

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
1	Pak Oman Asset Management- Askari Equity fund	31-Oct-19	NCCPL/CS/396/19	Termination of access to NCC system for Non Broker Clearing Member Account ID:13813
2	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
3	Azee Securities (Pvt.) Limited	22-Oct-19	NCCPL/CRO/188/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
4	Pervez Ahmed Capital (Pvt.) Limited	7-Oct-19	NCCPL/CRO/186/19	Suspension under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of notice issued by SECP
5	Gul Dhami Securities (Pvt.) Limited	4-Oct-19	NCCPL/CRO/140/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
6	Salman Majeed Securities (Pvt.) Limited	4-Oct-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
7	Zahid Latif Khan Securities (Pvt.) Limited	4-Oct-19	NCCPL/CRO/141/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
8	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
9	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
10	Khawala 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
11	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
12	Hamza Farhad Securities (Pvt.) Limited	19-Sep-19	NCCPL/CRO/133/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
13	Elmor Securities (Pvt) Limited	17-Sep-19	NCCPL/CS/318/19	Termination as Trading Financier and Margin Financier under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
14	Asda Securities (Pvt.) Limited	17-Sep-19	NCCPL/CRO/127/19	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.
15	We Financial Services Limited	16-Sep-19	NCCPL/CRO/131/19	Revocation of restriction of Clearing Member on account of notice issued by SECP
16	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
17	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 78.2.4 of NCCPL Regulations, 2015.
18	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.
19	We Financial Services Limited	6-Sep-19	NCCPL/CRO/120/19	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
20	M.H Securities (Pvt) Limited	28-Aug-19	NCCPL/CS/286/19	Termination as Margin Financier under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
21	M.H Securities (Pvt) Limited	28-Aug-19	NCCPL/CS/285/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
22	Zillion Capital Securities (Pvt.) Limited	30-Jul-19	NCCPL/CRO/109/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
23	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
24	Al-Hosani 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
25	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
26	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
27	IAX Securities (Pvt.) Limited	18-Jul-19	NCCPL/CRO/107/19	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB
28	IAX Securities (Pvt.) Limited	16-Jul-19	NCCPL/CRO/106/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
29	Shajrapak Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/96/19	Suspension under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
30	MAAM Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/98/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
31	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
32	Azee Securities (Pvt) Limited	15-Jul-19	NCCPL/CRO/104/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
33	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
34	KP Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/105/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
35	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
36	Tariq Sayeed Securities (Pvt.) Limited	12-Jul-19	NCCPL/CS/251/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
37	Jamshaid and Hasan Securities (Pvt.) Limited	10-Jul-19	NCCPL/CS/228/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
38	AHKD Securities (Pvt.) Limited	5-Jul-19	NCCPL/CS/225/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
39	Reliance Securities Limited	1-Jul-19	NCCPL/CRO/95/19	Revocation of Restriction of access to services, Pursuant to action taken by PSX and submission of audited NCB
40	SHARIF CENTRE (PVT.) LIMITED	27-Jun-19	NCCPL/CS/217/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
41	DAWOOD EQUITIES LIMITED	26-Jun-19	NCCPL/CRO/93/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
42	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
43	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
44	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
45	AZEE SECURITIES PRIVATE LIMITED	10-Jun-19	NCCPL/CS/198/19	Termination of Margin Financier and Finance accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
46	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
47	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
48	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
49	ALFA ADHI SECURITIES PRIVATE LIMITED	21-May-19	NCCPL/CRO/77/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
50	MILLENNIUM 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
51	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
52	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
53	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
54	AZEE SECURITIES PRIVATE LIMITED	14-May-19	NCCPL/CRO/69/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
55	SHAJAR CAPITAL PRIVATE LIMITED	14-May-19	NCCPL/CRO/61/19	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
56	AZEE SECURITIES PRIVATE LIMITED	9-May-19	NCCPL/CRO/66/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
57	AZEE SECURITIES PRIVATE LIMITED	9-May-19	NCCPL/CRO/67/19	Revocation of Clearing Member Pursuant to settlement of money obligation
58	FORTUNE SECURITIES LIMITED	7-May-19	NCCPL/CRO/60/19	Warning issued under Regulation 14.3 and 14.6 of NCCPL Regulations, 2015 on account of matter pertaining to submission of NCB
59	FAIRWAY SECURITIES (PVT.) LIMITED	7-May-19	NCCPL/CRO/62/19	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
60	Y.H SECURITIES PRIVATE LIMITED	25-Apr-19	NCCPL/CS/158/19	Termination of Trading Finance ID under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
61	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
62	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
63	DIN CAPITAL LIMITED	16-Apr-19	NCCPL/CS/137/19	Termination of Trading Financier ID under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
64	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
65	RAHAAT 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
66	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
67	FAWAD YUSUF SECURITIES (PVT.) LIMITED	28-Mar-19	NCCPL/CS/53/19	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
68	GILUREZ 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
69	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
70	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
71	MAAM 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
72	IAX 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
73	HABIB METROPOLITAN FINANCIAL SERVICES LIMITED	20-Mar-19	NCCPL/CRO/38/19	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
74	M.H SECURITIES (PVT.) LTD.	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 78.2.4 of NCCPL Regulations, 2015.
75	WE FINANCIAL SERVICES LTD.	18-Mar-19	NCCPL/CRO/44/19	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.
76	AL-HAQ SECURITIES (PVT.) LTD.	18-Mar-19	NCCPL/CRO/45/19	Restriction of access to services as Trading Financier under Rule 19(1a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations, 2015.
77	IAX SECURITIES (PVT.) LIMITED	18-Mar-19	NCCPL/CRO/39/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
78	MF STOCKS (PVT.) LIMITED	18-Mar-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
79	RUC SECURITIES (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
80	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
81	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.
