				Clearing Company of Pakistan Limited ions taken against the TRE Certificate Holders
S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
	MAC Securities (Pvt.) Limited	27-Aug-21	NCCPL/CS/221/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
	SM Securities (Pvt.) Limited	27-Aug-21	NCCPL/CS/224/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
3	Msmaniar Financials (Pvt.) Limited DJM Securities (Pvt.) Limited	13-Aug-21 13-Aug-21	NCCPL/CRO/343/21 NCCPL/CRO/342/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	Salim Sozer Securities (Pvt.) Limited	13-Aug-21	NCCPL/CRO/341/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
6	Time Securities (Pvt) Limited	13-Aug-21	NCCPL/CRO/340/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
7	General Investments & Securities (Pvt) Limited	13-Aug-21	NCCPL/CRO/339/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
8	New Peak Securities (Pvt.) Limited - JIT	13-Aug-21	NCCPL/CRO/338/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Azee Securities (Pvt.) Limited - JIT	13-Aug-21	NCCPL/CRO/337/21	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Inveslink Capital (Pvt.) Limited Fikree's (Pvt.) Limited	9-Jul-21 9-Jul-21	NCCPL/CRO/250/21 NCCPL/CRO/249/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
12	Surmawala Securities (Pvt.) Limited	9-Jul-21	NCCPL/CRO/252/21	warming issued under Regulation 14.1 of NCLP1 regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under Regulation 14.5 of NCCP1 Regulations, 2015 in account of show cause notice issued under R
13	Patel Securities (Pvt.) Limited	9-Jul-21	NCCPL/CRO/253/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
14	M. Ashfaq Hussain Securities (Pvt.) Ltd	9-Jul-21	NCCPL/CRO/251/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
15	RAH Securities (Pvt.) Limited	9-Jul-21	NCCPL/CRO/244/21	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
16	Ayub Chaudhry Investments (Pvt.) Limited	9-Jul-21	NCCPL/CRO/234/21	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	Backers & Partners (Private) Limited	9-Jul-21 9-Jul-21	NCCPL/CRO/235/21	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	AM Chaudhry Securities (Pvt.) Limited - JIT Vector Securities (Pvt.) Limited - TRR	9-Jul-21 9-Jul-21	NCCPL/CRO/227/21 NCCPL/CRO/237/21	Warning issued under regulation 1.1.1 of NUCLY. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 1.1.1 of NUCLY. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 1.1.1 of NUCLY. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	128 Securities (Pvt.) Limited - TRR	9-Jul-21	NCCPL/CRO/236/21	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on acconducted under Joint inspection regulations (Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on acconducted under Joint inspection regulations (Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on acconducted under Joint inspection Regulations
21	128 Securities (Pvt.) Limited	30-Jun-21	NCCPL/CRO/243/21	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
22	Arif Latif Securities (Pvt.) Limited	25-Jun-21	NCCPL/CRO/241/21	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
23	Salim Sozer Securities (Pvt.) Limited	25-Jun-21	NCCPL/CRO/239/21	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	Amer Securities (Pvt.) Limited	25-Jun-21	NCCPL/CRO/240/21	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	HMC Stocks (Pvt.) Limited	25-Jun-21	NCCPL/CRO/245/21	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
	Pearl Securities Limited Axis Global Limited	25-Jun-21 25-Jun-21	NCCPL/CRO/246/21 NCCPL/CRO/242/21	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
	Q. Ain Khanani Securities (Pvt.) Limited	25-Jun-21 18-Jun-21	NCCPL/CRO/242/21 NCCPL/CRO/232/21	Urder issued under regulation 1.4.1 of NLLP1 regulations, 2015 on account of inspection conducted under Liapter 1.38 of NLLP1 regulations Revocation of Restriction of Access to Services Revocation of Restriction of Access to Services
29	Vantage Commodities (Pvt.) Limited	18-Jun-21	NCCPL/CRO/232/21 NCCPL/CRO/231/21	nevocation on near Regulation S.2. & 8.3 of VEETS Suspension under Regulation 8.2. & 8.3 of VEETS Suspension 9.2. & 8.3 of VEETS Suspension 9.2. & 9.3 of VEETS Suspension 9.2. & 9.
	Q. Ain Khanani Securities (Pvt.) Limited	16-Jun-21	NCCPL/CRO/230/21	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
31	Bawany Securities (Pvt.) Limited - TRR	11-Jun-21	NCCPL/CRO/226/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint inspection Regulations
32	Integrated Equities Limited - TRR	11-Jun-21	NCCPL/CRO/225/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
33	ACM Global (Pvt.) Limited - TRR	11-Jun-21	NCCPL/CRO/224/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
34	Saya Securities (Pvt.) Limited - TRR Nini Securities (Pvt.) Limited - TRR	11-Jun-21 11-Jun-21	NCCPL/CRO/223/21 NCCPL/CRO/222/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations When I was a support of the Control of Inspection Conducted under Joint Inspection Regulations When I was a support of the Control of Inspection Conducted under Joint Inspection Regulations When I was a support of the Control of Inspection Conducted under Joint Inspection Regulations When I was a support of the Control of Inspection Conducted under Joint Inspection Regulations When I was a support of the Control of Inspection Con
	Moneyline Securities (Pvt.) Limited - JIT	11-Jun-21	NCCPL/CRO/222/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	NBP Fund Management Limited - NAFA Islamic Principle Protected Fund-II	28-May-21	NCCPL/CS/142/21	werning issued under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 on account of Self-Termination Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 on account of Self-Termination
38	Khawaja Securities (Pvt.) Limited	28-May-21	NCCPL/CS/141/21	Termination as Margin Trading Financee under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
39	Azee Securities (Pvt.) Limited	25-May-21	NCCPL/CRO/215/21	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
40	Azee Securities (Pvt.) Limited	25-May-21	NCCPL/CRO/214/21	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
	Infinite Securities Limited	18-May-21	NCCPL/CRO/212/21	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	MAS Capital Securities (Pvt.) Limited	4-May-21 3-May-21	NCCPL/CS/97/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
43	BMA Capital Management Limited - LSI Khanani Securities (Pvt.) Limited - TRR	3-May-21	NCCPL/CRO/208/21 NCCPL/CRO/203/21	Warning issued under regulation 1.1.1 of NUCLY. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 1.1.1 of NUCLY. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 1.1.1 of NUCLY. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	HMC Stocks (Pvt.) Limited - TRK	3-May-21	NCCPL/CRO/203/21 NCCPL/CRO/202/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint inspection regulation 14.5 of NCCPL Regulations, 2015
	K & I Global Capital (Pvt.) Limited	3-May-21	NCCPL/CRO/201/21	Warning issued under Regulation 14-1 of NCCPL Regulations, 2015 on account of show cause mote issued under Regulation 14-5 of NCCPL Regulations, 2015 on account of show cause mote issued under Regulation 14-5 of NCCPL Regulations, 2015
47	Irfan Mazhar Securities (Pvt.) Limited - TRR	3-May-21	NCCPL/CRO/200/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Y.H. Securities (Pvt.) Limited - TRR	3-May-21	NCCPL/CRO/199/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
49	RAH Securities (Pvt.) Limited	3-May-21	NCCPL/CRO/198/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
50	First National Equities Limited - TRR	3-May-21	NCCPL/CRO/193/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
51	Aba Ali Habib Securities (Pvt.) Limited - TRR	3-May-21	NCCPL/CRO/192/21 NCCPL/CRO/190/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations When I was a support of the Control of Inspection Conducted under Joint Inspection Regulations When I was a support of the Control of Inspection Conducted under Joint Inspection Regulations When I was a support of the Control of Inspection Conducted under Joint Inspection Regulations When I was a support of the Control of Inspection Conducted under Joint Inspection Regulations When I was a support of the Control of Inspection Con
53	M. Ashfaq Hussain Securities (Pvt.) Limited - TRR Bhayani Securities (Pvt.) Limited - TRR	23-Apr-21 23-Apr-21	NCCPL/CRO/186/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Bawany Securities (Pvt.) Limited	23-Apr-21	NCCPL/CRO/176/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
55	Amer Securities (Pvt) Ltd	23-Apr-21	NCCPL/CRO/175/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	AKY Securities Private Limited	23-Apr-21	NCCPL/CRO/174/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
57	Value Stock and Commodities (Pvt.) Limited	23-Apr-21	NCCPL/CRO/173/21	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
58	Salman Majeed Securities (Pvt.) Limited	23-Apr-21	NCCPL/CRO/172/21	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	A.I Securities Private Limited Akhai Securities Private Limited	23-Apr-21	NCCPL/CRO/171/21 NCCPL/CRO/170/21	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
60	Aknai Jecurices Private Limiteu	23-Apr-21	NCCPL/CRO/1/0/21	Training issued and penalty illiposed under negulation 14.1 or Inc.Pr. negulations, 2015 on account of snow cause notice issued under negulation 14.5 of NC.Pl. Regulations, 2015
	Fikree's Private Limited		NCCPL/CRO/167/21	Warning issued and penalty imposed under Regulation 14.1 and 14.3 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 and 18.2 of NCCPL
61		16-Apr-21		Regulations, 2015
62	Apex Capital Securities (Pvt.) Limited - JIT	16-Apr-21	NCCPL/CRO/165/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and penalty imposed
63	Dawood Equities Limited - TRR	16-Apr-21	NCCPL/CRO/163/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
64	We Financial Services Limited	16-Apr-21	NCCPL/CRO/187/21	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
65	ACM Gold (Pvt.) Limited	14-Apr-21	NCCPL/CRO/184/21	Revocation of Suspension of the Authorized Intermediary Pursuant to action taken by PMEX
	ACM Gold (Pvt.) Limited	12-Apr-21	NCCPL/CRO/178/21	Suspension under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX
	Infinite Securities Limited Icon capital Management (Pvt.) Limited	9-Apr-21 8-Apr-21	NCCPL/CRO/177/21 NCCPL/CS/86/21	Revocation of Restriction of Access to Services Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
	Salim Sozer Securities (Pvt.) Limited	8-Apr-21 26-Mar-21	NCCPL/CS/86/21 NCCPL/CRO/150/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	GMI Capital Securities (Pvt.) Limited - TRR	26-Mar-21	NCCPL/CRO/130/21 NCCPL/CRO/148/21	warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations.
