Bank Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1864	Pak United Securities (Private) Limited	Restricted	14-Feb-12	Consequent to non-renewable of broker registration certificate	15.2.1(a)
1865	Shehzad Chamdia Securities (Private) Limited	Terminated	2/3/2012	Voluntary Termination	15.10.1
1866	Trustee of AH-Pak Brunei Islamic Income Fund	Terminated	2/3/2012	Voluntary Termination	15.10.1
1867	Switch Securities (Private) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1868	Harvest Smartrend Securities (Private) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1869	Arif Majid Chaudhry	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1870	Value Stock Securities (Pvt.) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1871	First Dawood Investment Bank Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1872	United Capital Securities (Private) Limited	Suspended	1-Feb-12	Consequent to suspension of membership by the KSE.	15.2.1(b)
1873	United Capital Securities (Private) Limited	Restricted	31-Jan-12	Consequent of Switching off of trading terminals by the KSE.	15.2.1(a)
1874	First National Equities Limited	Notice of Imposition of Penalty	23-Jan-12	Non-Compliance of CDC Regulations	6.7.3 & 4.19
1875	AFIC Securities (Private) Limited	Censure	18-Jan-12	Non-Compliance of CDC Regulations	6.2.6
1876	Standard Securities (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
1877	Elite Stock Services (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
1878	United Capital Securities (Private) Limited	Revised Notice of Intention to suspend	3-Jan-12	Extending the period of Restriction.	9.1.1
1879	Zafar Moti Capital Securities (Private) Limited	Removal of Restriction	2-Jan-12	Pursuant to Court Order dated 30-12-2011.	Court Order