82	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
83	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
84	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
85	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

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S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
86	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
87	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
88	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
89	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
90	M. SALIM KASMANI SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/27/19	Warning issued on account of inspection conducted under Joint Inspection Regulations
91	HF 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
92	GALAXY CAPITAL SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/26/19	Warning issued on account of inspection conducted under Joint Inspection Regulations
93	ABBASI & CO. (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/23/19	Warning issued on account of inspection conducted under Joint Inspection Regulations
94	NETWORTH SECURITIES LIMITED	18-Feb-19	NCCPL/CRO/24/19	Warning issued on account of inspection conducted under Joint Inspection Regulations
95	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
96	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
97	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
98	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
99	K.H.S. SECURITIES (PVT.) LIMITED.	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
100	HMC STOCKS (PVT) LTD	16-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
101	SOUTH ASIAN SECURITIES (PRIVATE) LIMITED	4-Jan-19	NCCPL/CRO/8/19	Revocation of Clearing Member Pursuant to action taken by PSX
102	SAIMA QAISER SECURITIES (PVT.) LIMITED	4-Jan-19	NCCPL/CRO/6/19	Warning issued on account of inspection conducted under Joint Inspection Regulations
103	ABM SECURITIES (PVT.) LIMITED	4-Jan-19	NCCPL/CRO/7/19	Warning issued on account of inspection conducted under Joint Inspection Regulations
104	FORM 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
105	SAI 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
106	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
107	RUC SECURITIES (PRIVATE) LIMITED	18-Dec-18	NCCPL/CRO/225/18	Revocation of Clearing Member Pursuant to action taken by PSX
108	FIRST CAPITAL EQUITIES LIMITED	17-Dec-18	NCCPL/CRO/220/18	Warning issued under Regulation 18.1.1(e) of NCCPL Regulations, 2015 on account of matter pertaining to delay in payment of money obligation
109	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
110	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
111	EPG 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
112	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
113	TARIO SAYEED SECURITIES (PVT) LIMITED	28-Nov-18	NCCPL/CRO/217/18	Revocation of Clearing Member On account of notice issued by SECP
114	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
115	AM CHAUDHRY SECURITIES (PVT.) LIMITED	19-Nov-18	NCCPL/CRO/206/18	Revocation of Clearing Member On account of notice issued by SECP
116	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
117	ARIF LATIF SECURITIES (PVT.) LIMITED	9-Nov-18	NCCPL/CRO/195/18	Warning issued on account of inspection conducted under Joint Inspection Regulations
118	RIAZ AHMED SECURITIES (PVT.) LIMITED	9-Nov-18	NCCPL/CRO/193/18	Warning issued on account of inspection conducted under Joint Inspection Regulations
119	TRUST SECURITIES & BROKERAGE (PVT.) LIMITED	9-Nov-18	NCCPL/CRO/194/18	Warning issued on account of inspection conducted under Joint Inspection Regulations
120	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
121	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
122	BABA EQUITIES (PVT.) LIMITED	29-Oct-18	NCCPL/CRO/187/18	Warning issued on account of inspection conducted under Joint Inspection Regulations
123	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
124	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
125	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
126	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
127	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
128	XPRT 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
129	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
130	XPRT SECURITIES (PRIVATE) LIMITED	16-Oct-18	NCCPL/CRO/181/18	Warning issued under Regulation 14.3 of NCCPL Regulations, 2015 On account of matter pertaining to submission of NCB
131	AZEE SECURITIES	16-Oct-18	NCCPL/CRO/182/18	Warning issued under Regulation 18.1.1(e) of NCCPL Regulations, 2015 on account of matter pertaining to delay in payment of money obligation
132	MARKET 786 (PVT.) LIMITED	15-Oct-18	NCCPL/CRO/179/18	Warning issued on account of inspection conducted under Joint Inspection Regulations
133	CAMCO (PVT.) LIMITED	12-Oct-18	NCCPL/CRO/178/18	Revocation of Clearing Member Pursuant to action taken by PSX
134	FIRST CAPITAL EQUITIES LIMITED	9-Oct-18	NCCPL/CRO/176/18	Revocation of Clearing Member Pursuant to settlement of money obligation
135	INA SECURITIES (PVT) LTD	9-Oct-18	NCCPL/CRO/177/18	Revocation of Clearing Member Pursuant to action taken by PSX
136	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
137	MGM SECURITIES (PVT.) LIMITED	4-Oct-18	NCCPL/CRO/170/18	Warning issued on account of inspection conducted under Joint Inspection Regulations
138	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
139	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
140	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
141	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
142	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
143	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
144	PROGRESSIVE INV. MANAGEMENT (PVT) LTD.	18-Sep-18	NCCPL/CRO/160/18	Revocation of Clearing Member Pursuant to action taken by CDC
145	XPRT 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
146	MSD CAPITAL EQUITIES (PVT) LTD.	18-Sep-18	NCCPL/CRO/161/18	Revocation of Clearing Member Pursuant to action taken by PSX
147	APEX CAPITAL SECURITIES (PVT) LIMITED	18-Sep-18	NCCPL/CRO/164/18	Revocation of Clearing Member Pursuant to action taken by PSX
148	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
149	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