71	Zafar Moti Capital Securities (Pvt.) Limited - TRR	26-Mar-21	NCCPL/CRO/149/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
72	Salim Sozer Securities (Pvt.) Limited - TRR	26-Mar-21	NCCPL/CRO/136/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
73	Zafar Moti Capital Securities (Pvt.) Limited - JIT	22-Mar-21	NCCPL/CRO/114/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
74	Msmaniar Financials (Pvt.) Limited	22-Mar-21	NCCPL/CRO/132/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	SAAO Capital (Pvt) Limited Pearl Securities Limited	22-Mar-21 22-Mar-21	NCCPL/CRO/131/21 NCCPL/CRO/127/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	Pearl Securities Limited Spectrum Securities Limited - JIT	22-Mar-21 10-Mar-21	NCCPL/CRO/12//21 NCCPL/CRO/113/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	B & B Securities (Pvt.) Limited - TRR	9-Mar-21	NCCPL/CRO/113/21	Warning issued under Regulation 14.1 of NCCF. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCF. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	Highland Securities Pvt limited - TRR	9-Mar-21	NCCPL/CRO/116/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Tariq Vohra Securities (Pvt.) Limited - TRR	9-Mar-21	NCCPL/CRO/115/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
81	Q.Ain Khanani Securities (Pvt.) Limited	9-Mar-21	NCCPL/CRO/122/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	Continental Capital Management Pvt Limited	9-Mar-21	NCCPL/CRO/123/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	We Financial Services Limited	9-Mar-21	NCCPL/CRO/124/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	Brains Securities (Pvt.) Ltd N.U.A. Securities (Pvt.) Limited	9-Mar-21	NCCPL/CRO/125/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.1 of NCCPL Regulations, 2015
84		15-Feb-21	NCCPL/CRO/103/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
85		1E.Fab 34	NCCDI /CDO /404 /34	
85 86	Prime Securities (Pvt) Limited	15-Feb-21 15-Feb-21	NCCPL/CRO/101/21 NCCPL/CRO/100/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
85 86 87	Prime Securities (Pvt) Limited B & B Securities (Pvt.) Limited	15-Feb-21	NCCPL/CRO/100/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
85 86 87 88	Prime Securities (Pvt) Limited			Warning issued under Regulation 14.1 of NCCP, Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP, Regulations, 2015 (Warning issued under Regulation 14.5 of NCCP, Regulations, 2015) Warning issued under Regulation 14.1 of NCCP, Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP, Regulations, 2015 Warning issued under Regulation 14.1 of NCCP, Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP, Regulations, 2015 Warning issued under Regulation 14.5 of NCCP, Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP, Regulations, 2015

		I Clearing Company of Pakistan Limited ions taken against the TRE Certificate Holders		
No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
	far Securities (Pvt.) Limited	15-Feb-21	NCCPL/CRO/96/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
2 Igbal Usr	man Kodvavi Securities (Pvt.) Limited	15-Feb-21	NCCPL/CRO/95/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
M. Tariq	Moti Securities (Pvt.) Limited	15-Feb-21	NCCPL/CRO/94/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
Tariq Vol	hra Securities (Pvt.) Limited	15-Feb-21	NCCPL/CRO/93/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	ncial Services Limited	3-Feb-21	NCCPL/CRO/92/21	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB
Motiwala	a Securities (Pvt.) Limited	27-Jan-21	NCCPL/CS/35/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Royal Ser	curities (Pvt.) Limited	26-Jan-21	NCCPL/CRO/29/21	Suspension under Regulation 18.1.1(a), 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
128 Secu	urities Pvt Limited	25-Jan-21	NCCPL/CRO/27/21	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations and penalty imposed
	curities (Pvt) Limited - JIT	25-Jan-21	NCCPL/CRO/32/21	Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and p
	ar Financials Private Limited - JIT	25-Jan-21	NCCPL/CRO/31/21	Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and p
Friendly	Securities Private Limited - JIT	25-Jan-21	NCCPL/CRO/30/21	Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and p
	apital Private Limited - TRR	15-Jan-21	NCCPL/CRO/8/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
INIA Socu	urities (Pvt.) Ltd - JIT	15-Jan-21	NCCPL/CRO/7/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulation Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Pearl Sec	curities Limited		NCCPL/CRO/5/21	Warning issued and penalty imposed under Regulation 14.1.1 and 14.6 of NCCPL Regulations, 2015 on account of matters identified in Inspection conducted by SECP
		11-Jan-21		
Infinite S	Securities Limited	11-Jan-21	NCCPL/CRO/004/21	Restriction of access to services under Regulation 18.1.1(a), 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
Abbasi S	ecurities (Pvt.) Limited	4-Jan-21	NCCPL/CRO/001/21	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015
Ismail Iql	bal Securities (Pvt.) Limited	31-Dec-20	NCCPL/CRO/348/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Spinzer E	Equities (Pvt.) Limited	31-Dec-20	NCCPL/CRO/256/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Ali Shah Bukhari Securities (Pvt.) Limited	31-Dec-20	NCCPL/CRO/349/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	ecurities Limited	31-Dec-20	NCCPL/CRO/358/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
Dawnord	Equities Limited	31-Dec-20	NCCPL/CRO/359/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations
HP. Ryra	mji & Co. (Pvt.) Limited	24-Dec-20	NCCPL/CS/410/20	Termination under Regulation 18.1.10 kt. 18.3 of NCPL Regulation, 2015 Pursuant to action taken by PSX
Progress	ive Securities (Pvt.) Limited	11-Dec-20	NCCPL/CRO/353/20	Termination during regulation (a.1.1t) (x 20.3 of NCCF regulations, 20.7 of account of Inspection conducted under Regulation 14.1 of NCCF). Regulations, 20.15 on account of Inspection conducted under Chapter 13B of NCCF. Regulations
MGM C-	curities (Pvt.) Limited	11-Dec-20	NCCPL/CRO/353/20 NCCPL/CRO/352/20	Order issued under Regulation 14.1 of NCCF. Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCF. Regulations Order issued under Regulation 14.1 of NCCF. Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCF. Regulations
vijawaja	Securities (Pvt.) Limited	11-Dec-20	NCCPL/CRO/351/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
MACD C	cks (Pvt.) Limited	11-Dec-20	NCCPL/CRO/350/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
viSD Cap	oital Equities (Pvt.) Limited	11-Dec-20	NCCPL/CRO/347/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
haukat :	Shafi Securities (Pvt.) Limited	2-Dec-20	NCCPL/CS/401/20	Termination under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
Amer Se	curities (Pvt.) Limited	26-Nov-20	NCCPL/CS/396/20	Termination as Margin Financier under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Akhai Se	curities (Pvt) Limited	12-Nov-20	NCCPL/CRO/333/20	Revocation of Restriction of Access to Services
M Ashfa	q Hussain Securities (Pvt) Limited	11-Nov-20	NCCPL/CRO/332/20	Revocation of Restriction of Access to Services
M Ashfao	q Hussain Securities (Pvt) Limited	10-Nov-20	NCCPL/CRO/329/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
Akhai Se	curities (Pvt) Limited	10-Nov-20	NCCPL/CRO/328/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
Q. Ain Kh	hanani Securities (Pvt.) Limited	10-Nov-20	NCCPL/CRO/327/20	Revocation of Restriction of Access to Services
Continer	ntal Capital Management (Pvt.) Limited	4-Nov-20	NCCPL/CRO/313/20	Revocation of Restriction of Access to Services
We Finar	ncials Services Limited	3-Nov-20	NCCPL/CRO/312/20	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
Amer Se	curities (Pvt.) Limited	3-Nov-20	NCCPL/CRO/311/20	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
Continer	ntal Capital Management (Pvt.) Limited	3-Nov-20	NCCPL/CRO/310/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
Fairway ⁶	Securities (Pvt.) Limited	3-Nov-20	NCCPL/CRO/309/20	Revocation of Restriction of access to services as Margin Financier and Trading Financier pursuant to submission of audited NCB
Ain Kh	hanani Securities (Pvt.) Limited	3-Nov-20	NCCPL/CRO/308/20	Restriction of access to services under Regulation 18.1.1(b) 8 18.3 of NCCPL Regulations, 2015
	rities (Pvt.) Limited	2-Nov-20	NCCPL/CRO/305/20	
		29-Oct-20	NCCPL/CRO/301/20	Revocation of Restriction of Access to Services Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
	rities (Pvt.) Limited			
Saiman i	Majeed Sec	27-Oct-20	NCCPL/CRO/290/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	urities (Pvt.) Limited	27-Oct-20	NCCPL/CRO/296/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Securities (Pvt.) Limited	27-Oct-20	NCCPL/CRO/293/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	pital Limited	27-Oct-20	NCCPL/CRO/289/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
N. U. A. S	Securities (Pvt.) Limited	27-Oct-20	NCCPL/CRO/291/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	ecurities (Pvt.) Ltd	27-Oct-20	NCCPL/CRO/295/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Topline S	Securities Limited	27-Oct-20	NCCPL/CRO/294/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
Patel Sec	curities Pvt Limited	27-Oct-20	NCCPL/CRO/288/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
Millenniu	um Brokerage (Pvt.) Limited	27-Oct-20	NCCPL/CRO/292/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
Xpert Se	curities (Pvt.) Limited	7-Oct-20	NCCPL/CRO/286/20	Revocation of Restriction of Access to Services
MSD cap	oital Equities (Pvt.) Limited	5-Oct-20	NCCPL/CRO/285/20	Revocation of Restriction of Access to Services
Reliance	Securities Limited	29-Sep-20	NCCPL/CRO/284/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
Asa Stock	ks Pvt Limited- TRR	28-Sep-20	NCCPL/CRO/271/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Arif Latif	securities Pvt Limited	28-Sep-20	NCCPL/CRO/273/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
ikree's l	(Pvt) Ltd	28-Sep-20	NCCPL/CRO/274/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Kosmon	olitan Securities	28-Sep-20	NCCPL/CRO/272/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulation Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
odar Ca	apital (Pvt.) Limited	28-Sep-20	NCCPL/CRO/275/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2013 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2013 on account of inspection conducted under Joint Inspection Regulations
Seneral I	Investments & Securities (Pvt) Limited	28-Sep-20	NCCPL/CRO/275/20 NCCPL/CRO/277/20	Warning issued under Regulation 14.1 or NCCPL Regulations, 2013 or account or inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 or NCCPL Regulations, 2013 or account or inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 or NCCPL Regulations, 2015 or account of inspection conducted under Joint Inspection Regulations
	arhad Securities (Pvt) Limited	28-Sep-20 28-Sep-20	NCCPL/CRO/277/20 NCCPL/CRO/279/20	Warning issued under Regulation 14.1. Or NCLYL Regulations, 2015 on account of inspection conducted under Joint inspection Regulations Warning issued under Regulation 14.1. Or NCLYL Regulations, 2015 on account of inspection conducted under Joint inspection Regulations Warning issued under Regulation 14.1. Or NCCPL Regulations, 2015 on account of inspection conducted under Joint inspection Regulations
Car Car '	tal Securities (Put) Limited	20-38p-20	NCCPL/CRO/279/20 NCCPL/CRO/280/20	Marging issued under negaritation 14-1 of MCCII Regulations, 2015 on account of inspection formation and interest formation production. Separation 1015 on account of inspection and independent regulations.