150	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
151	MOHAMMAD MUNIR MOHAMMAD	12-Sep-18	NCCPL/CRO/153/18	Warning issued on account of matters forwarded by the Commission
152	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
153	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
154	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
155	AMCAP SECURITIES (PVT.) LTD.	10-Sep-18	NCCPL/CS/319/18	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
156	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
157	FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED	31-Aug-18	NCCPL/CRO/148/18	Revocation of Clearing Member Pursuant to action taken by PSX
158	SAIMA QAISER SECURITIES (PVT) LIMITED	24-Aug-18	NCCPL/CRO/145/18	Revocation of Clearing Member Pursuant to action taken by PSX
159	DIM SECURITIES (PVT.) LIMITED	20-Aug-18	NCCPL/CRO/142/18	Warning issued on account of inspection conducted under Joint Inspection Regulations
160	M. TARIQ MOTI SECURITIES (PVT.) LIMITED	20-Aug-18	NCCPL/CRO/139/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
161	SAKARWALA CAPITAL SECURITIES (PVT.) LIMITED	20-Aug-18	NCCPL/CRO/141/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
162	SAIMA QAISER SECURITIES (PVT) LIMITED	17-Aug-18	NCCPL/CRO/143/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
163	VENUS SECURITIES (PVT.) LIMITED	15-Aug-18	NCCPL/CRO/140/18	Revocation of Clearing Member On account of notice issued by SECP
164	OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED	2-Aug-18	NCCPL/CRO/129/18	Revocation of Clearing Member Pursuant to action taken by PSX
165	VALUE STOCK AND COMMODITIES (PVT.) LTD.	2-Aug-18	NCCPL/CRO/130/18	Removal of restriction on opening of new client accounts of Clearing Member Pursuant to action taken by PSX
166	YASIR MAHMOOD SECURITIES (PVT.) LIMITED	26-Jul-18	NCCPL/CRO/124/18	Warning issued on account of inspection conducted under Joint Inspection Regulations
167	BISMILLAH SECURITIES (PVT.) LIMITED	26-Jul-18	NCCPL/CRO/127/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
168	DARSON SECURITIES (PVT.) LIMITED(LSI)	26-Jul-18	NCCPL/CRO/121/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
169	FAKJI CAPITAL (PVT.) LIMITED	26-Jul-18	NCCPL/CRO/126/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
170	GLUREZ SECURITIES (PVT.) LIMITED	26-Jul-18	NCCPL/CRO/128/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015

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
171	RAHAT SECURITIES LIMITED	26-Jul-18	NCCLP/CRO/125/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
172	AHSAM SECURITIES (PVT.) LIMITED	24-Jul-18	NCCLP/CRO/121/18	Revocation of Clearing Member On account of notice issued by SECP
173	R.F.J. EQUITY (PRIVATE) LIMITED	24-Jul-18	NCCLP/CRO/122/18	Revocation of Clearing Member On account of notice issued by SECP
174	SMAC INVESTMENTS (SMC-PVT) LTD.	19-Jul-18	NCCLP/CRO/108/18	Revocation of Clearing Member On account of notice issued by SECP
175	GROWTH SECURITIES (PVT.) LIMITED COMMISSION	17-Jul-18	NCCLP/CRO/90/18	Warning issued on account of matters forwarded by the Commission
176	PROGRESSIVE INVESTMENT MANAGEMENT (PVT.) LIMITED	17-Jul-18	NCCLP/CRO/92/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
177	FAIR EDC SECURITIES (PVT.) LIMITED	17-Jul-18	NCCLP/CRO/107/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
178	FIRST CAPITAL EQUITIES LIMITED	17-Jul-18	NCCLP/CRO/108/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
179	FIRST EQUITY MODARABA	17-Jul-18	NCCLP/CRO/106/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
180	IQBAL USMAN KODWANI SECURITIES (PVT.) LIMITED	17-Jul-18	NCCLP/CRO/89/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
181	SEVEN STAR SECURITIES (PVT.) LIMITED	17-Jul-18	NCCLP/CRO/91/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
182	INTERACTIVE SECURITIES (PVT.) LIMITED	16-Jul-18	NCCLP/CRO/93/18	Revocation of Clearing Member On account of notice issued by SECP
183	PEARL BROKERAGE PRIVATE LIMITED	6-Jul-18	NCCLP/CS/266/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCLP Regulations, 2015 On account of self Termination
184	FAIR DEAL SECURITIES (PVT) LTD.	5-Jul-18	NCCLP/CS/262/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCLP Regulations, 2015 On account of Self Termination
185	SAL SECURITIES (PVT.) LIMITED	3-Jul-18	NCCLP/CRO/86/18	Warning issued on account of inspection conducted under Joint Inspection Regulations
186	WE FINANCIAL SERVICES LIMITED	3-Jul-18	NCCLP/CRO/88/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
187	ASA STOCKS (PVT.) LIMITED	29-Jun-18	NCCLP/CRO/85/18	Revocation of Clearing Member Pursuant to action taken by PSX
188	KP SECURITIES (PRIVATE) LIMITED	28-Jun-18	NCCLP/CRO/84/18	Revocation of Clearing Member Pursuant to action taken by PSX
189	AWT INVESTMENT LIMITED	27-Jun-18	NCCLP/CS/242/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCLP Regulations, 2015 On account of Self Termination
190	FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED	25-Jun-18	NCCLP/CRO/82/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCLP Regulations, 2015 Pursuant to action taken by PSX
191	ASA STOCKS (PVT.) LIMITED	20-Jun-18	NCCLP/CRO/82/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCLP Regulations, 2015 Pursuant to action taken by PSX
192	KP SECURITIES (PRIVATE) LIMITED	20-Jun-18	NCCLP/CRO/81/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCLP Regulations, 2015 Pursuant to action taken by PSX
193	AMCAP SECURITIES (PVT.) LTD.	19-Jun-18	NCCLP/CRO/79/18	Revocation of Clearing Member Pursuant to settlement of money obligation
194	AMCAP SECURITIES (PVT.) LTD.	19-Jun-18	NCCLP/CRO/78/18	Suspension under Regulation 18.1.1(d) of NCCLP Regulations, 2015 On account of default of money obligation
195	ABA ALI HABIB SECURITIES (PVT.) LIMITED	14-Jun-18	NCCLP/CRO/75/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
196	DIN CAPITAL LIMITED	14-Jun-18	NCCLP/CRO/74/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
197	ROYAL SECURITIES (PVT.) LIMITED	14-Jun-18	NCCLP/CRO/76/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
198	JAWED ZAKARIYA GULABI SECURITIES (PVT) LIMITED	13-Jun-18	NCCLP/CS/235/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCLP Regulations, 2015 On account of Self Termination
199	DAWOOD EQUITIES LIMITED - COMMISSION	8-Jun-18	NCCLP/CRO/73/18	Warning issued on account of matters forwarded by the Commission
200	ELIXIR SECURITIES PAKISTAN (PVT.) LIMITED	8-Jun-18	NCCLP/CRO/72/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
201	F.M SECURITIES (PVT.) LIMITED	8-Jun-18	NCCLP/CRO/70/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
202	FIRST NATIONAL EQUITIES LIMITED	8-Jun-18	NCCLP/CRO/71/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
203	TAURUS SECURITIES LIMITED	8-Jun-18	NCCLP/CRO/69/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
204	ABID ALI HABIB SECURITIES (PVT) LIMITED	29-May-18	NCCLP/CS/209/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCLP Regulations, 2015 On account of Self Termination
205	ASKARI SECURITIES LIMITED	18-May-18	NCCLP/CRO/67/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
206	DOSSLANI SECURITIES (PVT.) LIMITED	18-May-18	NCCLP/CRO/68/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
207	VALUE STOCK & COMMODITIES (PVT.) LIMITED (LSI)	18-May-18	NCCLP/CRO/66/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
208	JAHANZAB SECURITIES (PVT) LIMITED	17-May-18	NCCLP/CS/196/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCLP Regulations, 2015 On account of Self Termination
209	FAIR DEAL SECURITIES (PVT) LTD.	16-May-18	NCCLP/CRO/69/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCLP Regulations, 2015 Pursuant to action taken by PSX
210	KSR STOCK BROKERAGE (PVT) LTD.	10-May-18	NCCLP/CS/188/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCLP Regulations, 2015 On account of self termination
211	MANNOD CAPITAL (PVT.) LIMITED	20-Apr-18	NCCLP/CRO/48/18	Warning issued on account of inspection conducted under Joint Inspection Regulations
212	128 SECURITIES (PVT.) LIMITED	20-Apr-18	NCCLP/CRO/44/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
213	ABBASI SECURITIES (PVT.) LIMITED	20-Apr-18	NCCLP/CRO/45/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
214	AMCAP SECURITIES (PVT.) LIMITED	20-Apr-18	NCCLP/CRO/46/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
215	KBI GLOBAL CAPITAL (PVT.) LIMITED	20-Apr-18	NCCLP/CRO/47/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
216	PAEL SECURITIES (PVT.) LIMITED	20-Apr-18	NCCLP/CRO/43/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
217	SHAFFI SECURITIES (PVT) LIMITED	19-Mar-18	NCCLP/CRO/42/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCLP Regulations, 2015 Pursuant to action taken by PSX
218	SHAFFI SECURITIES (PVT) LIMITED	19-Mar-18	NCCLP/CRO/43/18	Revocation of Clearing Member Pursuant to action taken by PSX
219	MAHA SECURITIES (PVT.) LIMITED	12-Mar-18	NCCLP/CS/112/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCLP Regulations, 2015 On account of self Termination
220	ALFALAH SECURITIES (PVT.) LIMITED	12-Mar-18	NCCLP/CRO/28/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
221	AXIS GLOBAL LIMITED	12-Mar-18	NCCLP/CRO/33/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
222	ICON CAPITAL MANAGEMENT (PVT.) LIMITED	12-Mar-18	NCCLP/CRO/29/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
223	INTERMARKET SECURITIES LIMITED	12-Mar-18	NCCLP/CRO/31/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
224	M.M SECURITIES (PVT.) LIMITED	12-Mar-18	NCCLP/CRO/30/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
225	SHAFFI SECURITIES (PVT.) LIMITED	12-Mar-18	NCCLP/CRO/27/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
226	TOPLINE SECURITIES LIMITED	12-Mar-18	NCCLP/CRO/32/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
227	F.M. SECURITIES (PVT.) LTD.	9-Mar-18	NCCLP/CRO/35/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCLP Regulations, 2015 Pursuant to action taken by PSX
228	128 SECURITIES (PVT) LTD.	1-Mar-18	NCCLP/CRO/23/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCLP Regulations, 2015 Pursuant to action taken by PSX
229	ALI HUSAIN RAJABALI LTD	23-Feb-18	NCCLP/CS/93/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCLP Regulations, 2015 On account of self Termination
230	H.M. IOREES H. ADAM (PVT.) LIMITED	29-Jan-18	NCCLP/CS/56/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCLP Regulations, 2015 On account of self Termination
231	KHAYAM SECURITIES (PVT) LIMITED	25-Jan-18	NCCLP/CS/53/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCLP Regulations, 2015 On account of Self Termination
232	INVEST FORUM (PVT) LIMITED	23-Jan-18	NCCLP/CS/50/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCLP Regulations, 2015 On account of Self Termination
233	ISMAL IQBAL SECURITIES (PVT.) LTD.	22-Jan-18	NCCLP/CRO/8/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
234	JSK SECURITIES LTD	22-Jan-18	NCCLP/CRO/10/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
235	RELANCE SECURITIES LIMITED	22-Jan-18	NCCLP/CRO/6/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
236	SHERMAN SECURITIES PVT. LIMITED	22-Jan-18	NCCLP/CRO/7/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
237	XPRT SECURITIES (PRIVATE) LIMITED	18-Jan-18	NCCLP/CRO/009/18	Revocation of Clearing Member Pursuant to action taken by CDC
238	FIRST ZEVA (PVT.) LTD.	4-Jan-18	NCCLP/CS/08/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCLP Regulations, 2015 On account of Self Termination
239	MILLENNIUM SECURITIES AND INVESTMENT (PVT) LIMITED	1-Jan-18	NCCLP/CRO/001/18	Suspension under Regulation 18.1.1(b) & 18.3 of NCCLP Regulations, 2015 Pursuant to action taken by PSX
240	PEARL BROKERAGE (PVT) LIMITED	1-Jan-18	NCCLP/CRO/002/18	Revocation of Clearing Member Pursuant to action taken by PSX
241	PEARL BROKERAGE (PVT.) LIMITED - COMMISSION	27-Dec-17	NCCLP/CRO/321/17	Warning issued on account of matters forwarded by the Commission
242	PEARL BROKERAGE (PVT) LIMITED	26-Dec-17	NCCLP/CRO/321/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCLP Regulations, 2015 Pursuant to action taken by PSX
243	ADEEL ZAFAR SECURITIES (PVT.) LTD.	21-Dec-17	NCCLP/CS/510/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCLP Regulations, 2015 On account of Self Termination
244	XPRT SECURITIES (PRIVATE) LIMITED	20-Dec-17	NCCLP/CRO/312/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCLP Regulations, 2015 Pursuant to action taken by CDC
245	K.H.S. SECURITIES (PVT.) LIMITED.	19-Dec-17	NCCLP/CRO/311/17	Revocation of Clearing Member Pursuant to action taken by PSX
246	HH MISBAH SECURITIES (PVT.) LIMITED	19-Dec-17	NCCLP/CRO/302/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