az Capit	tal Securities (Pvt.) Limited	28-Sep-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
rivi Secu	rities (Pvt) Limited	18-Sep-20	NCCPL/CS/299/20	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
vew Pea	sk Securities (Pvt.) Limited	18-Sep-20	NCCPL/CRO/278/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
arch Cap	pital Securities (Pvt) Limited	18-Sep-20	NCCPL/CS/302/20	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
SDA Se	curities (Pvt) Limited	3-Sep-20	NCCPL/CRO/265/20	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB
	curities (Pvt.) Limited	18-Aug-20	NCCPL/CRO/248/20	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB
	ncial Services Limited	18-Aug-20	NCCPL/CRO/249/20	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB
Asian Se	curities (Pvt.) Limited- TRR	17-Aug-20	NCCPL/CRO/241/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Dattoo S	ecurities (Pvt.) Limited - TRR	17-Aug-20	NCCPL/CRO/242/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	tars Securities (Pvt.) Limited - TRR	17-Aug-20	NCCPL/CRO/243/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Securites (Pvt.) Limited- TRR	17-Aug-20	NCCPL/CRO/244/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Interacti	ve Sec (Pvt.) Limited - TRR	17-Aug-20	NCCPL/CRO/245/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Msmania	ar Financials (Pvt.) Limited- TRR	17-Aug-20	NCCPL/CRO/246/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	urities (Pvt.) Limited- TRR	17-Aug-20	NCCPL/CRO/247/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
28 secu	rities (Pvt) Limited	12-Aug-20	NCCPL/CS/265/20	Termination as MTS fianancee under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Horizon 5	Securities Limited	30-Jul-20	NCCPL/CS/263/20	Termination of SLB account on account of Self Termination
	stafa Securities (Pvt.) Limited	16-Jul-20	NCCPL/CRO/224/20	Revocation of Restriction of access to services as Margin Financier and Trading Financier pursuant to submission of unaudited NCB
	curities (Pvt.) Limited	14-Jul-20	NCCPL/CRO/222/20	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
	curities (Pvt.) Limited	14-Jul-20	NCCPL/CRO/221/20	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
	ecurities (Pvt.) Limited	3-Jul-20	NCCPL/CRO/221/20 NCCPL/CRO/215/20	Suspension under negulation 1.5.1.1(j) in NCCPL negulations, 2015 on account of underduct or money uniquation for the control of the control
	Capital (Pvt) Limited	3-Jul-20	NCCPL/CRO/214/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	pital (Pvt.) Limited	3-Jul-20	NCCPL/CRO/209/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	curities (Pvt.) Limited	3-Jul-20	NCCPL/CRO/211a/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	curities (Pvt.) Limited	3-Jul-20	NCCPL/CRO/211/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and penalty imposed
	Securities (Pvt.) Limited	3-Jul-20	NCCPL/CRO/212/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and penalty imposed
Growth 9	Securities (Pvt.) Limited	24-Jun-20	NCCPL/CRO/194/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	ecurities (Pvt.) Limited	24-Jun-20	NCCPL/CRO/195/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
oun ez 56	e Securities (Pvt.) Limited	24-Jun-20	NCCPL/CRO/196/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Fair Edge	oti Securities (Pvt.) Limited	24-Jun-20	NCCPL/CRO/197/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Fair Edge Tariq Mo		24-Jun-20 24-Jun-20	NCCPL/CRO/197/20 NCCPL/CRO/198/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations

National Clearing Company of Pakistan Limited Disciplinary actions taken against the TRE Certificate Holders					
. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action	
	Elixir Securities Pakistan (Pvt.) Limited	9-Jun-20 18-May-20	NCCPL/CS/214/20	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination	
	Vector Securities (Pvt) Limited First Street Capital (Pvt.) Limited	15-May-20	NCCPL/CRO/182/20 NCCPL/CRO/181/20	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB Revocation of Restriction of access to services as Margin Financier and Trading Financier pursuant to submission of unaudited NCB	
	Mayari Securities (Pvt.) Limited	5-May-20	NCCPL/CRO/180/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	Bawa Securities (Pvt.) Limited	5-May-20	NCCPL/CRO/174/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	Falki Capital (Pvt.) Limited	5-May-20	NCCPL/CRO/173/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	Integrated Equities Limited	5-May-20	NCCPL/CRO/178/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	Rahat Securities (Pvt.) Limited ASDA Securities Private Limited-TRR	5-May-20 5-May-20	NCCPL/CRO/179/20 NCCPL/CRO/171/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	Zillion Capital Securities Private Limited-TRR	5-May-20 5-May-20	NCCPL/CRO/171/20 NCCPL/CRO/170/20	Warming issued under Negulation 14.1 of NCLPL Regulations, 2015 on account or inspection conducted under Joint Inspection Regulations Warming issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations	
	Allied Bank Limited-Settling Bank Branch	28-Apr-20	NCCPL/CS/185/2020	warming issued under negolation 14-1-01 record regulations, 2015 on account of inspection conducted under Joint magnetion regulations (2015) and account of self-permination under Regulation (2015) on account of self-permination (2015) on account of self-permin	
	Allied Bank Limited	28-Apr-20	NCCPL/CS/184/2020	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination	
195	Zillion Capital Securities (Pvt) Limited-MF	27-Apr-20	NCCPL/CS/186/2020	Termination as Margin Financier under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination	
196	Progressive Investment Management (Pvt.) Limited	21-Apr-20	NCCPL/CRO/166/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
197	Bridge Securities (Pvt) Limited Asad Mustafa Securities (Pvt) Limited	21-Apr-20	NCCPL/CRO/168/20 NCCPL/CRO/167/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	Dr. Arslan Razaque Securities (Pvt) Limited	21-Apr-20 21-Apr-20	NCCPL/CRO/165/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	First Street Capital (Pvt.) Limited	17-Apr-20	NCCPL/CRO/164/20	Restriction of access to services as Margin Financier and Trading Financier under 12.3.18(f) of NCCPL Regulations, 2015.	
201	Vector Securities (Pvt) Limites	17-Apr-20	NCCPL/CRO/163/20	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.	
202	Zillion Capital Securities (Pvt) Limited-MF	17-Apr-20	NCCPL/CRO/162/20	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.	
	Alfa Adhi Securities (Pvt) Limited	15-Apr-20	NCCPL/CRO/147/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations	
	Escorts Capital Limited Akhai Sacuritias (But) Limited	26-Mar-20 24-Mar-20	NCCPL/CS/175/2020 NCCPL/CRO/154/20	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Description of the Closica Member oursupt to action those by 85 years of substitution of the Closica Member oursupt to action those by 85 years of substitution of su	
206	Akhai Securities (Pvt) Limited Al-Haq Securities Pvt. Ltd	24-Mar-20 17-Mar-20	NCCPL/CRO/131/20	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB Revocation of Restriction of the Clearing Member as Trading Financier pursuant to submission of audited NCB	
	Akhai Securities (Pvt) Limited	17-Mar-20	NCCPL/CRO/128/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
208	JSK Securities Ltd	17-Mar-20	NCCPL/CRO/129/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
209	ASDA Securities (Pvt) Limited	17-Mar-20	NCCPL/CRO/127/20	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.	
	Amer Securities (Pvt.) Limited	17-Mar-20	NCCPL/CRO/130/20	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations, 2015.	
211	Zillion Capital Securities (Pvt) Limited	13-Mar-20 13-Mar-20	NCCPL/CRO/124/20 NCCPL/CRO/122/20	Revocation of Restriction of the Clearing Member as Margin Financier pursuant to submission of adulted NCB Purposition of Petriction of the Clearing Member as Margin Financier pursuant to submission of adulted NCB Purposition of Petriction of the Clearing Member as Margin Financier pursuant to whole submission of adulted NCB	
212	Amer Securities (Pvt.) Limited R.A Securities (Pvt) Limited	13-Mar-20 9-Mar-20	NCCPL/CRO/122/20 NCCPL/CS/105/2020	Revocation of Restriction of the Clearing Member as Margin Financier pursuant to submission of audited NCB Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination	
	M.J Memon Securities (Pvt) Limited	3-Mar-20	NCCPL/CS/103/2020 NCCPL/CS/101/2020	Termination under Regulation 18.1.1(i) & 18.3 of NCCP, Regulations, 2015 on account of Set Termination Termination under Regulation 18.1.1(i) & 18.3 of NCCP, Regulations, 2015 on account of Set Termination	
215	Reliance Securities Limited	17-Feb-20	NCCPL/CRO/101/20	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
216	Galaxy Capital Securities (Pvt) limited	14-Feb-20	NCCPL/CRO/94/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations	
	Prime Securities (Pvt) Limited	14-Feb-20	NCCPL/CRO/95/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations	
	Asian Securities (Pvt) Limited HH Misbah Securities (Pvt) Limited	14-Feb-20 14-Feb-20	NCCPL/CRO/96/20 NCCPL/CRO/97/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations	
220	RAH Securities (Pvt) Limited	14-Feb-20	NCCPL/CRO/99/20	Order issued under Regulation 34.1 of NCCF Regulations, 2015 on account of inspection conducted under Chapter 1308 of NCCP Regulations Order issued under Regulation 34.1 of NCCF Regulations, 2015 on account of inspection conducted under Chapter 1308 of NCCP Regulations	
221	K&I Global Capital (Pvt) Limited	14-Feb-20	NCCPL/CRO/98/20	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
222	AMCAP Securities (Pvt) Limited	11-Feb-20	NCCPL/CS/75/2020	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
223	Azee Securities (Pvt) Limited	10-Feb-20	NCCPL/CRO/90/20	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation	
	Azee Securities (Pvt) Limited	10-Feb-20 23-Jan-20	NCCPL/CRO/89/20	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation	
	Din Capital Limited Unex Securities (Pvt.) Limited	23-Jan-20 9-Jan-20	NCCPL/CS/70/2020 NCCPL/CS/52/2020	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination	
220	Concordia Securities (Pvt.) Limited	9-Jan-20	NCCPL/CS/52/2020 NCCPL/CS/65/2020	Termination under Regulation 18.1.1(1) & 18.3 of NCCPT Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1(1) & 18.3 of NCCPT Regulations, 2015 on account of Self Termination	
	Dawood Equities Limited	27-Dec-19	NCCPL/CRO/216/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 and penalty imposed	
229	Dattoo Securities (Pvt) Limited	27-Dec-19	NCCPL/CRO/211/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015	
230	ASDA Securities (Pvt) Limited	19-Dec-19	NCCPL/CRO/209/19	Revocation of Restriction of the Clearing Member pursuant to submission of audited NCB	
231	IAK Securities (Pvt.) Ltd	18-Dec-19	NCCPL/CS/462/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination	
232	HP Byramji and Co (Pvt) Limited Al Habib Capital Markets Pvt Ltd	13-Dec-19 13-Dec-19	NCCPL/CRO/203/19 NCCPL/CRO/205/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
234	Ayub Chaudhry Investments Pvt Ltd	13-Dec-19	NCCPL/CRO/203/19 NCCPL/CRO/204/19	Warning issued under Regulation 14.1.1 of NCCP. Regulations, 2015 on account of inspection conducted under Joint inspection Regulations Warning issued under Regulation 14.1.1 of NCCP. Regulations, 2015 on account of inspection conducted under Joint inspection Regulations	
235	Yasir Mahmood Securities Pvt Ltd	22-Nov-19	NCCPL/CRO/199/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
236	AAA Securties Pvt Ltd	22-Nov-19	NCCPL/CRO/197/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
237	Rafi Securities (Pvt) Ltd	22-Nov-19	NCCPL/CRO/198/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