247	MAAN SECURITIES (PVT.) LIMITED	19-Dec-17	NCCLP/CRO/303/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
248	STRONGMAN SECURITIES (PVT.) LIMITED	19-Dec-17	NCCLP/CRO/301/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
249	TECHNO FUNDAMENTAL SECURITIES (PVT.) LIMITED	19-Dec-17	NCCLP/CRO/300/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
250	INVEST FORUM SECURITIES (PVT) LIMITED	14-Dec-17	NCCLP/CRO/309/17	Suspension under Regulation 18.1.1(a) of NCCLP Regulations, 2015 On account of notice issued by SECP
251	AHKD SECURITIES (PVT) LIMITED	14-Dec-17	NCCLP/CRO/310/17	Suspension under Regulation 18.1.1(a) of NCCLP Regulations, 2015 On account of notice issued by SECP
252	AM CHAUDHRY SECURITIES (PVT.) LIMITED	12-Dec-17	NCCLP/CRO/307/17	Suspension under Regulation 18.1.1(a) of NCCLP Regulations, 2015 On account of notice issued by SECP
253	SHAIKAT SHAH SECURITIES (PVT.) LIMITED	12-Dec-17	NCCLP/CRO/306/17	Suspension under Regulation 18.1.1(a) of NCCLP Regulations, 2015 On account of notice issued by SECP
254	JAHANZAB SECURITIES (PVT) LIMITED	12-Dec-17	NCCLP/CRO/305/17	Suspension under Regulation 18.1.1(a) of NCCLP Regulations, 2015 On account of notice issued by SECP
255	HK SECURITIES PRIVATE LIMITED	11-Dec-17	NCCLP/CS/480/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCLP Regulations, 2015 On account of Self Termination

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
256	M.A.N SECURITIES (PVT) LIMITED	5-Dec-17	NCCPL/CS/472/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
257	AM CHAUDHRY SECURITIES (PVT.) LIMITED	30-Nov-17	NCCPL/CRO/296/17	Suspension under Regulation of NCCPL Regulations, 2015 Pursuant to action taken by PSX
258	EQUITY MASTER SECURITIES (PVT.) LIMITED	28-Nov-17	NCCPL/CRO/286/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
259	A.N. EQUITIES (PVT.) LIMITED	28-Nov-17	NCCPL/CRO/293/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
260	BEST SECURITIES (PVT.) LIMITED	28-Nov-17	NCCPL/CRO/288/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
261	BMA CAPITAL MANAGEMENT LIMITED	28-Nov-17	NCCPL/CRO/292/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
262	FOUNDATION SECURITIES (PVT.) LIMITED	28-Nov-17	NCCPL/CRO/294/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
263	GHANI OSMAN SECURITIES (PVT.) LIMITED	28-Nov-17	NCCPL/CRO/294/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
264	DIN CAPITAL LTD.	23-Nov-17	NCCPL/CRO/290/17	Revocation of Clearing Member On account of notice issued by SECP
265	DIN CAPITAL LTD.	17-Nov-17	NCCPL/CRO/289/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
266	NAVEED HM IDREES (PVT) LIMITED	16-Nov-17	NCCPL/CS/433/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
267	MILLENIUM SECURITIES AND INVESTMENT (PVT) LIMITED	7-Nov-17	NCCPL/CRO/281/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
268	WISDOM SECURITIES (PVT) LIMITED	7-Nov-17	NCCPL/CS/410/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
269	DIN CAPITAL LTD.	7-Nov-17	NCCPL/CRO/279/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
270	SHAIKAT SHAFI SECURITIES (PVT.) LIMITED	1-Nov-17	NCCPL/CRO/277/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
271	SCHON CAPITAL MARKETS LIMITED	1-Nov-17	NCCPL/CS/405/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
272	LUXOR SECURITIES (SMC-PVT) LIMITED	1-Nov-17	NCCPL/CS/402/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
273	K.H.S. SECURITIES (PVT.) LIMITED.	31-Oct-17	NCCPL/CRO/276/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
274	SAFE SECURITIES (PVT) LIMITED	25-Oct-17	NCCPL/CS/394/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
275	PAK MEEZAN SECURITIES (PVT) LIMITED	20-Oct-17	NCCPL/CRO/271/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
276	SUNRISE CAPITAL (PRIVATE) LIMITED	20-Oct-17	NCCPL/CRO/268/17	Further Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
277	STOCKS VISION (PVT) LIMITED	20-Oct-17	NCCPL/CRO/266/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
278	FAITH SECURITIES (PVT) LIMITED	20-Oct-17	NCCPL/CRO/265/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
279	KAYZONE CAPITAL MARKETS (SMC-PVT) LIMITED	20-Oct-17	NCCPL/CRO/264/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
280	SWITCH SECURITIES (PVT) LIMITED	13-Oct-17	NCCPL/CRO/262/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
281	ADAM SECURITIES LIMITED	13-Oct-17	NCCPL/CRO/261/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
282	NETWORTH SECURITIES LIMITED	13-Oct-17	NCCPL/CRO/253/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
283	ADEEL & NADEEM SECURITIES (PVT.) LIMITED	13-Oct-17	NCCPL/CRO/252/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
284	BAWA SECURITIES(PVT.) LIMITED	13-Oct-17	NCCPL/CRO/259/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
285	KHAWAJA SECURITIES (PVT.) LIMITED	13-Oct-17	NCCPL/CRO/871/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
286	MRA SECURITIES LIMITED	13-Oct-17	NCCPL/CRO/257/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
287	NEXT CAPITAL LIMITED	13-Oct-17	NCCPL/CRO/255/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
288	NUA SECURITIES (PVT.) LIMITED	13-Oct-17	NCCPL/CRO/263/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
289	STANDARD CAPITAL (PVT.) LIMITED	13-Oct-17	NCCPL/CRO/256/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
290	ZAFAR MOTI CAPITAL SECURITIES (PVT.) LIMITED	13-Oct-17	NCCPL/CRO/254/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
291	BLACKSTONE EQUITIES (PVT) LIMITED	12-Oct-17	NCCPL/CS/386/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
292	EARTH SECURITIES (PVT) LIMITED	5-Oct-17	NCCPL/CS/378/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
293	FIRST ZEVA (PVT.) LTD.	22-Sep-17	NCCPL/CRO/243/17	Revocation of Clearing Member Pursuant to action taken by PSX
294	AM CHAUDHRY SECURITIES (PVT.) LIMITED	21-Sep-17	NCCPL/CRO/241/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
295	FIRST ZEVA (PVT.) LTD.	21-Sep-17	NCCPL/CRO/242/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
296	INVEST CAPITAL MARKETS LIMITED	15-Sep-17	NCCPL/CRO/237/17	Restriction under Regulation 18.1.1(e), 18.2.2 & 18.3 of NCCPL Regulations, 2015, on account of matters identified under Joint Inspection
297	SMB SECURITIES (PVT) LIMITED	25-Aug-17	NCCPL/CRO/234/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
298	AKD ANALYTICS (PVT) LIMITED	25-Aug-17	NCCPL/CRO/233/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
299	STABLE SECURITIES (PVT) LIMITED	25-Aug-17	NCCPL/CRO/235/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
300	KAUSAR SECURITIES (PVT) LIMITED	22-Aug-17	NCCPL/CS/299/17	NCCPL/CS/299/17
301	PACE INVESTMENT AND SECURITIES (PVT) LIMITED	15-Aug-17	NCCPL/CS/292/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
302	128 SECURITIES (PVT) LTD.	9-Aug-17	NCCPL/CRO/226/17	Revocation of Clearing Member Pursuant to action taken by PSX
303	BRIGHT INVESTMENT AND SECURITIES (PVT) LIMITED	7-Aug-17	NCCPL/CS/284/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
304	128 SECURITIES (PVT) LTD.	3-Aug-17	NCCPL/CRO/220/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
305	JAVED OMAR VOHRA AND COMPANY (PVT) LIMITED	31-Jul-17	NCCPL/CS/273/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
306	AZEE SECURITIES	25-Jul-17	NCCPL/CRO/213/17	Warning issued under Regulation 18.1.1(e) of NCCPL Regulations, 2015 on account of matter pertaining to delay in payment of money obligation
307	DAWOOD EQUITIES LIMITED	25-Jul-17	NCCPL/CRO/214/17	Warning issued under Regulation 18.1.1(e) of NCCPL Regulations, 2015 on account of matter pertaining to delay in payment of money obligation
308	AMCAP SECURITIES (PVT.) LTD.	24-Jul-17	NCCPL/CRO/212/17	Restoration of Clearing Member Pursuant to action taken by PSX
309	S.Z SECURITIES (PVT) LIMITED	18-Jul-17	NCCPL/CRO/210/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
310	QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	5-Jul-17	NCCPL/CS/248/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
311	GLOBAL SECURITIES (PVT) LIMITED	5-Jul-17	NCCPL/CS/250/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
312	AZEE SECURITIES (PRIVATE) LIMITED.	22-Jun-17	NCCPL/CRO/200/17	Revocation of Clearing Member Pursuant to settlement of money obligation
313	MIAN PARVEZ ASLAM SECURITIES (PVT) LIMITED	22-Jun-17	NCCPL/CS/240/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
314	AZEE SECURITIES (PRIVATE) LIMITED.	22-Jun-17	NCCPL/CRO/199/17	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
315	SPINZER EQUITIES (PVT.) LIMITED	19-Jun-17	NCCPL/CRO/140/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
316	ABBASI & COMPANY (PVT.) LIMITED	19-Jun-17	NCCPL/CRO/189/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
317	AKD SECURITIES LIMITED	19-Jun-17	NCCPL/CRO/190/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
318	FORTUNE SECURITIES LIMITED	19-Jun-17	NCCPL/CRO/192/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
319	IGI FINEX LIMITED	19-Jun-17	NCCPL/CRO/191/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
320	TS SECURITIES (PVT.) LIMITED	19-Jun-17	NCCPL/CRO/193/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
321	AZIZ DAWOOD SECURITIES (PVT) LIMITED	16-Jun-17	NCCPL/CRO/197/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
322	TARIO SAYEED SECURITIES (PVT) LIMITED	16-Jun-17	NCCPL/CRO/195/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
323	QASIM MAHMOOD SECURITIES (SMC-PVT) LIMITED	16-Jun-17	NCCPL/CS/229/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
324	MP SECURITIES (PVT) LIMITED	16-Jun-17	NCCPL/CS/228/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
325	AB EQUITIES (PRIVATE) LIMITED	16-Jun-17	NCCPL/CRO/196/17	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of notice issued by SECP
326	DAWOOD EQUITIES LTD.	5-Jun-17	NCCPL/CRO/188/17	Revocation of Clearing Member Pursuant to settlement of money obligation
327	DAWOOD EQUITIES LTD.	5-Jun-17	NCCPL/CRO/187/17	Suspension under Regulation 18.1.1(d) & 18.3 of NCCPL Regulations, 2015 On account of default of money obligation
328	VALLUE STOCK AND COMMODITIES (PVT.) LTD.	1-Jun-17	NCCPL/CRO/186/17	Restriction of access to services on opening of new client accounts, pursuant to action taken by PSX
329	GLOBAL SECURITIES (PVT) LIMITED	1-Jun-17	NCCPL/CS/204/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
330	S A SECURITIES (PVT) LIMITED	30-May-17	NCCPL/CRO/185/17	Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
331	AAU SECURITIES (PVT) LTD.	29-May-17	NCCPL/CRO/181/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
332	AHSAM SECURITIES (PVT.) LIMITED	29-May-17	NCCPL/CRO/183/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
333	ASHFAQ ASHRAF SECURITIES (PVT.) LTD.	29-May-17	NCCPL/CRO/184/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
334	BMS CAPITAL (PVT) LTD.	29-May-17	NCCPL/CRO/174/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
335	CHIPPA SECURITIES (PVT.) LTD.	29-May-17	NCCPL/CRO/175/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
336	FORT SECURITIES (PVT) LTD.	29-May-17	NCCPL/CRO/172/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
337	FORTRESS FINANCIAL SERVICES (PVT.) LIMITED	29-May-17	NCCPL/CRO/171/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
338	H.H.K. SECURITIES (PVT) LTD.	29-May-17	NCCPL/CRO/170/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
339	INTERACTIVE SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/156/17	Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
340	MAC SECURITIES (PRIVATE) LIMITED	29-May-17	NCCPL/CRO/178/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP

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
341	MAS CAPITAL SECURITIES (PVT.) LIMITED	29-May-17	NCCPL/CRO/157/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
342	MOTIWALA SECURITIES (PVT.) LTD.	29-May-17	NCCPL/CRO/159/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
343	PRIME CAPITAL MANAGEMENT (PRIVATE) LIMITED	29-May-17	NCCPL/CRO/168/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
344	R.A. SECURITIES (PVT.) LIMITED	29-May-17	NCCPL/CRO/158/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
345	R.F.J. EQUITY (PRIVATE) LIMITED	29-May-17	NCCPL/CRO/167/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
346	S M SECURITIES (PRIVATE) LIMITED	29-May-17	NCCPL/CRO/166/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
347	SHER CAPITAL EQUITIES (PVT.) LTD.	29-May-17	NCCPL/CRO/164/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
348	SMAC INVESTMENTS (SMC-PVT) LTD.	29-May-17	NCCPL/CRO/163/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
349	SOUTH ASIAN SECURITIES (PRIVATE) LIMITED	29-May-17	NCCPL/CRO/162/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
350	UNION SECURITIES (PVT) LTD.	29-May-17	NCCPL/CRO/161/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