238	FairEdge Securities (Pvt) Ltd	22-Nov-19	NCCPL/CRO/195/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
239	Highland Securities Pvt limited MSD Capital Equities (Pvt) Ltd	22-Nov-19 18-Nov-19	NCCPL/CRO/196/19 NCCPL/CRO/201/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
241	Xpert Securities (Pvt.) Limited	18-Nov-19	NCCPL/CRO/200/19	Restriction of access to services under Regulation 18.1.1(1) & 18.3 of NCCP Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(1) & 18.3 of NCCP Regulations, 2015 Pursuant to action taken by PSX	
242	Baba Equities (Pvt.) Limited	7-Nov-19	NCCPL/CS/405/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination	
243	Azee Securities (Pvt.) Limited	22-Oct-19	NCCPL/CRO/187/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation	
244	Azee Securities (Pvt.) Limited	22-Oct-19	NCCPL/CRO/188/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation	
	Pervez Ahmed Capital (Pvt.) Limited Gul Dhami Securities (Pvt.) Limited	7-Oct-19 4-Oct-19	NCCPL/CRO/186/19 NCCPL/CRO/140/19	Suspension under Regulation 18.1.1(a) & (b) of NCCPL Regulations, 2015 on account of notice issued by SECP Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	Salman Majeed Securities (Pvt.) Limited Salman Majeed Securities (Pvt.) Limited	4-Oct-19 4-Oct-19	NCCPL/CRO/140/19 NCCPL/CRO/142/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under joint inspection Regulations Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under joint inspection Regulations Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under joint inspection Regulations	
	Zahid Latif Khan Securities (Pvt.) Limited	4-Oct-19	NCCPL/CRO/142/19 NCCPL/CRO/141/19	warning issued under Regulation 14.1.10 in NCCPL Regulations, 2015 on account of inspection conducted under Joint inspection regulations Warning issued under Regulation 14.1.10 in NCCPL Regulations, 2015 on account of inspection conducted under Joint inspection Regulations Warning issued under Regulation 14.1.10 in NCCPL Regulations, 2015 on account of inspection conducted under Joint inspection Regulations	
	Hamza Farhad Securities (Pvt.) Limited	27-Sep-19	NCCPL/CRO/139/19	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB	
250	Memon Securities (Pvt.) Limited	24-Sep-19	NCCPL/CRO/135/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	Khawaja Securities Pvt Limited	23-Sep-19	NCCPL/CRO/124/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015	
	Insight securities (Pvt.) Limited	23-Sep-19	NCCPL/CRO/125/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	Hamza Farhad Securities (Pvt.) Limited Elixir Securities (Pvt) Limited	19-Sep-19 17-Sep-19	NCCPL/CRO/133/19 NCCPL/CS/318/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination as Trading Financier and Margin Financier under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination	
	Asda Securities (PVt.) Limited Asda Securities (Pvt.) Limited	17-Sep-19 17-Sep-19	NCCPL/CS/318/19 NCCPL/CRO/127/19	Iermination as Fraining Financier and Wargin Financier Under Regulation 1.1.1() & 18.3.01 NUCLY. Regulations, 2015 On CPL Regulation 1.1.1() & 18.3.01 NUCLY. Regulations, 2015 On CPL Regulat	
	We Financial Services Limited	16-Sep-19	NCCPL/CRO/131/19	Revocation of restriction of Clearing Member on account of notice issued by SECP	
257	Baba Equities (Pvt.) Limited	16-Sep-19	NCCPL/CRO/129/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
	Amer Securities (Pvt.) Limited	16-Sep-19	NCCPL/CRO/123/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.	
	Zillion Capital Securities (Pvt) Limited	13-Sep-19	NCCPL/CRO/122/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations, 2015.	
	We Financial Services Limited M.H Securities (Pvt) Limited	6-Sep-19 28-Aug-19	NCCPL/CRO/120/19 NCCPL/CS/286/19	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP Termination as Margin Figurage under Regulation 18.1.1(a).8.18.3 of NCCPL Regulations, 2015 on account of Self Termination	
	M.H Securities (Pvt) Limited	28-Aug-19 28-Aug-19	NCCPL/CS/286/19 NCCPL/CS/285/19	Termination as Margin Financier under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination	
	Zillion Capital Securities (Pvt.) Limited	30-Jul-19	NCCPL/CRO/109/19	Warning issued under Regulation 14.1.1 of NCCPI Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
264	Multiline Securities (Pvt.) Limited	29-Jul-19	NCCPL/CRO/108/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
265	Al- Hogani Securities And Investment Corporation Limited	29-Jul-19	NCCPL/CS/271/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination	
	MF Stocks (Pvt.) Limited	25-Jul-19	NCCPL/CS/267/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination	
	Techno Fundamental Securities (Pvt.) Limited	23-Jul-19	NCCPL/CS/262/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination	
268	IAK Securities (Pvt.) Limited IAK Securities (Pvt.) Limited	18-Jul-19 16-Jul-19	NCCPL/CRO/107/19 NCCPL/CRO/106/19	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB Restriction of across to sensories under Benulation 18.1 LINIA.8.13 of MCPUP. Beaudations. 2015 Pursuant to action taken by PSY Restriction of across to sensories under Benulation 18.1 LINIA.8.13 of MCPUP. Beaudations. 2015 Pursuant to action taken by PSY	
70		15-Jul-19 15-Jul-19	NCCPL/CRO/106/19 NCCPL/CRO/96/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	MAAN Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/98/19	Warring issued under Regulation 14.1.1.0 INCCF. Regulations, 2015 on account of inspection conducted under Joint Inspection negalations Warring issued under Regulation 14.1.1.0 INCCF. Regulations, 2015 on account of inspection conducted under Joint Inspection negalations Warring issued under Regulation 14.1.1.0 INCCF. Regulations, 2015 on account of inspection conducted under Joint Inspection negalations	
72	Shaffi Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/97/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
73	Azee Securities (Pvt) Limited	15-Jul-19	NCCPL/CRO/104/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation	
	Azee Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/103/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
/4	KP Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/105/19		

				actions taken against the TRE Certificate Holders		
. No	Broker Name	Date	Order/ Notice Reference			
	Chenab Stock Services (Pvt.) Limited	12-Jul-19	NCCPL/CS/248/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination		
	Tariq Sayeed Securities (Pvt.) Limited	12-Jul-19 10-Jul-19	NCCPL/CS/251/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination		
	Jamshaid and Hasan Securities (Pvt.) Limited AHKD Securities (Pvt.) Limited	5-Jul-19	NCCPL/CS/228/19 NCCPL/CS/225/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination		
	Reliance Securities Limited	1-Jul-19	NCCPL/CS/225/19 NCCPL/CRO/95/19	Termination under neguration 16.1.1() & 16.5 or NCCF. Regulations, 2015 on account or Seri retinitation. Revocation of Restriction of access to services, Pursuant to action taken by PSX and submission of audited NCB.		
	SHARE CENTRE (PVT.) LIMITED	27-Jun-19	NCCPL/CS/217/19	revolution or negritation of access to service, in stantic occurrance or provided in the control of the control		
	DAWOOD EQUITIES LIMITED	26-Jun-19	NCCPL/CRO/93/19	Revocation of suspension of the Clearing Member pursuant to settlement of money obligation		
	DAWOOD EQUITIES LIMITED	26-Jun-19	NCCPL/CRO/92/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation		
284	FIRST CAPITAL EQUITIES LIMITED	25-Jun-19	NCCPL/CS/212/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination		
	RELIANCE SECURITIES LIMITED	18-Jun-19	NCCPL/CRO/90/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
286	AZEE SECURITIES PRIVATE LIMITED	10-Jun-19	NCCPL/CS/198/19	Termination of Margin Financier and Financee accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination		
287	AZEE SECURITIES PRIVATE LIMITED	31-May-19	NCCPL/CRO/86/19	Order issued under Regulation 14.3 of NCCPL Regulations, 2015 on account of default of money obligation, including imposition of financial penalty of PKR 150,000		
	ASA STOCKS PRIVATE LIMITED	23-May-19	NCCPL/CRO/75/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
289	ASHFAQ ASHRAF SECURITIES PRIVATE LIMITED	23-May-19	NCCPL/CS/190/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination		
290	ALFA ADHI SECURITIES PRIVATE LIMITED	21-May-19	NCCPL/CRO/71/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	MILLENIUM BROKERAGE PRIVATE LIMITED	21-May-19	NCCPL/CRO/72/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
	FIRST CAPITAL EQUITIES LIMITED	21-May-19	NCCPL/CRO/74/19	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB		
	FIRST CAPITAL EQUITIES LIMITED	16-May-19	NCCPL/CRO/70/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
	AZEE SECURITIES PRIVATE LIMITED	14-May-19	NCCPL/CRO/68/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation		
	AZEE SECURITIES PRIVATE LIMITED	14-May-19	NCCPL/CRO/69/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation		
	SHAJAR CAPITAL PRIVATE LIMITED AZEE SECURITIES PRIVATE LIMITED	14-May-19	NCCPL/CRO/61/19 NCCPL/CRO/66/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
	AZEE SECURITIES PRIVATE LIMITED AZEE SECURITIES PRIVATE LIMITED	9-May-19 9-May-19	NCCPL/CRO/66/19 NCCPL/CRO/67/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation		
	FORTUNE SECURITIES LIMITED	9-May-19 7-May-19	NCCPL/CRO/6//19 NCCPL/CRO/60/19	Revocation of Clearing Member Pursuant to settlement of money obligation Warning issued under Regulation 14.3 and 14.6 of NCCPI Regulations, 2015 on account of matter pertaining to submission of NCB		
	FAIRWAY SECURITIES CINITED FAIRWAY SECURITIES (PVT.) LIMITED	7-May-19 7-May-19	NCCPL/CRO/62/19	warming issued union regulation 14-3 and 14-3 on incorr legislations, 2015 on account on interpretating to submission on incorr legislations, 2015 on the confidence of the co		
	Y.H SECURITIES PRIVATE LIMITED	25-Apr-19	NCCPL/CS/158/19	Notice issued to resolve upen observation inclinate under inspection Conducted under inspection regulations, 2019 Termination of Trading Financee ID under Regulation 18: Itsipection of OrCCPL Regulations, 2015 on account of Self Termination		
	GROWTH SECURITIES (PVT.) LIMITED	17-Apr-19	NCCPL/CRO/56/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
	TS SECURITIES (PVT.) LIMITED	17-Apr-19	NCCPL/CRO/57/19	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015		
	DIN CAPITAL LIMITED	16-Apr-19	NCCPL/CS/137/19	Termination of Trading Financier ID under Regulation 18.1.1(i) 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination		
05	K & I GLOBAL CAPITAL (PVT.) LIMITED	5-Apr-19	NCCPL/CRO/55/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
06	RAHAT SECURITIES (PVT.) LIMITED	5-Apr-19	NCCPL/CRO/54/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
07	STRONGMAN SECURITIES (PVT.) LIMITED	29-Mar-19	NCCPL/CRO/52/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	FAWAD YUSUF SECURITIES (PVT.) LIMITED	29-Mar-19	NCCPL/CRO/53/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
	GULREZ SECURITIES (PVT.) LIMITED	28-Mar-19	NCCPL/CRO/47/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	SAKARWALA CAPITAL SECURITIES PVT LIMITED	28-Mar-19	NCCPL/CRO/48/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	TECHNO FUNDAMENTAL (PVT.) LIMITED	28-Mar-19	NCCPL/CRO/49/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	MAAN SECURITIES (PVT.) LIMITED	28-Mar-19	NCCPL/CRO/50/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
13	IAK SECURITIES PVT. LIMITED	22-Mar-19	NCCPL/CRO/42/19	Revocation of Restriction of access to services, Pursuant to action taken by PSX and submission of audited NCB		
	HABIB METROPOLITAN FINACIAL SERVICES LIMITED	20-Mar-19 18-Mar-19	NCCPL/CRO/38/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
	M H SECURITIES (PVT.) LTD.	18-Mar-19 18-Mar-19	NCCPL/CRO/43/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.		
	WE FINANCIAL SERVICES LTD. AL-HAO SECURITIES (PVT.) LTD.	18-Mar-19	NCCPL/CRO/44/19 NCCPL/CRO/45/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations, 2015.		
		18-Mar-19		Restriction of access to services as Trading Financier under Rule 19(1a) of the Rules and Regulations and 7C.2.4 of NCCPL Regulations, 2015.		
	IAK SECURITIES (PVT.) LIMITED M.F STOCKS (PVT.) LIMITED	18-Mar-19	NCCPL/CRO/39/19 NCCPL/CRO/41/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
	RUC SECURITES (PVT.) LIMITED	18-Mar-19	NCCPL/CRO/40/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
	HAJI ABDUL SATTAR SECURITIES (PVT.) LTD	15-Mar-19	NCCPL/CS/114/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination		
	CHENAB STOCK SERVICES (PVT.) LIMITED	12-Mar-19	NCCPL/CRO/34/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations, 2015.		
	FOUNDATION SECURITIES (PVT) LTD	12-Mar-19	NCCPL/CRO/35/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
	SOUTH ASIAN SECURITIES (PVT) LTD.	12-Mar-19	NCCPL/CS/110/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination		
	NAYYAR SHEIKH SECURITIES (PVT) LTD	6-Mar-19	NCCPL/CS/96/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination		
	INVEST CAPITAL MARKETS LIMITED	22-Feb-19	NCCPL/CRO/32/19	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
	AMCAP SECURITIES (PVT.) LTD.	21-Feb-19	NCCPL/CRO/31/19	Further suspension under Regulation 18.1.1 (e) & 14.7 of NCCPL Regulations, 2015 On account of matters identified under Joint Inspection		
28	128 SECURITIES (PVT) LTD.	19-Feb-19	NCCPL/CRO/30/19	Revocation of restriction on opening of new client accounts of Clearing Member Pursuant to action taken by PSX		
29	CASSIM INVESTMENTS (PRIVATE) LIMITED	19-Feb-19	NCCPL/CS/72/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination		
30	SOUTH ASIAN SECURITIES (PRIVATE) LIMITED	18-Feb-19	NCCPL/CRO/29/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
31	M. SALIM KASMANI SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/27/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations		
32	HH MISBAH SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/25/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
33	GALAXY CAPITAL SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/26/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations		
	ABBASI & CO. (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/23/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations		
35	NETWORTH SECURITIES LIMITED	18-Feb-19	NCCPL/CRO/24/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations		
	DALAL SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/28/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
	RFJ EQUITY (PVT) LTD	29-Jan-19	NCCPL/CS/29/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination		
	HMC STOCKS (PVT) LTD	23-Jan-19	NCCPL/CRO/15/19	Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB		
	K.H.S. SECURITIES (PVT.) LIMITED.	22-Jan-19	NCCPL/CRO/14/19	Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB		
	K.H.S. SECURITIES (PVT.) LIMITED.	16-Jan-19 16-Jan-19	NCCPL/CRO/12/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
	HMC STOCKS (PVT) LTD	16-Jan-19 4-Jan-19	NCCPL/CRO/13/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
	SOUTH ASIAN SECURITIES (PRIVATE) LIMITED SAIMA QAISER SECURITIES (PVT.) LIMITED	4-Jan-19 4-Jan-19	NCCPL/CRO/8/19 NCCPL/CRO/6/19	Revocation of Clearing Member Pursuant to action taken by PSX Warning issued on account of Inspection conducted under Joint Inspection Regulations		
	ABM SECURITIES (PVT.) LIMITED	4-Jan-19 4-Jan-19	NCCPL/CRO/5/19 NCCPL/CRO/7/19	warning issued on account of inspection conducted under joint inspection regulations Warning issued on account of inspection conducted under joint inspection Regulations		
	FDM CAPITAL SECURITIES (PVT.) LIMITED	1-Jan-19	NCCPL/CRO/1/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
	SAL SECURITIES (PVT) LTD.	31-Dec-18	NCCPL/CS/485/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination		
	OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED	28-Dec-18	NCCPL/CS/478/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination		
	RUC SECURITIES (PRIVATE) LIMITED	18-Dec-18	NCCPL/CRO/225/18	Revocation of Clearing Member Pursuant to action taken by PSX		
	FIRST CAPITAL EQUITIES LIMITED	17-Dec-18	NCCPL/CRO/220/18	Warning issued under Regulation 18.1.1(e) of NCCPI Regulations, 2015 on account of matter pertaining to delay in payment of money obligation		
50	OPTIMUS CAPITAL MANAGEMENT (PVT.) LIMITED	14-Dec-18	NCCPL/CRO/221/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
	FAIR TRADE CAPITAL SECURITIES (PVT.) LIMITED	14-Dec-18	NCCPL/CRO/222/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
52	EFG HERMES PAKISTAN LIMITED	14-Dec-18	NCCPL/CRO/223/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
53	DIYANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED	6-Dec-18	NCCPL/CS/443/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination		
	TARIQ SAYEED SECURITIES (PVT) LIMITED	28-Nov-18	NCCPL/CRO/217/18	Revocation of Clearing Member On account of notice issued by SECP		
55	SHER CAPITAL EQUITIES (PVT.) LTD.	28-Nov-18	NCCPL/CS/428/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination		
56	AM CHAUDHRY SECURITIES (PVT.) LIMITED	19-Nov-18	NCCPL/CRO/206/18	Revocation of Clearing Member On account of notice issued by SECP		
	RUC SECURITIES (PRIVATE) LIMITED	16-Nov-18	NCCPL/CRO/205/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
\rightarrow	ARIF LATIF SECURITIES (PVT.) LIMITED	9-Nov-18	NCCPL/CRO/195/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations		
	RIAZ AHMED SECURITIES (PVT.) LIMITED	9-Nov-18	NCCPL/CRO/193/18	Warning Issued on account of Inspection conducted under Joint Inspection Regulations		

	National Clearing Company of Pakistan Limited						
	Disciplinary actions taken against the TRE Certificate Holders						
S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action			
	UNEX SECURITIES (PVT.) LIMITED	9-Nov-18	NCCPL/CRO/197/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
	PINE SECURITIES (PRIVATE) LIMITED	7-Nov-18	NCCPL/CS/407/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination			
	BABA EQUITIES (PVT.) LIMITED	29-Oct-18	NCCPL/CRO/187/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations			
	128 SECURITIES (PVT.) LIMITED-LSI	29-Oct-18	NCCPL/CRO/190/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
	JAVED IQBAL SECURITIES (PVT.) LIMITED-LSI	29-Oct-18	NCCPL/CRO/189/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
366	NUA SECURITIES (PVT.) LIMITED-LSI	29-Oct-18	NCCPL/CRO/188/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
367 2	ZAHID LATIF KHAN SECURITIES (PVT) LTD.	26-Oct-18	NCCPL/CS/386/18	Termination of MF CM Account under Regulation 18.1.1(i) of NCCPL Regulations, 2015 On account of self termination			
368 F	F.M. SECURITIES (PVT.) LTD.	26-Oct-18	NCCPL/CRO/192/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
369	XPERT SECURITIES (PRIVATE) LIMITED	24-Oct-18	NCCPL/CRO/186/18	Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB			
	A.S.SECURITIES (PRIVATE) LIMITED	16-Oct-18	NCCPL/CRO/183/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
	XPERT SECURITIES (PRIVATE) LIMITED	16-Oct-18	NCCPL/CRO/181/18	Warning issued under Regulation 14.3 of NCCPI Regulations, 2015 On account of matter pertaining to submission of NCB			
372	AZEE SECURITIES	16-Oct-18	NCCPL/CRO/182/18	Warning issued under Regulation 18.1.1(e) of NCCPI Regulations, 2015 on account of matter pertaining to delay in payment of money obligation			
373 ľ	MARKET 786 (PVT.) LIMITED	15-Oct-18	NCCPL/CRO/179/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations			
374	CAMCO (PVT.) LIMITED	12-Oct-18	NCCPL/CRO/178/18	Revocation of Clearing Member Pursuant to action taken by PSX			
375 F	FIRST CAPITAL EQUITIES LIMITED	9-Oct-18	NCCPL/CRO/176/18	Revocation of Clearing Member Pursuant to settlement of money obligation			
376 I	INA SECURITIES (PVT) LTD	9-Oct-18	NCCPL/CRO/177/18	Revocation of Clearing Member Pursuant to action taken by PSX			
377 F	FIRST CAPITAL EQUITIES LIMITED	9-Oct-18	NCCPL/CRO/175/18	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation			
378	MGM SECURITIES (PVT.) LIMITED	4-Oct-18	NCCPL/CRO/170/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations			
379 (CASSIM INVESTMENTS (PVT.) LIMITED	4-Oct-18	NCCPL/CRO/171/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
380 /	ASDA SECURITIES (PVT.) LIMITED	4-Oct-18	NCCPL/CRO/172/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
381 E	B&B SECURITIES(PVT.) LIMITED	4-Oct-18	NCCPL/CRO/169/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
382	APEX CAPITAL SECURITIES (PVT) LIMITED	18-Sep-18	NCCPL/CRO/157/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
383 (CAMCO (PVT.) LIMITED	18-Sep-18	NCCPL/CRO/165/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
384 I	INA SECURITIES (PVT) LTD	18-Sep-18	NCCPL/CRO/158/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
385 F	PROGRESSIVE INV. MANAGEMENT (PVT) LTD.	18-Sep-18	NCCPL/CRO/160/18	Revocation of Clearing Member Pursuant to action taken by CDC			