351	VENUS SECURITIES (PVT.) LIMITED	29-May-17	NCCPL/CRO/160/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
352	KHAYYAM SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/169/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
353	ZM CAPITAL (PVT) LIMITED	29-May-17	NCCPL/CRO/159/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
354	MY SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/180/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
355	ABID ALI HABIB SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/182/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
356	JAWED ZAKARIYA GULABI SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/177/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
357	BRIGHT INVESTMENT AND SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/173/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
358	MAN SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/176/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
359	SCHON CAPITAL MARKETS LIMITED	29-May-17	NCCPL/CRO/165/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
360	PINE SECURITIES (SMC-PVT) LIMITED	26-May-17	NCCPL/CRO/153/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
361	ILUXOR SECURITIES (SMC-PVT) LIMITED	26-May-17	NCCPL/CRO/154/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
362	TUMBI SECURITIES (PVT) LIMITED	25-May-17	NCCPL/CS/198/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
363	LIVE SECURITIES LIMITED	25-May-17	NCCPL/CS/200/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
364	FIRST PAKISTAN SECURITIES LIMITED	24-May-17	NCCPL/CS/184/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
365	MIAN PARVEZ ASLAM SECURITIES (PVT) LIMITED	23-May-17	NCCPL/CRO/152/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
366	INFINITE SECURITIES LIMITED	23-May-17	NCCPL/CRO/141/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
367	AMER RIAZ SECURITIES (PVT.) LIMITED	23-May-17	NCCPL/CRO/139/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
368	AZEE SECURITIES PVT LIMITED	23-May-17	NCCPL/CRO/142/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
369	JAMSHAD AND HASAN SECURITIES (PVT.) LIMITED	23-May-17	NCCPL/CRO/143/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
370	PINE SECURITIES (PVT.) LIMITED	23-May-17	NCCPL/CRO/144/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
371	PROGRESSIVE SECURITIES (PVT.) LIMITED	23-May-17	NCCPL/CRO/145/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
372	MUHAMMAD ANAF KAPADIA SECURITIES (SMC-PVT) LIMITED	22-May-17	NCCPL/CS/181/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
373	LIVE SECURITIES LIMITED	12-May-17	NCCPL/CRO/137/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
374	MSD CAPITAL EQUITIES (PVT) LTD.	10-May-17	NCCPL/CRO/134/17	Revocation of Clearing Member Pursuant to action taken by PSX

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
375	MAM SECURITIES (PVT) LIMITED	10-May-17	NCCPL/CRO/135/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL
376	TARIQ SAYEED SECURITIES (PVT) LIMITED	8-May-17	NCCPL/CRO/132/17	Revocation of Clearing Member Pursuant to action taken by CDC & PSX
377	MSD CAPITAL EQUITIES (PVT) LTD.	27-Apr-17	NCCPL/CRO/112/17	Restriction of access to services under Regulation 18.1.1(c), 18.1.1(k) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
378	AMCAP SECURITIES (PVT.) LTD.	25-Apr-17	NCCPL/CRO/111/17	Restoration of sale side transactions of Clearing Member Pursuant to action taken by PSX
379	AMCAP SECURITIES (PVT.) LTD.	5-Apr-17	NCCPL/CRO/97/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
380	AL HAQ SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/88/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
381	PEARL SECURITIES LIMITED	24-Mar-17	NCCPL/CRO/89/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
382	ZAFAR SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/81/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
383	BIPL SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/86/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
384	HMC STOCKS (SMC-PRIVATE) LIMITED	24-Mar-17	NCCPL/CRO/87/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
385	JAYED IQBAL SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/91/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
386	MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES (PVT.)	24-Mar-17	NCCPL/CRO/84/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
387	NEW PEAK SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/83/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
388	PASHA SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/82/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
389	INVEST FORUM (PVT) LIMITED	17-Mar-17	NCCPL/CRO/77/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
390	HK SECURITIES PRIVATE LIMITED	17-Mar-17	NCCPL/CRO/77/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
391	S Z SECURITIES (PVT) LIMITED	14-Mar-17	NCCPL/CRO/66/17	Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
392	TARIQ SAYEED SECURITIES (PVT) LIMITED	7-Mar-17	NCCPL/CRO/64/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
393	AMER SECURITIES (PVT.) LIMITED	3-Mar-17	NCCPL/CRO/50/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
394	ARIF HABIB LIMITED	3-Mar-17	NCCPL/CRO/48/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
395	GENERAL INVESTMENT & SECURITIES (PVT.) LIMITED	3-Mar-17	NCCPL/CRO/48/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
396	GPH SECURITIES (PVT.) LIMITED	3-Mar-17	NCCPL/CRO/51/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
397	KHS SECURITIES (PVT.) LIMITED	3-Mar-17	NCCPL/CRO/47/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
398	M. R. SECURITIES (SMC-PVT) LIMITED	1-Mar-17	NCCPL/CRO/70/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL
399	AWJ SECURITIES (PVT) LIMITED	28-Feb-17	NCCPL/CRO/58/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL
400	UNIVERSAL EQUITIES (PVT) LIMITED	27-Feb-17	NCCPL/CRO/42/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
401	MAM SECURITIES (PVT) LIMITED	20-Feb-17	NCCPL/CRO/44/17	Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
402	SONIA SHAHZAD SECURITIES (PVT) LIMITED	2-Feb-17	NCCPL/CRO/21/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