386	XPERT SECURITIES (PRIVATE) LIMITED	18-Sep-18	NCCPL/CRO/156/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
387	MSD CAPITAL EQUITIES (PVT) LTD.	18-Sep-18	NCCPL/CRO/161/18	Revocation of Clearing Member Pursuant to action taken by PSX			
388	APEX CAPITAL SECURITIES (PVT) LIMITED	18-Sep-18	NCCPL/CRO/164/18	Revocation of Clearing Member Pursuant to action taken by PSX			
389 1	MSD CAPITAL EQUITIES (PVT) LTD.	18-Sep-18	NCCPL/CRO/159/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
390 (CMA SECURITIES (PVT.) LIMITED	18-Sep-18	NCCPL/CRO/162/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
391 F	PROGRESSIVE INV. MANAGEMENT (PVT) LTD.	14-Sep-18	NCCPL/CRO/156/18	Restriction of access to services under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC			
392	MOHAMMAD MUNIR MOHAMMAD	12-Sep-18	NCCPL/CRO/153/18	Warning issued on account of matters forwarded by the Commission			
393	CONTINENTAL CAPITAL MANAGEMENT (PVT.) LIMITED	12-Sep-18	NCCPL/CRO/152/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
394 H	HIGHLAND SECURITIES (PVT.) LIMITED	12-Sep-18	NCCPL/CRO/146/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
395	SUMMIT CAPITAL (PVT.) LIMITED	12-Sep-18	NCCPL/CRO/147/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
396	AMCAP SECURITIES (PVT.) LTD.	10-Sep-18	NCCPL/CRO/150/18	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
397	SMAC INVESTMENTS (SMC-PVT) LTD.	7-Sep-18	NCCPL/CS/319/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination			
398 F	FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED	31-Aug-18	NCCPL/CRO/148/18	Revocation of Clearing Member Pursuant to action taken by PSX			
399	SAIMA QAISER SECURITIES (PVT) LIMITED	24-Aug-18	NCCPL/CRO/145/18	Revocation of Clearing Member Pursuant to action taken by PSX			
400	DJM SECURITIES (PVT.) LIMITED	20-Aug-18	NCCPL/CRO/142/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations			

Section Company Comp					Clearing Company of Pakistan Limited ons taken against the TRE Certificate Holders
B. March 1997 (April 1997) 1.5	S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
December					
Description	402	SAKARWALA CAPITAL SECURITIES (PVT.) LIMITED			
B	403	SAIMA QAISER SECURITIES (PVT) LIMITED	17-Aug-18		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
Company	404	VENUS SECURITIES (PVT.) LIMITED	15-Aug-18	NCCPL/CRO/140/18	Revocation of Clearing Member On account of notice issued by SECP
Description Principal Conference Princi	405	OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED	2-Aug-18		Revocation of Clearing Member Pursuant to action taken by PSX
Section Company Comp					Removal of restriction on opening of new client accounts of Clearing Member Pursuant to action taken by PSX
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10 2007 COUNTY OF LIGHTS					
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20 M. SCHINSER PP1 (MITTO 3-0-0-10 NCCP/CDC/SQL Notice quantity of an excent of majorithm conducted under both impection Regulations (Conference of the Conference o	425	FAIR DEAL SECURITIES (PVT) LTD.			Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
Col. MathONE SERVICE LIMITED 3-b. 1.1 NCC/CQC/GM212 Noncolous of the reads to quark parties transfer specified to under the stephon Regulations, 2015 NCC/CQC/GM212 Noncolous of the reads to quark parties through the stephon Regulation (1.5) NCC/CQC/GM212 Noncolous of the reads to quark parties through the stephon Regulation (1.5) NCC/CQC/GM212					
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Col. Application (Col. Col. C	429	KP SECURITIES (PRIVATE) LIMITED			
61 METHORS COPTIAL SEQUENTS (PY) (MATTO) 25 - 61 - 81 MCPUCKONSTANE	430	AWT INVESTMENT LIMITED	27-Jun-18	NCCPL/CS/242/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
Sol Des Control (Private) Labor 19 Sol Sol Sol Control (Control (Sol) Sol	431	FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED	25-Jun-18	NCCPL/CRO/83/18	
Separate	432	ASA STOCKS (PVT.) LIMITED	20-Jun-18	NCCPL/CRO/82/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
Section Sect					Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
Get Aut United Structure Company Com					
April Apri	435	AMCAP SECURITIES (PVT.) LTD.			
188 MANY SECURITIS (PVT) LIMITED 1.3 ho.1.8 MINOR (SECURITIS (PVT) LIMITED 1.3 ho.1.8 MINOR (SECURITIS (PVT) LIMITED 1.3 ho.1.8 MINOR (SECURITIS (PVT) LIMITED MINOR (SECURITIS (PVT					
193 MAND ZAMARNA GUARA SEQUENTES (MYT) LIMITED 13-Jun-128 NCCUP/CS/CS/128/18 Termination under Regulations, 28.1.5 14					Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
Bod IRONO DECIDITES IMBRTD COMMISSION B-hu-18 NCCUPCROPY218 Warring Issued on account of matters forwarded by the Commission Shurt Shu					
ASS LAW SCURPTS PARTS AND PYT LAWTED 8-In-18 NCCP/CR/07/128 Note is seared to resolve open observation identified under inspection conducted under instruction	439	JAWED ZAKARIYA GULABI SECURITIES (PVT) LIMITED	13-Jun-18		
ABJ FIRST NATIONAL COUNTES LIMITED					
ABJ FRANTING EQUITES IJUNTED 8-No-18 NCCU/CRO/TA/128 Notice issued to resolve ogen observation identified under impection conducted under join frequention Regulations, 2015 ABJ FRANTING EQUITES IJUNTED 29-May-18 NCCU/CRO/TA/18					
ABS_INDEX_SECURITS (MITTO)					
465 ASAD ALI HABBIS SCURITIS (PVT) LIMITED 29-May-18 NCCPU, CORPORTS					
Add DOSSAM SECURITES (WITTO) MINTED 15.May-18 NCCFU/CDO/SH18 Notice issued to resolve gene observation identified under inspection conducted under joint imspection (segulations, 2015 Most cessed per observation infertified under inspection conducted under joint imspection (segulations, 2015 Most cessed to resolve gene observation identified under inspection conducted under joint imspection (segulations, 2015 Most cessed to resolve gene observation identified under inspection conducted under joint imspection (segulations, 2015 Most cessed to resolve gene observation identified under inspection conducted under joint imspection (segulations, 2015 Most cessed to resolve gene observation identified under inspection conducted under joint imspection (segulations, 2015 Most cessed to resolve gene observation identified under inspection conducted under joint imspection (segulations, 2015 Most cessed to resolve gene observation identified under joint imspection imspection (segulations, 2015 Most cessed to resolve gene observation identified under joint imspection (segulations, 2015 Most cessed to resolve gene observation identified under joint imspection imspection (segulations, 2015 Most cessed to resolve gene observation identified under joint imspection imspection (segulations, 2015 Most cessed under joint imspection imspection inspection inspectio					
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ABA JAMANES ESCURITES (PT) LIMITED 13-AMy-18 NCCPUCRO/Refs) Motice issued to resolve open observation identified under inspection equated under Jonath Impaction Regulations, 2015 ASS TOTAL RESURTED TOTAL 15-AMy-18 NCCPUCRO/Refs) Restriction of access to services under Regulation 18.1.(b) 8.18.3 of NCCPU Regulations, 2015 on account of efficient fermination NCCPUCRO/Refs) Restriction of access to services under Regulation 18.1.(b) 8.18.3 of NCCPU Regulations, 2015 on account of efficient fermination NCCPUCRO/Refs Restriction of access to services under Regulation 18.1.(b) 8.18.3 of NCCPU Regulations, 2015 on account of efficient fermination NCCPUCRO/Refs NCCPUCRO/Refs NCCPUCRO/Refs NCCPUCRO/Refs NCCPUCRO/Refs NCCPUCRO/Refs National Security Notice issued to resolve open observation identified under inspection conducted under Joint Imspection Regulations, 2015 NCCPUCRO/Refs Notice issued to resolve open observation identified under inspection conducted under Joint Imspection Regulations, 2015 NCCPUCRO/Refs Notice issued to resolve open observation identified under inspection conducted under Joint Imspection Regulations, 2015 NCCPUCRO/Refs Notice issued to resolve open observation identified under inspection conducted under Joint Imspection Regulations, 2015 NCCPUCRO/Refs Notice issued to resolve open observation identified under inspection conducted under Joint Imspection Regulations, 2015 NCCPUCRO/Refs Notice issued to resolve open observation identified under inspection conducted under Joint Imspection Regulations, 2015 NCCPUCRO/Refs Notice issued to resolve open observation identified under inspection conducted under Joint Imspection Regulations, 2015 NCCPUCRO/Refs NCCPUCRO/Refs NCCPUCRO/Refs Notice issued to resolve open observation identified under inspection conducted under Joint Imspection Regulations, 2015 NCCPUCRO/Refs NCCPUCRO/Refs NCCPUCRO/Refs NCCPUCRO/Refs NCCPUCRO/Refs NCCPUCRO/Refs NCCPUCRO/Refs NCCPUCRO/Ref					
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ASS KAS PICAS RECREASE (PMT) TLD. 16-May-18 NCCPL/CSD/88/18 Termination under Regulation 18.1.1] & 18.13 of NCCP. Regulation, 2015 on account of respection conducted under joint imspection Regulations ANNION CAPITAL (PMT) LIMITED 20-Apr-18 NCCPL/CDO/A91/18 Number 19.1.1. Number 19.1.					
SS TOCK BROKEARGE [PVT].UTD 20 Apr-18 NCCPVECRO/84/18 Warning issued on account of self termination 52 MANNOD CRUTTES [PVT].UMRTED 20 Apr-18 NCCPVECRO/84/18 Notice issued to resolve open observation identified under inspection Regulations, 2015 545 ABARDS SECURITES [PVT].UMRTED 20 Apr-18 NCCPVECRO/84/18 Notice issued to resolve open observation identified under inspection conducted under Joint imspection Regulations, 2015 545 ABARDS SECURITES [PVT].UMRTED 20 Apr-18 NCCPVECRO/84/18 Notice issued to resolve open observation identified under inspection conducted under Joint Imspection Regulations, 2015 545 ISA GENERAL CAPTAL [PVT].UMRTED 20 Apr-18 NCCPVECRO/84/18 Notice issued to resolve open observation identified under imspection conducted under Joint Imspection Regulations, 2015 546 ISA GENERAL CAPTAL [PVT].UMRTED 20 Apr-18 NCCPVECRO/84/18 Notice issued to resolve open observation identified under imspection conducted under Joint Imspection Regulations, 2015 547 PARTE. SECURITES [PVT].UMRTED 20 Apr-18 NCCPVECRO/84/18 Notice issued to resolve open observation identified under imspection conducted under Joint Imspection Regulations, 2015 548 ISAB SECURITES [PVT].UMRTED 20 Apr-18 NCCPVECRO/84/18 Notice issued to resolve open observation identified under imspection regulations, 2015 549 SIAHRI SECURITES [PVT].UMRTED 19 Amr-18 NCCPVECRO/84/18 Revocation of Clearing Member Pursuant to action taken by PSX 459 SIAHRI SECURITES [PVT].UMRTED 19 Amr-18 NCCPVECRO/84/18 Revocation of Clearing Member Pursuant to action taken by PSX 469 ISAB SECURITES [PVT].UMRTED 11 Amr-18 NCCPVECRO/84/18 Notice issued to resolve open observation identified under imspection regulations, 2015 461 INTERNAL SECURITES [PVT].UMRTED 11 Amr-18 NCCPVECRO/84/18 Notice issued to resolve open observation identified under imspection regulations, 2015 462 APAG SEGAL MEMBER SECURITES (INVT).UMRTED 11 Amr-18 NCCPVECRO/84/18 Notice issued to resolve open observation identified under imspection regulations, 2015 463 INTERNAL SECURIT					
ANNO CAPITAL (PIT.) LIMITED 20 Apr. 18 NCCPU/CRO/(AS)18 NCCPU/CRO/(AS)18 Notice issued to resolve open observation identified under inspection negulations, 2015 SAMPA SCRURITES (PIT.) LIMITED 20 Apr. 18 NCCPU/CRO/(AS)18 NCCPU					
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AGE AND SECURITIES (PVT) LIMITED 20 Apr-18 NCEPU/GNO/A6/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 457 DATEL SECURITIES (PVT) LIMITED 20 Apr-18 NCEPU/GNO/A1/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 458 JAMFI SECURITIES (PVT) LIMITED 19 Mar-18 NCEPU/GNO/A1/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 460 NAMA SECURITIES (PVT) LIMITED 12 Mar-18 NCEPU/GNO/A1/18 Resolve to access to services under Regulation 18.1.1(p) 8.18 a JOK (PCP, Regulations, 2015) 461 AFFAST SECURITIES (PVT) LIMITED 12 Mar-18 NCEPU/GNO/A1/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 462 ANS GLOBAL LIMITED 12 Mar-18 NCEPU/GNO/A1/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 463 ICIN CAPITAL ANANAGEMENT (PVT) LIMITED 12 Mar-18 NCEPU/GNO/A1/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 464 INTERMARKET SECURITIES (PVT) LIMITED 12 Mar-18 NCEPU/GNO/A1/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 465 INTERMARKET SECURITIES (PVT) LIMITED 12 Mar-18 NCEPU/GNO/A1/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 466 MARE SECURITIES (PVT) LIMITED 12 Mar-18 NCEPU/GNO/A1/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 467 TOP LIMITED (PVT) LIMITED 12 Mar-18 NCEPU/GNO/A1/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 468 INSECURITIES (PVT) LIMITED 12 Mar-18 NCEPU/GN	454	ABBASI SECURITIES (PVT.) LIMITED	20-Apr-18		
456 KB (GDBA CAPITAL [WT.] LIMITED 20-Apr-18 NCCFV.(CRO/A718 Notice issued to resolve open observation identified under inspection conducted under Joint inspection (Engulations, 2015 27. PATE SCRUMTES [WY.] LIMITED 19-Mar-18 NCCFV.(CRO/A218 Notice issued to resolve open observation identified under inspection conducted under Joint inspection (Engulations, 2015 285. JARFFI SCRUMTES [WY.] LIMITED 19-Mar-18 NCCFV.(CRO/A218 Restriction of access to services under Regulation 18.1.10) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 266. MARA SCRUMTES [WY.] LIMITED 12-Mar-18 NCCFV.(CRO/A218 Retriction of access to services under Regulations, 2015 On account of self Termination under Regulations, 2015 University (CRO/A218 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 267. AVIS GLOBAL LIMITED 12-Mar-18 NCCFV.(CRO/A218 Notice issued to resolve open observation indentified under inspection conducted under Joint inspection Regulations, 2015 268. INTERNAL SCRUMTES [WY.] LIMITED 12-Mar-18 NCCFV.(CRO/A218 Notice issued to resolve open observation indentified under inspection conducted under Joint inspection Regulations, 2015 269. AVIS GLOBAL LIMITED 12-Mar-18 NCCFV.(CRO/A218 Notice issued to resolve open observation indentified under inspection conducted under Joint inspection Regulations, 2015 269. AVIS GLOBAL LIMITED 12-Mar-18 NCCFV.(CRO/A218 Notice issued to resolve open observation indentified under inspection conducted under Joint Inspection Regulations, 2015 269. TARGET SCRUMTES [WY.] LIMITED 12-Mar-18 NCCFV.(CRO/A218 Notice issued to resolve open observation indentified under inspection conducted under Joint Inspection Regulations, 2015 260. SHAFFI SCRUMTES [WY.] LIMITED 12-Mar-18 NCCFV.(CRO/A218 Notice issued to resolve open observation indentified under inspection conducted under Joint Inspection Regulations, 2015 261. AVIS GLOBAL SCRUMTES [455	AMCAP SECURITIES (PVT.) LIMITED	20-Apr-18	NCCPL/CRO/46/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
AST SECURITES (PVT JUMTED 20-Apr-18 NCCPV_CRO/43/18 NCCEV_CRO/43/18 NC			20-Apr-18		
ASS SAFFI SECURITIS (PVT IMITED 19-Mar-18 NCCPL/CRO/42/18 Restriction of access to services under Regulation 18.1.1() & 18.3 of NCCP. Regulations, 2015 Pursuant to action taken by PSX 469 SAFFI SECURITIS (PVT IMITED 12-Mar-18 NCCPL/CS/112/18 Termination under Regulation 18.1.1() & 18.3 of NCCP. Regulations, 2015 On account of self Termination 462 AXIS GLOBAL LIMITED 12-Mar-18 NCCPL/CS/03/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 463 ICON CAPITAL MANAGEMENT (PVT.) LIMITED 12-Mar-18 NCCPL/CRO/33/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 464 INTERMARKET SECURITIES (PVT.) LIMITED 12-Mar-18 NCCPL/CRO/39/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 465 NAM SECURITIES (PVT.) LIMITED 12-Mar-18 NCCPL/CRO/39/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 466 SHAFT SECURITIES (PVT.) LIMITED 12-Mar-18 NCCPL/CRO/39/18 Notice issued to resolve open observation identified under inspection Regulations, 2015 467 NOPLINE SECURITIES (PVT.) LIMITED 12-Mar-18 NCCPL/CRO/39/18 Notice issued to resolve open observation identified under inspection Regulations, 2015 468 SHAFT SECURITIES (PVT.) LIMITED 12-Mar-18 NCCPL/CRO/39/18 NCCPL/CRO	457	PATEL SECURITIES (PVT.) LIMITED	20-Apr-18		Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
ASP SAFFI SECURITIES (PVT.) LIMITED 19-Mar-18 NCCPU/CRO/34/18 Revocation of Clearing Member Pursuant to action taken by PSX			19-Mar-18		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
AGE AST GLORAL HUNTED 12-Ma-18 NCCPV_CRO/38/18 Notice issued to resolve open observation identified under inspection Regulations, 2015					
ASIS GLOBAL LIMITED 12-Mar-18 NCCPU/CRO/33/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 AGE INTERNAKET SECURITIES LIMITED 12-Mar-18 NCCPU/CRO/31/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 NCEPU/CRO/31/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 NCEPU/CRO/31/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 NCEPU/CRO/31/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 NCEPU/CRO/31/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 NCEPU/CRO/31/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 NCEPU/CRO/31/18 NCEPU/CRO					
AGS LON CAPITAL MANAGEMENT [PVT.) LIMITED 12-Mar-18 NCCPU/CRO/31/18 Notice issued to resolve open observation identified under inspection Regulations, 2015					
MTERMARKET SECURTIES LIMITED 12-Mar-18 NCCPL/CRO/31/18 Notice issued to resolve open observation identified under inspection regulations, 2015	462	AXIS GLOBAL LIMITED			Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
465 MA SECURITIES (PVT.) LIMITED 12-Mar-18					Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
AGE SAFFI SECURITIES (PVT.) LIMITED 12-Mar-18 NCCPUCRO/27/18 Notice issued to resolve open observation identified under Inspection Regulations, 2015	464	INTERMARKET SECURITIES LIMITED			
167 TOPUNE SECURITIES LIMITED 112-Mar-18 NCCPL/CRO/32/18 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 468 F.M. SECURITIES (PYT.) LTD. 1-Mar-18 NCCPL/CRO/32/18 Restriction of access to services under Regulation 18.1.1(b) 8.13 and PKCCP. Regulations, 2015 Pursuant to action taken by PSX 470 ALI HUSAIN RAJABAULTD 22-Feb-18 NCCPL/CRO/32/18 Termination under Regulation 18.1.1(b) 8.13 and PKCCP. Regulations, 2015 Pursuant to action taken by PSX 470 ALI HUSAIN RAJABAULTD 22-Feb-18 NCCPL/CRO/32/18 Termination under Regulation 18.1.1(b) 8.13 and PKCCP. Regulations, 2015 On account of self Termination 471 H.M. DIESES H.ADMI (PYT.) LIMITED 25-Jan-18 NCCPL/CS/56/18 Termination under Regulation 18.1.1(b) 8.13 and PKCCP. Regulations, 2015 On account of self Termination 472 RAYYAM SECURITIES (PYT.) LIMITED 273-Jan-18 NCCPL/CS/59/18 Termination under Regulation 18.1.1(b) 8.13 and PKCCP. Regulations, 2015 On account of self Termination 474 RAYYAM SECURITIES (PYT.) LIMITED 274-Jan-18 NCCPL/CS/59/18 Termination under Regulation 18.1.1(b) 8.13 and PKCCP. Regulations, 2015 On account of self Termination 475 SKS-SECURITIES (PYT.) LIMITED 476 REJUBACE SECURITIES (PYT.) LIMITED 477 SKS-SECURITIES LIMITED 478 REJUBACE SECURITIES LIMITED 479 REJUBACE SECURITIES LIMITED 479 REJUBACE SECURITIES LIMITED 470 RESULTATION SECURITIES LIMITED 470 RESULTATION SECURITIES LIMITED 471 RESULTATION SECURITIES LIMITED 472 RESULTATION SECURITIES LIMITED 473 RESULTATION SECURITIES LIMITED 474 RESULTATION SECURITIES LIMITED 475 RESULTATION SECURITIES LIMITED 476 RESULTATION SECURITIES LIMITED 477 RESULTATION SECURITIES LIMITED 478 RESULTATION SECURITIES LIMITED 479 RESULTATION SECURITIES LIMITED 479 RESULTATION SECURITIES LIMITED 479 RESULTATION SECURITIES LIMITED 479 RESULTATION SECURITIES LIMITED 470 RESULTATION SECURITIES LIMITED 470 RESULTATION SECURITIES LIMITED 470 RESULTATION SECURITIES LIMITED 471 RESULTATION SECURITIES LIMITED 472 RESULTATION					Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
A69 12.8 ECURITIES (PVT) LTD. 9-Mar-18 NCCPL/CRO/35/18 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 1-Mar-18 NCCPL/CRO/25/18 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 1-Mar-18 NCCPL/CRO/25/18 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 1-Mar-18 NCCPL/CRO/25/18 Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 on account of self Termination 1-Mar-18 NCCPL/CS/56/18 Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 on account of self Termination 1-Mar-18 NCCPL/CS/56/18 Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 on account of self Termination 1-Mar-18 NCCPL/CS/56/18 Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 on account of self Termination 1-Mar-18 NCCPL/CS/56/18 Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 on account of self Termination 1-Mar-18 NCCPL/CS/56/18 Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 1-Mar-18 NCCPL/CS/56/18 Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 1-Mar-18 NCCPL/CS/56/18 Notice issued to resolve open observation identified under inspection Regulations, 2015 NCCPL/CS/56/18 Notice issued to resolve open observation identified under inspection Regulations, 2015 NCCPL/CS/56/18 NCCPL/CS/56/1					
146 128 SECURITES [PVT], ITD. 1.4Mar-18 NCCPV(CR)(23/18 Restriction of access to services under Regulation 18.1.1(1) & 18.3 of NCCP, Regulations, 2015 Pursuant to action taken by PSX 470 ALI HUSAIN RAJABALLITO 23-be-18 NCCPV(CS)(33/18 Termination under Regulation 18.1.1(1) & 18.3 of NCCP, Regulations, 2015 On account of self Termination 472 (AHYAYMA SECURITES [PVT], LIMITED 22-lan-18 NCCPV(CS)(33/18 Termination under Regulation 18.1.1(1) & 18.3 of NCCP, Regulations, 2015 On account of Self Termination 473 INVEST FORMIT [PVT], LIMITED 25-lan-18 NCCPV(CS)(33/18 Termination under Regulation 18.1.1(1) & 18.3 of NCCP, Regulations, 2015 On account of Self Termination 473 INVEST FORMIT [PVT], LIMITED 23-lan-18 NCCPV(CS)(33/18 Termination under Regulation 18.1.1(1) & 18.3 of NCCP, Regulations, 2015 On account of Self Termination 473 INVEST FORMIT [PVT], LIMITED 23-lan-18 NCCPV(CS)(33/18 Termination under Regulation 18.1.1(1) & 18.3 of NCCP, Regulations, 2015 On account of Self Termination 473 INVEST FORMIT [PVT], LIMITED 22-lan-18 NCCPV(CS)(33/18 NCCPV, Regulations, 2015 On account of Self Termination 474 INVEST FORMIT [PVT], LIMITED 42-lan-18 NCCPV, Regulations, 2015 NCCPV, Regulation					
API ALL NESSEN RAJAM NT ALL NESSEN RAJAM NT ALL NESSES ALL NESSEN RAJAM NT ALL NESSES ALL					nestriction or access to services under negoration 18.1.1(b) & 18.3 of NCCLP Regulations, 2015 Pursuant to action taken by PSX Destriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCLP Regulations, 2015 Pursuant to action taken by PSX Destriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCLP Regulations, 2015 Pursuant to action taken by PSX
472 M.N. IORES H. ADAM [PVT.] LIMITED 29-Jan-18 NCCPL(CS/S6/18 Termination under Regulation 18.1.1]) & 18.3 of NCCPL Regulations, 2015 On account of self Termination 27-Jan-18 NCCPL(CS/S6/31/8 Termination under Regulation 18.1.1]) & 18.3 of NCCPL Regulations, 2015 On account of self Termination 27-Jan-18 NCCPL(CS/S6/31/8 Termination under Regulation 18.1.1]) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 27-Jan-18 NCCPL(CS/S6/18 Termination under Regulation 18.1.1]) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 27-Jan-18 NCCPL(CS/S6/18 NCCPL(CS/S6/S6/18 NCCPL(CS/S6/S6/18 NCCPL(CS/S6/S6/18 NCCPL(CS/S6/S6/18 NCCPL(CS/S6/S6/18 NCCPL(CS/S6/S6/18 NCCPL(CS/S6/S6/S6/S6/S6/S6/S6/S6/S6/S6/S6/S6/S6					
AZZ MAYMAM SECURITES [VPT, LIMITED 23-lan-18 NCCPL/CS/53/18 Termination under Regulation 18.1.1() & 18.3 of NCCP. Regulations, 2015 On account of Self Termination AZZ MOVET FORMIT POT MAINTED 23-lan-18 NCCPL/CS/50/18 Termination under Regulation 18.1.1() & 18.3 of NCCP. Regulations, 2015 On account of Self Termination AZZ MOVET FORMIT POT AZZ					remination under negaratori 10.1.1(i) & 10.3 OF NULLY Regulatoris, 2015 OF account of self-remination
A73 MINEST FORUM [PVT] LIMITED 23-Jan-18 NCCPU[CS/S0/18 Termination under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination A74 SMAIL.QBAIL SECURITIES [PVT] LTD. 22-Jan-18 NCCPU[CS/S0/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 A75 SK SECURITIES LIMITED 22-Jan-18 NCCPU[CS/O]/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 A76 RELIANCE SECURITIES LIMITED 22-Jan-18 NCCPU[CS/O]/6/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 NCCPU[CS/O]/6/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 NCCPU[CS/O]/6/18 Notice issued to resolve open observation identified under Inspection Conducted under Joint Inspection Regulations, 2015 NCCPU[CS/O]/6/18	471	KHAYYAM SECURITIES (PVT) LIMITED			
A78 SMALL CQBAL SECURITIES (PVT.) LTD. 22.3an-18 NCCPU/CRO/B/18 Notice issued to resolve open observation identified under inspection Regulations, 2015 A75 SMS-EQUENTIES LIMITED 22.3an-18 NCCPU/CRO/J/18 Notice issued to resolve open observation identified under inspection regulations, 2015 A77 SMERMAN SECURITIES PVT. LIMITED 22.3an-18 NCCPU/CRO/J/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015	472	INVEST FOR IM (PVT) LIMITED			
A75 BIX SECURITIES LID 22-Jan-18 NCCPU/CRO/10/18 Notice issued to resolve open observation identified under Inspection Regulations, 2015	474	ISMAIL IORAL SECURITIES (PVT) LTD			
A76 RELIANCE SECURITIES LIMITED 22-Jan-18 NCCPU/CRO/6/18 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015					Notice issued to resolve upon observation identified under inspection conducted under light inspection Regulations, 2015 Notice issued to resolve upon observation identified under inspection conducted under light inspection Regulations, 2015
477 SHERMAN SECURITIES PVT. LIMITED 22-Jan-18 NCCPL/CRO/7/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 478 XPERT SECURITIES (PRIVATE) LIMITED 18-Jan-18 NCCPL/CRO/009/18 Revocation of Clearing Member Pursuant to action taken by CDC 479 FIRST ZEIVA (PVT.) LTD. 4-Jan-18 NCCPL/CRO/001/18 Termination under Regulation 18.1.1(i) 8.18.3 of NCCPL Regulations, 2015 On account of Self Termination 480 MILLENIUM SECURITIES AND INVESTMENT (PVT) LUMITED 1-Jan-18 NCCPL/CRO/001/18 Suspension under Regulation 18.1.1(i) 8.13 of NCCPL Regulations, 2015 Fursuant to action taken by PSX					
478 MPRIT SECURITIES (PRIVATE) LIMITED 18-Jan-18 NCCPV_CRO/0009/18 Revocation of Clearing Member Pursuant to action taken by CDC 479 FIRST ZEVLA (PVT.) LTD. 4-Jan-18 NCCPV_CRO/0001/18 Termination under Regulation is 1.1(i) 8 .18.3 of NCCPL Regulations, 2015 On account of Self Termination 480 MILLENIUM SECURITIES AND INVESTMENT (PVT) LIMITED 1-Jan-18 NCCPV_CRO/0001/18 Suspension under Regulation is 1.1(i) 8 .18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX					
479 FIRST ZEIVA (PVT.) LTD. 4-Jan-18 NCCPL/CS/08/18 Termination under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 480 MILLENIUM SECURITIES AND INVESTMENT (PVT) LIMITED 1-Jan-18 NCCPL/CRO/001/18 Suspension under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	478	XPERT SECURITIES (PRIVATE) LIMITED			
480 MILLENIUM SECURITIES AND INVESTMENT (PVT) LIMITED 1-Jan-18 NCCPL/CRO/001/18 Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX					
		PEARL BROKERAGE (PVT) LIMITED			Revocation of Clearing Member Pursuant to action taken by PSX