403	M. R. SECURITIES (SMC-PVT) LIMITED	1-Feb-17	NCCPL/CRO/20/17	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
404	SUNRISE CAPITAL (PRIVATE) LIMITED	30-Jan-17	NCCPL/CS/52/17	Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
405	ZAFAR SECURITIES (PVT) LTD.	30-Jan-17	NCCPL/CS/16/17	Revocation of Clearing Member Pursuant to action taken by CDC
406	ZAFAR SECURITIES (PVT) LTD.	30-Jan-17	NCCPL/CRO/15/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
407	AWJ SECURITIES (PVT) LIMITED	30-Jan-17	NCCPL/CRO/21/17	Suspension under Regulation 18.1.1(c) of NCCPL Regulations, 2015 Pursuant to action taken by CDC
408	ZAFAR MOTI CAPITAL SECURITIES (PVT) LTD.	18-Jan-17	NCCPL/CS/37/17	Revocation of Clearing Member Pursuant to settlement of money obligation
409	ZAFAR MOTI CAPITAL SECURITIES (PVT) LTD.	17-Jan-17	NCCPL/CS/36/17	Suspension under Regulation 18.1.1(d) & 18.3 of NCCPL Regulations, 2015 On account of default of money obligation
410	MASHHADI SECURITIES (PVT) LIMITED	13-Jan-17	NCCPL/CS/33/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
411	AM CHAUDHRY SECURITIES (PVT.) LIMITED	13-Jan-17	NCCPL/CS/34/17	Revocation of Clearing Member Pursuant to action taken by CDC
412	AWJ SECURITIES (PVT) LIMITED	13-Jan-17	NCCPL/CS/31/17	Revocation of Clearing Member Pursuant to settlement of money obligation
413	AWJ SECURITIES (PVT) LIMITED	12-Jan-17	NCCPL/CS/26/17	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
414	R.T SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/19/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
415	CONCORDIA SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/22/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
416	HAMZA FARHAD SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/20/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
417	ZAHID LATIF KHAN SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/21/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
418	HORIZON SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/18/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
419	FIRST STREET CAPITAL (PVT.) LIMITED	9-Jan-17	NCCPL/CS/16/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
420	DRYANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED	6-Jan-17	NCCPL/CS/16/17	Revocation of Clearing Member Pursuant to action taken by CDC
421	S A SECURITIES (PVT) LIMITED	6-Jan-17	NCCPL/CS/15/17	Revocation of Clearing Member Pursuant to action taken by CDC
422	ALLIED SECURITIES (PVT.) LIMITED	2-Jan-17	NCCPL/CS/06/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
423	AB EQUITIES (PRIVATE) LIMITED	2-Jan-17	NCCPL/CS/08/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
424	AKD ANALYTICS (PVT) LIMITED	2-Jan-17	NCCPL/CS/09/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
425	S A SECURITIES (PVT) LIMITED	2-Jan-17	NCCPL/CS/10/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
426	AM CHAUDHRY SECURITIES (PVT.) LIMITED	2-Jan-17	NCCPL/CS/07/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
427	JS GLOBAL CAPITAL LIMITED	2-Jan-17	NCCPL/CS/5/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
428	MMD INVESTMENT (PVT) LIMITED	2-Jan-17	NCCPL/CS/3/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
429	SD MIRZA SECURITIES (PVT.) LIMITED	2-Jan-17	NCCPL/CS/4/17	Warning issued on account of inspection conducted under Joint Inspection Regulations
430	DAWOOD EQUITIES LTD.	20-Dec-16	NCCPL/CS/738/16	Revocation of Clearing Member Pursuant to settlement of money obligation
431	DAWOOD EQUITIES LTD.	19-Dec-16	NCCPL/CS/737/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
432	DAWOOD EQUITIES LTD.	14-Dec-16	NCCPL/CS/725/16	Revocation of Clearing Member Pursuant to settlement of money obligation
433	DAWOOD EQUITIES LTD.	14-Dec-16	NCCPL/CS/724/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
434	AM CHAUDHRY SECURITIES (PVT.) LIMITED	7-Dec-16	NCCPL/CS/715/16	Revocation of Clearing Member Pursuant to action taken by PSX
435	AM CHAUDHRY SECURITIES (PVT.) LIMITED	30-Nov-16	NCCPL/CS/702/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
436	PARAMOUNT SECURITIES (PVT) LIMITED	28-Nov-16	NCCPL/CS/697/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
437	MALIK SECURITIES (PVT) LIMITED	28-Nov-16	NCCPL/CS/696/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
438	INVEST FORUM (SMC-PVT) LIMITED	17-Nov-16	NCCPL/CS/681/16	Revocation of Clearing Member Pursuant to action taken by PSX
439	FIRST PUNJAB MODARBA	14-Nov-16	NCCPL/CS/668/16	Termination under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
440	TAHA SECURITIES (PVT) LIMITED	3-Nov-16	NCCPL/CS/628/16	Termination under Regulation 18.1.1(i) of NCCPL Regulations, 2015 On account of Self Termination
441	ABID INVESTMENTS (PVT) LIMITED	3-Nov-16	NCCPL/CS/626/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
442	FORT INVESTMENT (PVT) LIMITED	3-Nov-16	NCCPL/CS/629/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
443	MYFM EQUITIES (PVT) LIMITED	3-Nov-16	NCCPL/CS/627/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
444	JCR CAPITAL SECURITIES (PVT) LTD.	1-Nov-16	NCCPL/CS/624/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
445	SIS SECURITIES (PVT) LIMITED	26-Oct-16	NCCPL/CS/582/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
446	H. P. BYRAMJI & CO. (PVT) LIMITED	18-Oct-16	NCCPL/CS/547/16	Revocation of Clearing Member Pursuant to action taken by CDC
447	H. P. BYRAMJI & CO. (PVT) LIMITED	14-Oct-16	NCCPL/CS/533/16	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
448	AZIZ DAWOOD SECURITIES (PVT) LIMITED	13-Oct-16	NCCPL/CS/528/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
449	ESCORTS CAPITAL LIMITED	13-Oct-16	NCCPL/CS/525/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
450	OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED	13-Oct-16	NCCPL/CS/526/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
451	PAK MEEZAN SECURITIES (PVT) LIMITED	13-Oct-16	NCCPL/CS/527/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
452	STOCKS VISION (PVT) LIMITED	13-Oct-16	NCCPL/CS/529/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
453	PROSPERITY SECURITIES (SMC-PVT) LIMITED	7-Oct-16	NCCPL/CS/523/16	Termination under Regulation 18.1.1(a) & 18.1.1(b) of NCCPL Regulations, 2015 On account of notice issued by SECP
454	STAR SECURITIES (PVT) LIMITED	6-Oct-16	NCCPL/CS/519/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination