National Clearing Company of Pakistan Limited
Disciplinary actions taken against the TRE Certificate Holders

lo Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
Vector Securities (Pvt.) Limited	17-Nov-23		Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
MGM Securities (Pvt.) Limited	17-Nov-23		Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
MAS Commodities (Pvt.) Limited	24-Oct-23		Revocation of Suspension of the Authorized Intermediary Pursuant to action taken by PMEX
Ayub Chaudhry Investments (Pvt.) Limited	20-Oct-23	NCCPL/CS/251/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Amer Securities (Pvt.) Limited	20-Oct-23	NCCPL/CS/250/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Galaxy Capital Securities (Pvt.) Limited	20-Oct-23	NCCPL/CS/252/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Adam Securities (Pvt.) Limited	18-Oct-23	NCCPL/CS/248/23	Termination of Murabaha Share Financing and Financee Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
First National Equities Limited	17-Oct-23	NCCPL/CRO/224/23	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 7B.2.4 of NCCPL Regulations, 2015.
Alfalah Asset Management Limited - Alfalah GHP Pension Fund &	17-Oct-23	NCCPL/CS/247/23	Termination of Non Broker Clearing Member Debt Market accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Alfalah GHP Islamic Pension Fund - Debt Sub Fund	17-000-23	NCCF E/C3/247/23	Termination of Not bloke: Cleaning Weinber Debt Warket accounts under Regulation 10.1.1(1) & 10.3 of Nect E Regulations, 2013 of account of Sen Termination
MAS Commodities (Pvt.) Limited	16-Oct-23	NICCDI /CDO/222/22	Suspension as Authorized Intermediary under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX
Next Capital Limited - LSI	6-Oct-23		
Akhai Securities (Pvt.) Limited - TRR	6-Oct-23	NCCPL/CRO/221/23	Warning Issued under Regulation 14.1 of NCCPI Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPI Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Hamza Farhad Securities (Pvt.) Limited	6-Sep-23		Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 and 18.2 of NCCPL Regulations, 2015
92 Markets (Pvt.) Limited	1-Sep-23		Suspension as Authorized Intermediary under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX
CMA Securities (Pvt.) Limited	18-Aug-23		Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Progressive Securities (Pvt.) Limited	18-Aug-23	NCCPL/CS/200/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Alpha Capital (Pvt.) Limited	27-Jul-23		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	27-Jul-23		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
Darson Securities (Pvt.) Limited	27-Jul-23		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
Msmaniar Financials (Pvt.) Limited	27-Jul-23		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
KTrade Securities Limited	27-Jul-23	NCCPL/CRO/155/23	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
Zafar Securities (Pvt.) Limited	27-Jul-23	NCCPL/CRO/154/23	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
K & I Global Capital (Pvt.) Limited	21-Jul-23	NCCPL/CS/184/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Strongman Securities (Pvt.) Limited	21-Jul-23	NCCPL/CS/183/23	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Millennium Brokerage (Pvt.) Limited	21-Jul-23	NCCPL/CS/182/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Dattoo Securities (Pvt.) Limited	19-Jul-23	NCCPL/CS/181/23	Termination of Broker Clearing Member account under Regulation 18.1.1(j) & 18.3 of NCCP. Regulations, 2015 on account of Self Termination
CAMCO (Pvt.) Limited	18-Jul-23		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPI Regulations, 2015 on tactin taken by PSX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPI Regulations, 2015 pursuants, 2015 on taken by PSX
Saao Capital (Pvt.) Limited	18-Jul-23 17-Jul-23	NCCPL/CS/177/23	Restriction to access to Services under regulation 16.1.1(10 & 18.5.) on NCCPT Regulations, 2015 Pursuant access to account and Regulation and August Restriction to access to Service under regulation and Margin Rinancing Cleaning Member account under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on
Saz Capital (PVt.) Limited Saz Capital Securities (Pvt.) Limited - Audit of CM	7-Jul-23	NCCPL/CS/177/23 NCCPL/CRO/152/23	Hermination to Broker Clearing werniber account aris margin minarcing clearing werniber account of self-remination with the control of the co
First Choice Securities Ltd - Audit of CM	7-Jul-23	NCCPL/CRO/151/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
AM Chaudhry Securities (Pvt.) Limited	23-Jun-23		Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Sethi Securities (Pvt.) Limited	23-Jun-23	NCCPL/CS/160/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Moneyline Securities (Pvt.) Limited	23-Jun-23	NCCPL/CS/159/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
M.M. Securities (Pvt.) Limited	16-Jun-23	NCCPL/CRO/148/23	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 7B.2.4 of NCCPL Regulations, 2015.
N. U. A Securities (Pvt.) Limited	16-Jun-23	NCCPL/CRO/147/23	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 7B.2.4 of NCCPL Regulations, 2015.
Spinzer Equities (Pvt.) Limited - Audit of CM	16-Jun-23	NCCPL/CRO/146/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
Seven Star Securities (Pvt.) Limited - LSI	16-Jun-23	NCCPL/CRO/145/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Alfalah CLSA Securities (Pvt.) Limited	16-Jun-23		Warning issued and penalty imposed under Regulation 14.3 of NCCPL Regulations, 2015 on account of show-cause notice issued for default of money obligation
Arif Latif Securities (Pvt.) Limited - Audit of CM	16-Jun-23	NCCPL/CRO/142/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
Msmaniar Financials (Pvt.) Limited - Audit of CM	16-Jun-23		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
H.M. Idrees H Adam Securities (Pvt.) Limited - Audit of CM	16-Jun-23	NCCPI /CRO/140/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	16-Jun-23	NCCPL/CRO/139/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations
Ayub Chaudhry Investments (Pvt.) Limited - Audit of CM Askari Securities Limited - Audit of CM	16-Jun-23		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
Dosslanis Securities (Pvt.) Limited	9-Jun-23	NCCPL/CS/149/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self-request for closure of account due to appointment of PCM
Venus Securities (Pvt.) Limited	9-Jun-23	NCCPL/CS/148/23	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
	2-Jun-23	NCCPL/CS/142/23	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCIP. Regulations, 2015 upon self-request for closure of account due to appointment of PCM
	2-Jun-23	NCCPL/CS/141/23	
Gul Dhami Securities (Pvt.) Limited UBL Fund Managers Limited - UBL Pakistan Enterprise Exchange	2-Jun-23 2-Jun-23		Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM Termination of Non Broker Clearing Member account under Regulation 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of Account of Self Termination of Account of Self Termina
	2-Jun-23	NCCPL/CS/140/23	Termination of Non-Broker Clearing Member account under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self-Termination
Traded Fund			
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NBP Fund Management Limited - NBP Islamic Active Allocation Equity	31-May-23	NCCPL/CS/137/23	Termination of Non Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Fund	· ·		
Fund Askari Securities Limited	26-May-23	NCCPL/CS/133/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 due to amalgamation/merger on account of Self Termination
Fund Askari Securities Limited CMA Securities (Pvt.) Limited	26-May-23 19-May-23	NCCPL/CS/133/23 NCCPL/CRO/135/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 due to amalgamation/merger on account of Self Termination Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
Fund Askari Securities Limited CMA Securities (Pvt.) Limited Xpert Securities Limited	26-May-23 19-May-23 17-May-23	NCCPL/CS/133/23 NCCPL/CRO/135/23 NCCPL/CS/126/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 due to amalgamation/merger on account of Self Termination Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Fund Askari Securities Limited CMA Securities [Pvt.] Limited Xpert Securities Limited Xpert Securities Limited Addel & Nadeen Securities (Pvt.) Limited	26-May-23 19-May-23 17-May-23 20-Apr-23	NCCPL/CS/133/23 NCCPL/CRO/135/23 NCCPL/CS/126/23 NCCPL/CS/106/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 due to amalgamation/merger on account of Self Termination Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination of Broker Clearing Member account under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Fund Askari Securities Limited CMA Securities (Pvt.) Limited Xpert Securities Limited Adeel & Nadeem Securities (Pvt.) Limited Mmaniar Financials (Pvt.) Limited	26-May-23 19-May-23 17-May-23 20-Apr-23 20-Apr-23	NCCPL/CS/133/23 NCCPL/CRO/135/23 NCCPL/CS/126/23 NCCPL/CS/106/23 NCCPL/CRO/119/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 due to amalgamation/merger on account of Self Termination Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination of Broker Clearing Member account under Regulation 18.1.1(i), 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
Fund Askari Securities Limited CMA Securities (Pvt.) Limited Xpert Securities Limited Apeel R Nadeen Securities (Pvt.) Limited Memaniar Financials (Pvt.) Limited Memaniar Financials (Pvt.) Limited Ard Latif Securities (Pvt.) Limited	26-May-23 19-May-23 17-May-23 20-Apr-23 20-Apr-23 12-Apr-23	NCCPL/CS/133/23 NCCPL/CRO/135/23 NCCPL/CS/126/23 NCCPL/CS/106/23 NCCPL/CRO/119/23 NCCPL/CRO/115/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 due to amalgamation/merger on account of Self Termination Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination of Broker Clearing Member account under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Restriction of access to services under Regulation 18.1.1(j) & 18.1.3 of NCCPL Regulations, 2015 on account of Self Termination Restriction of access to services under Regulation 18.1.1(j) & 18.1.3 of NCCPL Regulations, 2015 upon self restricts for closure of account due to appointment of PCM Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Fund Askari Securities Limited CMA Securities (Pvt.) Limited Xpert Securities Limited Addeel & Nadeen Securities (Pvt.) Limited Msmaniar Financials (Pvt.) Limited Anf Latif Securities (Pvt.) Limited - TRR Trust Securities & Brokerage Limited - TRR	26-May-23 19-May-23 17-May-23 20-Apr-23 20-Apr-23 12-Apr-23 12-Apr-23	NCCPL/CS/133/23 NCCPL/CRO/135/23 NCCPL/CS/126/23 NCCPL/CS/106/23 NCCPL/CRO/119/23 NCCPL/CRO/115/23 NCCPL/CRO/114/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 due to amalgamation/merger on account of Self Termination Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination of Broker Clearing Member account under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 under sold for closure of account due to appointment of PCM Revocation of Restriction of the Clearing Member pursuant to action taken by PSX 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 onducted under Joint Inspection Regulations
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Fund Askari Securities Limited CMA Securities (Pvt.) Limited Xpert Securities Limited Adeel & Nadeem Securities (Pvt.) Limited Msmaniar Financials (Pvt.) Limited Msmaniar Financials (Pvt.) Limited Anfi Latif Securities (Pvt.) Limited - TRR Trust Securities & Brokerage Limited - TRR Friendly Securities (Pvt.) Limited - TRR Zahid Latif Khan Securities (Pvt.) Limited Value Stock & Commodities (Pvt.) Limited Value Stock & Commodities (Pvt.) Limited Bawany Securities (Pvt.) Limited Pograesiave Securities (Pvt.) Limited Pearl Securities (Pvt.) Limited Pearl Securities (Pvt.) Limited Pearl Securities (Pvt.) Limited Pearl Securities (Pvt.) Limited Finichers Securities (Pvt.) Limited Finichers Securities (Pvt.) Limited Brains Securities (Pvt.) Limited	26-May-23 19-May-23 17-May-23 20-Apr-23 20-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24	NCCPL/CS/133/23 NCCPL/CRO/135/23 NCCPL/CRO/135/23 NCCPL/CS/126/23 NCCPL/CS/106/23 NCCPL/CS/106/23 NCCPL/CRO/119/23 NCCPL/CRO/113/23 NCCPL/CRO/113/23 NCCPL/CRO/113/23 NCCPL/CRO/113/23 NCCPL/CRO/111/23 NCCPL/CRO/111/23 NCCPL/CRO/109/23 NCCPL/CRO/109/23 NCCPL/CRO/109/23 NCCPL/CRO/109/23 NCCPL/CRO/109/23 NCCPL/CRO/100/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 due to amalgamation/merger on account of Self Termination Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Restriction of access to services under Regulation 18.1.1(i) & 18.1.
Fund Askari Securities Limited CMA Securities (Pvt.) Limited Xpert Securities Limited Adeel & Nadeem Securities (Pvt.) Limited Msmaniar Financials (Pvt.) Limited Msmaniar Financials (Pvt.) Limited Anfi Latif Securities (Pvt.) Limited	26-May-23 19-May-23 17-May-23 17-May-23 20-Apr-23 20-Apr-23 12-Apr-23 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24	NCCPL/CS/133/23 NCCPL/CS/135/23 NCCPL/CS/126/23 NCCPL/CS/126/23 NCCPL/CS/106/23 NCCPL/CS/106/23 NCCPL/CS/106/23 NCCPL/CS/119/23 NCCPL/CS/119/23 NCCPL/CS/113/23 NCCPL/CS/113/23 NCCPL/CS/113/23 NCCPL/CS/113/23 NCCPL/CS/111/23 NCCPL/CS/111/23 NCCPL/CS/111/23 NCCPL/CS/100/23 NCCPL/CS/100/23 NCCPL/CS/100/23 NCCPL/CS/100/23 NCCPL/CS/100/23 NCCPL/CS/105/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 due to amalgamation/merger on account of Self Termination Restriction of access to services under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Restriction of access to services under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Restriction of access to services under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 upon self represented for closure of account due to appointment of PCM Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations 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 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 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 Warning Issued under
Fund Askari Securities Limited CMA Securities (Pvt.) Limited Xpert Securities Limited Adeel & Nadeem Securities (Pvt.) Limited Msmaniar Financials (Pvt.) Limited Msmaniar Financials (Pvt.) Limited Anfit Latif Securities (Pvt.) Limited - TRR Trust Securities & Brokerage Limited - TRR Friendly Securities (Pvt.) Limited - TRR Zahid Latif Khan Securities (Pvt.) Limited Value Stock & Commodities (Pvt.) Limited Value Stock & Commodities (Pvt.) Limited N. U. A. Securities (Pvt.) Limited Rawany Securities (Pvt.) Limited Rawany Securities (Pvt.) Limited Rawany Securities (Pvt.) Limited Rawany Securities (Pvt.) Limited Next Capital (Pvt.) Limited Progressive Securities (Pvt.) Limited Next Capital Limited (Pvt.) Limited Next Capital Limited (Pvt.) Limited Rains Securities (Pvt.) Limited Rains Securities (Pvt.) Limited Brains Securities (Pvt.) Limited	26-May-23 19-May-23 17-May-23 20-Apr-23 20-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 12-Apr-23 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24 13-Apr-24	NCCPL/CS/133/23 NCCPL/CS/135/23 NCCPL/CS/126/23 NCCPL/CS/126/23 NCCPL/CS/106/23 NCCPL/CS/106/23 NCCPL/CS/106/23 NCCPL/CS/119/23 NCCPL/CS/111/23 NCCPL/CS/111/23 NCCPL/CS/111/23 NCCPL/CS/111/23 NCCPL/CS/111/23 NCCPL/CS/111/23 NCCPL/CS/110/23 NCCPL/CS/100/23 NCCPL/CS/19/23 NCCPL/CS/19/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 due to amalgamation/merger on account of Self Termination Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Restriction of access to services under Regulation 18.1.1(i) & 18.1.

S. No Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
78 MoneyLine Securities (Pvt.) Limited	21-Mar-23	NCCPL/CRO/96/23	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
79 K & I Global Capital (Pvt.) Limited	21-Mar-23	NCCPL/CRO/95/23	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
80 Abbasi & Company (Pvt.) Limited	21-Mar-23		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
81 Pasha Securities (Pvt.) Limited	17-Mar-23	NCCPL/CS/82/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
82 Mannoo Capital (Pvt.) Limited	17-Mar-23	NCCPL/CS/81/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
83 A.S. Securities (Pvt.) Limited 84 A.S. Securities (Pvt.) Limited	17-Mar-23 16-Mar-23	NCCPL/CRO/91/23 NCCPL/CRO/90/23	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Restriction of access to services under Regulation IS.1.1(b) & 13.5 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
85 Equity Master Securities (Pvt.) Limited	16-Mar-23	NCCPL/CRO/89/23	Restriction of access to services under Regulations 18.1.1(b) & 0.5.8 of NCCP in Regulations, 2022 ruisation to decess to services under Regulations 10.1.1(b) & 0.5.8 of NCCP in Regulations, 2022 ruisation to decess to services under Regulations 10.1.1(b) & 0.5.8 of NCCP in Regulations, 2022 ruisation to decess to services under Regulations 10.1.1(b) & 0.5.8 of NCCP in Regulations, 2022 ruisation to decess to services under Regulations 10.1.1(b) & 0.5.8 of NCCP in Regulations, 2023 ruisation to decess to services under Regulations 10.1.1(b) & 0.5.8 of NCCP in Regulations, 2023 ruisation to decess to services under Regulations 10.1.1(b) & 0.5.8 of NCCP in Regulations, 2023 ruisation to decess to services under Regulations 10.1.1(b) & 0.5.8 of NCCP in Regulations, 2023 ruisation to decess to services under Regulations 10.1.1(b) & 0.5.8 of NCCP in Regulations, 2023 ruisation to decess to services under Regulations 10.1.1(b) & 0.5.8 of NCCP in Regulations, 2023 ruisation to decess to services under Regulations 10.1.1(b) & 0.5.8 of NCCP in Regulations, 2023 ruisation to decess to services under Regulations 10.1.1(b) & 0.5.8 of NCCP in Regulations, 2023 ruisation to decess to services under Regulations, 2023 ruisation to decess to services under Regulations, 2023 ruisation to decess to services under Regulations, 2023 ruisation to decess to services and 2023 ruisation to decess to service under Regulations, 2023 ruisation to decess to services and 2023 ruisation to decess to service under Regulations, 2023 ruisation to decess to services and 2023 ruisation to decess to service under Regulations, 2023 ruisation to decess to service under Regulation to decess to service under Regulations, 2023 ruisation to decess to service under Regulation to deces
86 Enrichers Securities (Pvt.) Limited	16-Mar-23		Restriction of access to service under Regulation 3.0.1.1(b) 8.18.3 of NCC1 Regulations, 20.519 Fursuant to action taken by PSX Restriction of access to service under Regulation 3.0.1.1(b) 8.18.3 of NCC1 Regulations, 20.519 Fursuant to action taken by PSX
87 Msmaniar Financials (Pvt.) Limited	16-Mar-23	NCCPL/CRO/87/23	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
88 Shaffi Securities (Pvt.) Limited	16-Mar-23	NCCPL/CRO/86/23	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 7B.2.4 of NCCPL Regulations, 2015.
89 Aba Ali Habib Securities (Pvt.) Limited -LSI	13-Mar-23	NCCPL/CRO/84/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
90 Shajar Capital Pakistan (Pvt.) Limited - LSI	13-Mar-23	NCCPL/CRO/79/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
91 Shajar Capital Pakistan (Pvt.) Limited - TRR	13-Mar-23	NCCPL/CRO/80/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
92 FDM Capital Securities (Pvt.) Limited - LSI	13-Mar-23		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
93 Abbasi & Company (Pvt.) Limited - TRR	13-Mar-23	NCCPL/CRO/82/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
94 Xpert Securities Limited 95 RAH Securities (Pvt.) Limited	9-Mar-23 17-Feb-23	NCCPL/CRO/83/23 NCCPL/CS/56/23	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
96 Mannoo Capital (Pvt.) Limited	17-Feb-23	NCCPL/CRO/78/23	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
97 Mannoo Capital (Pvt.) Limited	16-Feb-23	NCCPL/CRO/77/23	Restriction of access to services under Regulation 18.1.1[b] & 18.3 of NCCP. Regulations, 2015 Pursuant to action taken by PSX
98 We Financials Services Limited	15-Feb-23	NCCPL/CS/49/23	Termination of Margin Financier Clearing Member account under Rule 12 of the Rules and Regulation 7.8.2.4 of NCCPL Regulations, 2015
99 Asian Securities Limited	14-Feb-23	NCCPL/CS/52/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
100 Market 786 (Pvt.) Limited	8-Feb-23	NCCPL/CS/46/23	Termination of Broker Clearing Member, Margin Financing Clearing Member and Debt Market Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
100			
101 DJM Securities Limited - TRR	3-Feb-23	NCCPL/CRO/15/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
102 Kosmopolitan Securities (Pvt.) Limited - TRR	3-Feb-23	NCCPL/CRO/14/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
103 Ayub Chaudhry Investments (Pvt.) Limited - LSI	3-Feb-23	NCCPL/CRO/13/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
104 JSK Securities Limited - LSI	3-Feb-23	NCCPL/CRO/12/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
105 Seven Star Securities (Pvt.) Limited 106 Q. Ain khanani Securities (Pvt.) Limited	3-Feb-23 2-Feb-23	NCCPL/CS/44/23 NCCPL/CS/43/23	Termination of Margin Financier Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination of Margin Financier Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination of Board Financiar Clearing Members account under Regulation 18.1.1(ii) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
DALL Conversation (Dust) Limited	25-Jan-23	NCCPL/CS/39/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination of Margin Financier, Margin Financee, Trading Financier, Trading Financee and Securities Lending and borrowing systems accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on
107 RAH Securities (PVI.) Limited	25 3011 25	14001 6/05/55/25	account of Self Termination
108 Lakhani Securities (Pvt.) Limited	25-Jan-23	NCCPL/CS/38/23	Termination of Broker Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
109 CMA Securities (Pvt.) Limited	18-Jan-23	NCCPL/CRO/09/23	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
110 Saao Capital (Pvt.) Limited	18-Jan-23	NCCPL/CRO/8/23	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
111 Saao Capital (Pvt.) Limited	17-Jan-23	NCCPL/CRO/07/23	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
112 Merchant Investments (Pvt.) Limited	13-Jan-23	NCCPL/CS/25/23	Termination of Broker Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
113 ACM Global (Pvt.) Limited	30-Dec-22	NCCPL/CRO/262/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
114 GPH Securities (Pvt.) Limited	16-Dec-22	NCCPL/CS/336/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
115 High Land Securities (Pvt.) Limited	16-Dec-22	NCCPL/CS/335/22	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g), 8.18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
116 Galaxy Capital Securities (Pvt.) limited 117 Khawaja Securities (Pvt.) Limited	6-Dec-22		Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Description of Restriction of the Clearing Member pursuant to action taken by PSX Description of Restriction of the Clearing Member pursuant to action taken by PSX Description of Restriction of the Clearing Member pursuant to action taken by PSX Description of Restriction of the Clearing Member pursuant to action taken by PSX Description of Restriction of the Clearing Member pursuant to action taken by PSX Description of Restriction of the Clearing Member pursuant to action taken by PSX Description of Restriction of the Clearing Member pursuant to action taken by PSX Description of Restriction of the Clearing Member pursuant to action taken by PSX Description of Restriction of the Clearing Member pursuant to action taken by PSX Description of Restriction of the Clearing Member pursuant to action taken by PSX Description of Restriction of Restricti
118 Galaxy Capital Securities (Pvt.) limited	1-Dec-22 1-Dec-22	NCCPL/CRO/234/22	Revocation of Restriction of the Clearing Member pursuant to submission of audited LC Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCP. Regulations, 2015 Pursuant to action taken by PSX
119 Khawaja Securities (Pvt.) Limited	29-Nov-22	NCCPL/CRO/232/22	
120 Millennium Brokerage (Pvt.) Limited - LSI	25-Nov-22		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
121 MRA Securities Limited - LSI	25-Nov-22	NCCPL/CRO/229/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
122 Royal Securities (Pvt.) Limited	15-Nov-22	NCCPL/CRO/227/22	Suspension as Authorized Intermediary under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX
123 Asad Mustafa Securities (Pvt.) Limited	15-Nov-22		Suspension as Authorized Intermediary under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX
124 Azee Securities (Pvt.) Limited	15-Nov-22		Suspension as Authorized Intermediary under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX
125 A.S. Securities (Pvt.) Limited	10-Nov-22		Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
126 Value Stock & Commodities (Pvt.) Limited	31-Oct-22		Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 7B.2.4 of NCCPL Regulations, 2015.
127 ASDA Securities (Pvt.) Limited	18-Oct-22		Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 78.2.4 of NCCPL Regulations, 2015.
128 Xpert Securities Limited 129 Aziz Fidahusein & Company (Pvt.) Limited	11-Oct-22 6-Oct-22	NCCPL/CRO/214/22 NCCPL/CS/289/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Termination under Regulation 18.1.1(b) 8.13 of MCCPL Regulations, 2015 Pursuant to action taken by PSX
130 Value Stock & Commodities (Pvt.) Limited	3-Oct-22		Revocation of Restriction of access to services as Margin financier pursuant to submission of unaudited LC
131 Cedar Capital (Pvt.) Limited	12-Sep-22		Termination of Margin Financier Clearing Member and Trading Financier Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
132 Ocean Securities Limited	31-Aug-22		Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
133 ASDA Securities (Pvt.) Limited	17-Aug-22		Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
134 Ocean Securities Limited	16-Aug-22	NCCPL/CRO/207/22	
135 ASDA Securities (Pvt.) Limited	16-Aug-22	NCCPL/CRO/206/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
136 Value Stock & Commodities (Pvt.) Limited	16-Aug-22	NCCPL/CRO/205/22	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 7B.2.4 of NCCPL Regulations, 2015.
137 Horizon Securities Limited	16-Aug-22		Restriction of access to services as Margin Financier under Rule 11(1a) and as Trading Financier under Rule 19(1a) of the Rules and Regulations & 7B.2.4 and 7C.2.4 of NCCPL Regulations, 2015.
138 AKD Securities Limited (Formerly: BIPL Securities Limited)	10-Aug-22	NCCPL/CRO/203/22	
139 Zafar Moti Capital Securities (Pvt.) Limited	10-Aug-22	NCCPL/CRO/192/22	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
140 Investment Managers Securities (Pvt.) Limited	10-Aug-22		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
141 Bawany Securities (Pvt.) Limited	10-Aug-22		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
 142 Alfalah CLSA Securities (Pvt.) Limited 143 Msmaniar Financials (Pvt.) Limited 	10-Aug-22	NCCPL/CRO/189/22	Warning issued under Regulation 14.3 of NCCPL Regulations, 2015 on account of show-cause notice issued for default of money obligation 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
144 Akhai Securities (Pvt.) Limited	10-Aug-22 10-Aug-22		Warring issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cases notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warring issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cases notice issued under Regulation 14.5 of NCCPL Regulations, 2015
145 Friendly Securities (Pvt.) Limited	10-Aug-22		Warning issued and penalty imposed under regulation 14.1 of NCCPL regulations, 2015 on account of show cases mortic issued under Regulation 14.1 of NCCPL regulations, 2015 on account of show cases mortic issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cases mortic issued under Regulation 14.5 of NCCPL Regulations, 2015
146 RAH Securities (Pvt.) Limited	10-Aug-22	NCCPL/CRO/179/22	Warning issued and permity imposed under regulation 4.4.0 ProCPL Regulations, 2015 on account of show caused under Regulation 14.1.0 ProCPL Regulations, 2015 on account of show caused under Regulation 14.1.0 ProCPL Regulations, 2015 on account of show caused under Regulation 14.2.0 ProCPL Regulations, 2015 on account of show caused under Regulation 14.2.0 ProCPL Regulations, 2015
147 SAAO Capital (Pvt.) Limited	10-Aug-22	NCCPL/CRO/178/22	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
148 S.D. Mirza Securities (Pvt.) Limited	5-Aug-22	NCCPL/CS/242/22	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
149 All Habib Asset Management Limited - Islamic Income Fund & Asset Allocation Fund	t 4-Aug-22	NCCPL/CS/241/22	Termination of Non Broker and Trading Financier Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
150 Fairtrade Capital Securities (Pvt.) Limited	22-Jul-22	NCCPL/CS/232/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
151 Khawaja Securities (Pvt.) Limited	22-Jul-22	NCCPL/CRO/176/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
151 Khawaja Securities (Pvt.) Limited 152 Khanani Securities (Pvt.) Limited	19-Jul-22	NCCPL/CRO/174/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
151 Khawaja Securities (Pvt.) Limited		NCCPL/CRO/174/22 NCCPL/CRO/172/22	Revocation of Restriction of the Clearing Member pursain to action taken by PSX Revocation of Restriction of the Clearing Member pursain to action taken by PSX Revocation of Restriction of the Clearing Member pursain to action taken by PSX Revocation of Restriction of the Clearing Member pursain to action taken by PSX Revocation of Restriction of access to services as Margin Financier and Trading Financier pursaint to submission of unaudited LC

No Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
Khanani Securities (Pvt.) Limited	18-Jul-22	NCCPL/CRO/169/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
Fairtrade Capital Securities (Pvt.) Limited	18-Jul-22	NCCPL/CRO/168/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
B Khawaja Securities (Pvt.) Limited	18-Jul-22	NCCPL/CRO/167/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
9 Xpert Securities Limited	18-Jul-22		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
0 MRA Securities Limited	13-Jul-22		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.) Ltd Khawaja Securities (Pvt.) Ltd	13-Jul-22 13-Jul-22		Warning issued under Regulation 14.1 of NCCPI. Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPI. Regulations, 2015 Warning issued under Regulation 14.1 of NCCPI. Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPI. Regulations, 2015
First Equity Modaraba	13-Jul-22 13-Jul-22		warning issued under regulation 14.1 of NCCF, regulations, 2015 on account of show cause notice issued under regulation 14.5 of NCCF, regulations, 2015 Maring issued under Regulation 14.1 of NCCF, Regulations, 2015 Maring issued under Regulation 14.1 of NCCF, Regulations, 2015
4 Dosslani's Securities (Pvt.) Ltd	13-Jul-22 13-Jul-22		warning issued under Regulation 14.1 of NCLPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCLPL Regulations, 2015 Warning issued under Regulation 14.1 of NCLPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCLPL Regulations, 2015
5 Zillion Capital Securities (Pvt.) Ltd	13-Jul-22		Warning issued under Regulation 14.1 of NCCP L Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
6 Gazipura Securities & Services (Pvt.) Limited	13-Jul-22		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
7 128 Securities (Pvt.) Limited	1-Jul-22	NCCPL/CS/214/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
8 First Equity Modaraba - Audit of CM	24-Jun-22		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
9 Trust Securities & Brokerage Limited - Audit of CM	24-Jun-22		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
Dawood Equities Limited - Audit of CM	24-Jun-22		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
Cedar Capital (Private) Limited - Audit of CM	24-Jun-22		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
2 Khawaja Securities (Private) Limited - Audit of CM	24-Jun-22	NCCPL/CRO/146/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
3 Ismail Iqbal Securities (Private) Limited - Audit of CM	24-Jun-22		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations
4 Gul Dhami Securities (Private) Limited - Audit of CM 5 Baba Equities (Private) Limited - Audit of CM	24-Jun-22 24-Jun-22	NCCPL/CRO/144/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
Baba Equities (Private) Limited - Audit of CM BMA Chundrigar Road Saving Fund	24-Jun-22 23-Jun-22		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations Termination of Non Broker, Debt Market and MTS Financier Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Akhai Securities (Private) Limited	21-Jun-22		Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
B Akhai Securities (Private) Limited	17-Jun-22		Restriction of access to services under Regulation 18.1.1[b] & 18.3 of NCPA Regulations, 2015 Pursuant to action taken by PSX
9 Azee Securities (Private) Limited	6-Jun-22	NCCPL/CRO/129/22	Revocation of Suspension of the Clearing Membra pursuant to settlement of money obligation
Azee Securities (Private) Limited	6-Jun-22	NCCPL/CRO/128/22	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
1 AWT Income Fund/AWT Asset Allocation Fund	6-Jun-22	NCCPL/CS/192/22	Termination of Non Broker and Debt Market Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
2 Azee Securities (Pvt.) Limited	30-May-22	NCCPL/CRO/126/22	Revocation of Suspension of the Clearing Member pursuant to action taken by PSX
3 Azee Securities (Pvt.) Limited	24-May-22	NCCPL/CRO/121/22	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
4 HMC Stocks (Pvt.) Limited	23-May-22		Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
5 B & B Securities (Pvt.) Limited	19-May-22	NCCPL/CRO/117/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
6 B & B Securities (Pvt.) Limited	17-May-22		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
7 HMC Stocks (Pvt.) Limited	17-May-22		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
8 Horizon Securities Limited	17-May-22		Restriction of access to services as Margin Financier under Rule 11(1a) and as Trading Financier under Rule 19(1a) of the Rules and Regulations & 78.2.4 and 7C.2.4 of NCCPL Regulations, 2015.
9 ASDA Securities (Pvt.) Limited	17-May-22		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.
0 Askari Asset Allocation Fund 1 Dawood Equities Limited	16-May-22 11-May-22	NCCPL/CS/138/22	Termination of Non Broker, Debt Market and MTS Financier Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
2 Dawood Equities Limited	11-May-22		Suspension under Regulation 18.1.1(d) of MCPUR Regulations, 2015 on account of default of money obligation
3 AWT Islamic Income Fund	29-Apr-22	NCCPL/CS/129/22	Termination of Non Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
4 Fikree's (Pvt.) Limited	20-Apr-22		Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
5 AKD Securities (Pvt.) Limited	19-Apr-22		Admonished under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
6 Akhai Securities (Pvt.) Limited	19-Apr-22	NCCPL/CRO/79/22	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 Apex Capital Securities (Pvt.) Limited	19-Apr-22	NCCPL/CRO/78/22	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 Fikree's (Pvt.) Limited	18-Apr-22	NCCPL/CRO/81/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
99 Moneyline Securities (Pvt.) Limited	12-Apr-22		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.
O Shajar Capital Pakistan (Pvt.) Limited	12-Apr-22	NCCPL/CS/120/22	Restriction of access to services as Margin Financier under Rule 11(1a) and as Trading Financier under Rule 19(1a) of the Rules and Regulations & 7B.2.4 and 7C.2.4 of NCCPL Regulations, 2015.
1 KP Securities (Pvt.) Limited	29-Mar-22		Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
2 Allied Securities (Pvt.) Limited	28-Mar-22	NCCPL/CS/110/22	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Strongman Securities (Pvt.) Limited	22-Mar-22	NCCPL/CRO/76/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
4 Gul Dhami Securities (Pvt.) Limited	21-Mar-22		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
5 A.H.M Securities (Pvt.) Limited	21-Mar-22		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 Fikree's Private Limited	21-Mar-22		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 Equity Master Securities (Pvt.) Limited 8 H.H Misbah Securities (Pvt.) Limited	21-Mar-22 21-Mar-22	NCCPL/CRO/71/22 NCCPL/CRO/73/22	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
9 Investment Managers Securities (Pvt.) Limited	21-Mar-22 21-Mar-22		Warning issued under Regulation 14.1 of NCUFL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCUFL Regulations, 2015 Marning issued under Regulation 14.5 of NCUFL Regulations, 2015
0 Strongman Securities (Pvt.) Limited	21-Mar-22	NCCPL/CRO/75/22	warning issued under neguration 14-10 in NCPT negurations, 2013 or account or show case under neguration 14-10 in NCPT negurations, 2013 Restriction of access to services under Regulation 18.1.1[9] & 18.3 of NCPT. Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1[9] & 18.3 of NCPT. Regulation to action taken by PSX
1 Asad Mustafa Securities (Pvt.) Limited	18-Mar-22	NCCPL/CS/105/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPI Regulations, 2015 upon self request for closure of account due to appointment of PCM
Fair Edge Securities (Pvt.) Limited	18-Mar-22	NCCPL/CS/104/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Fairway Securities (Pvt.) Limited	18-Mar-22	NCCPL/CS/102/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
4 Habib Ullah Sheikh (Pvt.) Limited	18-Mar-22	NCCPL/CS/100/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
5 Muhammad Amer Riaz Securities (Pvt.) Limited	18-Mar-22	NCCPL/CS/103/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
6 Networth Securities Limited	18-Mar-22	NCCPL/CS/101/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
7 Friendly Securities (Pvt.) Limited	17-Mar-22	NCCPL/CRO/67/22	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.
8 ABM Securities (Pvt.) Limited	11-Mar-22	NCCPL/CS/87/22	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g), 8.18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
9 Gulrez Securities (Pvt.) Limited 0 K.H.S Securities (Pvt.) Limited	11-Mar-22 11-Mar-22	NCCPL/CS/84/22 NCCPL/CS/83/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Patel Securities (Pvt.) Limited L Patel Securities (Pvt.) Limited	11-Mar-22 11-Mar-22	NCCPL/CS/83/22 NCCPL/CS/86/22	kestriction of access to services under Regulation 18.1.1(), 18.1.1(g) 8 18.3 or NCLPL Regulations, 2015 upon seir request for closure of account due to appointment of PLM Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) 8 18.3 or NCCPL Regulations, 2015 upon Seir request for closure of account due to appointment of PCM Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) 8 18.3 or NCCPL Regulations, 2015 upon Seir request for closure of account due to appointment of PCM
2 Tariq Vohra Securities (Pvt.) Limited	11-Mar-22	NCCPL/CS/85/22	Restriction of access to services under negulation 1.6.1.1(), 16.1.1() a 18.3 of NCCPL Regulations, 2015 upon self-request for closure of account due to appointment of PCM Restriction of access to services under Regulation 1.6.1.1(), 16.1.1() à 18.3 of NCCPL Regulations, 2015 upon self-request for closure of account due to appointment of PCM Restriction of access to services under Regulation 1.6.1.1(), 16.1.1() à 18.3 of NCCPL Regulations, 2015 upon self-request for closure of account due to appointment of PCM
A.I. Securities (Pvt.) Limited	4-Mar-22	NCCPL/CS/61/22	Restriction of access to services under negulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2021 upon self-request for closure of account due to appointment of PCM
MSD Capital Equities (Pvt.) Limited	4-Mar-22	NCCPL/CS/60/22	Restriction of access to services under Regulation 18.1.1(f), 18.1.1(g) & 18.3 of NCCP Regulations, 2015 upon self request for closure of account due to appointment of PCM
Royal Securities (Pvt.) Limited	3-Mar-22	NCCPL/CRO/66/22	Restriction of access to services under Regulation 18.1.1 (c), 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
Cedar Capital (Pvt.) Limited - TRR	23-Feb-22	NCCPL/CRO/65/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
7 Continental Capital Management (Pvt.) Limited - TRR	23-Feb-22	NCCPL/CRO/64/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
8 Patel Securities (Pvt.) Limited - TRR	23-Feb-22	NCCPL/CRO/63/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
9 Abbasi Securities (Pvt.) Limited	14-Jan-22	NCCPL/CS/10/22	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Pearl Securities Limited - TRR	7-Jan-22	NCCPL/CRO/03/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
1 First National Equities Limited - TRR	7-Jan-22		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
2 JSK Securities Limited - JIT	7-Jan-22	NCCPL/CRO/01/22	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
3 Pervez Ahmed Capital (Pvt.) Limited	30-Dec-21	NCCPL/CS/387/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Khawaja Securities (Pvt.) Limited	29-Dec-21		Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
5 M. Ashfaq Hussain Securities (Pvt.) Limited - Audit of CM	21-Dec-21	I NUCPI/URO/401/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations

No Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
37 Khawaja Securities (Pvt.) Limited	17-Dec-21		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
38 Shaffi Securities (Pvt.) Limited	17-Dec-21		Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited LC
39 Dawood Equities Limited	17-Dec-21	NCCPL/CRO/417/21	Warning issued under Regulation 14.3 of NCCPL Regulations, 2015 on account of show-cause notice issued for default of money obligation
40 High Land Securities (Pvt.) Limited	17-Dec-21	NCCPL/CRO/416/21	Warning issued under Regulation 14.3 of NCCPL Regulations, 2015 on account of show-cause notice issued for default of money obligation
41 Shajar Capital Pakistan (Pvt.) Limited	15-Dec-21	NCCPL/CRO/415/21	Restriction of access to services as Margin Financier under Rule 11(1a) and as Trading Financier under Rule 19(1a) of the Rules and Regulations & 7B.2.4 and 7C.2.4 of NCCPL Regulations, 2015.
High Land Securities (Pvt.) Limited - Audit of CM	26-Nov-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
Rahat Securities Limited - Audit of CM	26-Nov-21	NCCPL/CRO/396/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
14 Y.H. Securities (Pvt.) Limited - Audit of CM	26-Nov-21 26-Nov-21	NCCPL/CRO/395/21	Warning 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 Chapter 138 of NCCPL Regulations
Shajarpak Securities (Pvt.) Limited - Audit of CM Shaffi Securities (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/394/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
7 New Peak Securities (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/393/21	Warning issued under Regulation 14.1 or Neer's Regulations, 2015 on account of inspection conducted under Chapter 139 of NCCPL Regulations Warning issued under Regulation 14.1 or NCCPL Regulations, 2015 on account of inspection conducted under Chapter 139 of NCCPL Regulations Warning issued under Regulation 14.1 or NCCPL Regulations, 2015 on account of inspection conducted under Chapter 139 of NCCPL Regulations
48 MND Investments (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/391/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations
19 Investment Managers Securities (Pvt.) Limited - Audit of CM	26-Nov-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations
Friendly Securities (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/389/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
1 Brains Securities (Pvt.) Limited - Audit of CM	26-Nov-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
52 AHM Securities (Pvt.) Limited - Audit of CM	26-Nov-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
3 JSK Securities Limited	25-Nov-21		Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
54 Friendly Securities (Pvt.) Limited	16-Nov-21		Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB
55 Shaffi Securities (Pvt.) Limited	16-Nov-21		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.
56 JSK Securities Limited 57 MSD Capital Equities (Pvt.) Limited	16-Nov-21 11-Nov-21	NCCPL/CRO/378/21	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
8 MSD Capital Equities (Pvt.) Limited	9-Nov-21		Restriction of access to services under Regulation 18.1.1[9] & 18.3 of NCPA Regulations, 2015 Pursuant to action taken by PSX
is Value Fund	22-Oct-21	NCCPL/CS/302/21	Termination of Non Broker Clearing Member account and Debt Market Clearing Member account under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Moneyline Securities (Pvt.) Limited	18-Oct-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.
1 Friendly Securities (Pvt.) Limited	18-Oct-21	NCCPL/CRO/364/21	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.
We Financial Services Limited	18-Oct-21	NCCPL/CRO/363/21	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.
63 Azee Securities (Pvt.) Limited	13-Oct-21		Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
64 Azee Securities (Pvt.) Limited	7-Oct-21	NCCPL/CRO/353/21	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
65 Adam Securities Limited - LSI	17-Sep-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
66 Pasha Securities (Pvt.) Limited - JIT	17-Sep-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
67 WE Financial Services Limited 68 Falki Capital Private Limited	17-Sep-21		Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.1 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
69 Ahsam Securities (Pvt) Limited	17-Sep-21 10-Sep-21	NCCPL/CS/253/21	Restriction of access to services under Regulation 18.1.1(), 18.1.1(g) & 18.3 of NCCP, Regulations, 2013 tipon self request for closure of account due to appointment of PCM Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCP, Regulations, 2013 tipon self request for closure of account due to appointment of PCM
70 HP Securities (Pvt) Limited	10-Sep-21	NCCPL/CS/252/21	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
71 Royal Securities (Pvt.) Limited	10-Sep-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.
72 Royal Securities (Pvt.) Limited	8-Sep-21		Revocation of Suspension of the Clearing Member pursuant to action taken by PSX
73 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
74 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
75 Msmaniar Financials (Pvt.) Limited	13-Aug-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
76 DJM Securities (Pvt.) Limited	13-Aug-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
77 Salim Sozer Securities (Pvt.) Limited	13-Aug-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
78 Time Securities (Pvt) Limited	13-Aug-21 13-Aug-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
79 General Investments & Securities (Pvt) Limited 80 New Peak Securities (Pvt.) Limited - JIT	13-Aug-21		warning issued under negulation 14.1 of NCFC Negulations, 2015 on account of inspection conducted under Joint Inspection 14.1 of NCFC Negulations, 2015 on account of inspection conducted under legulation 14.1 of NCFC Negulations, 2015 on account of inspection conducted under logical part of the property of the proper
81 Azee Securities (Pvt.) Limited - JIT	13-Aug-21		Warning issued and penalty imposed under Regulation 1.4 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
82 Inveslink Capital (Pvt.) Limited	9-Jul-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
83 Fikree's (Pvt.) Limited	9-Jul-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
84 Surmawala Securities (Pvt.) Limited	9-Jul-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
B5 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
B6 M. Ashfaq Hussain Securities (Pvt.) Ltd	9-Jul-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
B7 RAH Securities (Pvt.) Limited - Audit of CM	9-Jul-21	NCCPL/CRO/244/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
88 Ayub Chaudhry Investments (Pvt.) Limited - Audit of CM	9-Jul-21	NCCPL/CRO/234/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
Backers & Partners (Private) Limited - Audit of CM	9-Jul-21 9-Jul-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
90 AM Chaudhry Securities (Pvt.) Limited - JIT			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 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
91 Vector Securities (Pvt.) Limited - TRR 92 128 Securities (Pvt.) Limited - TRR	9-Jul-21 9-Jul-21	NCCPI/CRO/23//21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under joint inspection Regulations with a compared to the property of the p
93 128 Securities (Pvt.) Limited - Audit of CM	30-Jun-21		Warning issued under Regulation 14.1 of NeQui Regulations, 2015 on account of Inspection conducted under the one inspection conducted under the one inspection of the inspecti
94 Arif Latif Securities (Pvt.) Limited - Audit of CM	25-Jun-21	NCCPL/CRO/241/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
95 Salim Sozer Securities (Pvt.) Limited - Audit of CM	25-Jun-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations
96 Amer Securities (Pvt.) Limited - Audit of CM	25-Jun-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
97 HMC Stocks (Pvt.) Limited - Audit of CM	25-Jun-21	NCCPL/CRO/245/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
98 Pearl Securities Limited - Audit of CM	25-Jun-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
99 Axis Global Limited - Audit of CM	25-Jun-21	NCCPL/CRO/242/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
00 Q. Ain Khanani Securities (Pvt.) Limited	18-Jun-21		Revocation of Restriction of Access to Services
01 Vantage Commodities (Pvt.) Limited 02 Q. Ain Khanani Securities (Pvt.) Limited	18-Jun-21 16-Jun-21		Suspension under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
03 Bawany Securities (Pvt.) Limited - TRR	10-Jun-21 11-Jun-21		RESTITICION OF ACCESS TO SERVICES UNDER REGULATION REPORT OF THE REGULATIONS, 2015 Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Ja Integrated Equities Limited - TRR	11-Jun-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
DS 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 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
06 Saya Securities (Pvt.) Limited - TRR	11-Jun-21	NCCPL/CRO/223/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint inspection Regulations
77 Nini Securities (Pvt.) Limited - TRR	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
08 Moneyline Securities (Pvt.) Limited - JIT	11-Jun-21	NCCPL/CRO/221/21	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	28-May-21	NCCPL/CS/142/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Fund-II			
10 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
	25-May-21	NCCPL/CRO/215/21	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
1 Azee Securities (Pvt.) Limited		I NCCPL/CRO/214/21	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
11 Azee Securities (Pvt.) Limited 12 Azee Securities (Pvt.) Limited	25-May-21		
11 Azee Securities (Pvt.) Limited 12 Azee Securities (Pvt.) Limited 13 Infinite Securities Limited	18-May-21	NCCPL/CRO/212/21	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
11 Azee Securities (Pvt.) Limited	18-May-21 4-May-21	NCCPL/CRO/212/21 NCCPL/CS/97/21	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
11 Azee Securities (Pvt.) Limited 12 Azee Securities (Pvt.) Limited 13 Infinite Securities Limited 14 MAS Capital Securities (Pvt.) Limited 15 BMA Capital Management Limited - LSI 16 Khanani Securities (Pvt.) Limited - TRR	18-May-21	NCCPL/CRO/212/21 NCCPL/CS/97/21 NCCPL/CRO/208/21	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX

No Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
18 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 notice issued under Regulation 14.5 of NCCPL Regulations, 2015
19 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
20 Y.H. Securities (Pvt.) Limited - TRR	3-May-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
21 RAH Securities (Pvt.) Limited	3-May-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
22 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
23 Aba Ali Habib Securities (Pvt.) Limited - TRR	3-May-21	NCCPL/CRO/192/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
24 M. Ashfaq Hussain Securities (Pvt.) Limited - TRR	23-Apr-21	NCCPL/CRO/190/21 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
25 Bhayani Securities (Pvt.) Limited - TRR 26 Bawany Securities (Pvt.) Limited	23-Apr-21 23-Apr-21	NCCPL/CRO/186/21	Warning Issued under Regulation 14.1 of NCCF1 Regulations, 2015 on account of rispection conducted under Profit Inspection 14.1 of NCCF1 Regulations, 2015 on account of rispection to rotate issued under Profit Inspection 14.1 of NCCF1 Regulations, 2015 on account of show cause notice issued under Profit Inspection 14.1 of NCCF1 Regulations, 2015
27 Amer Securities (Pvt.) Ltd	23-Apr-21	NCCPL/CRO/175/21	Warning issued under Regulation 34.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.1 of NCCPL Regulations, 2015
28 AKY Securities Private Limited	23-Apr-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
29 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
30 Salman Majeed Securities (Pvt.) Limited	23-Apr-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
31 A.I Securities Private Limited	23-Apr-21	NCCPL/CRO/171/21	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
32 Akhai Securities Private Limited	23-Apr-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
33 Fikree's Private Limited	16-Apr-21	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 Regulations, 2015
34 Apex Capital Securities (Pvt.) Limited - JIT	16-Apr-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and penalty imposed
35 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
36 We Financial Services Limited	16-Apr-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.
37 ACM Gold (Pvt.) Limited	14-Apr-21		Revocation of Suspension of the Authorized Intermediary Pursuant to action taken by PMEX
38 ACM Gold (Pvt.) Limited	12-Apr-21		Suspension under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX Paymenting of Bertisting of Censes to Songies
39 Infinite Securities Limited	9-Apr-21 8-Apr-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
40 Icon capital Management (Pvt.) Limited 41 Salim Sozer Securities (Pvt.) Limited	8-Apr-21 26-Mar-21	NCCPL/CS/80/21	Termination under Regulation 18.1.1() & 18.3 of NCLPL Regulations, 2015 on account of self reimination 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
42 GMI Capital Securities (Pvt.) Limited 42 GMI Capital Securities (Pvt.) Limited - TRR	26-Mar-21		Warning Issued under Regulation 14.1 of NCCF. Regulations, 2015 on account of since dates on conducted under Regulation 14.1 of NCCF. Regulations, 2015 on account of since dates on conducted under Regulation 14.1 of NCCF. Regulations, 2015 on account of since dates on conducted under Regulation 14.1 of NCCF. Regulations, 2015 on account of inspection conducted under legislations.
43 Zafar Moti Capital Securities (Pvt.) Limited - TRR	26-Mar-21	NCCPL/CRO/149/21	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 Warning issued under Regulation 14.1 of NCCF. Regulations, 2015 on account of inspection conducted under Joint inspection Regulations
44 Salim Sozer Securities (Pvt.) Limited - TRR	26-Mar-21	NCCPL/CRO/136/21	Warning issued under Regulation 14.1 of NCCFL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCFL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
45 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
46 Msmaniar Financials (Pvt.) Limited	22-Mar-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
47 SAAO Capital (Pvt) Limited	22-Mar-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
48 Pearl Securities Limited	22-Mar-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
49 Spectrum Securities Limited - JIT	10-Mar-21	NCCPL/CRO/113/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
50 B & B Securities (Pvt.) Limited - TRR	9-Mar-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
51 Highland Securities Pvt limited - TRR	9-Mar-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
52 Tariq Vohra Securities (Pvt.) Limited - TRR	9-Mar-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
53 Q.Ain Khanani Securities (Pvt.) Limited	9-Mar-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
54 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
55 We Financial Services Limited	9-Mar-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
56 Brains Securities (Pvt.) Ltd	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 14.5 of NCCPL Regulations, 2015
57 N.U.A. Securities (Pvt.) Limited	15-Feb-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
58 Prime Securities (Pvt) Limited	15-Feb-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
59 B & B Securities (Pvt.) Limited 60 Azee Securities (Pvt.) Limited	15-Feb-21 15-Feb-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
61 Merchant Investments (Pvt.) Limited	15-Feb-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 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
62 Khanani Securities (Pvt.) Limited	15-Feb-21	NCCPL/CRO/97/21	Warring issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.1 of NCCPL Regulations, 2015 Warring issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.1 of NCCPL Regulations, 2015
63 Z.A Ghaffar Securities (Pvt.) Limited	15-Feb-21		Warning issued under Regulation 34.1 of MCCPL Regulations, 2015 on account of show case notice issued under Regulation 14.1 of MCCPL Regulations, 2015
64 Iqbal Usman 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
65 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
66 Tariq Vohra Securities (Pvt.) Limited	15-Feb-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
67 We Financial 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
68 Motiwala 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
69 Royal Securities (Pvt.) Limited	26-Jan-21		Suspension under Regulation 18.1.1(a), 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
70 128 Securities Pvt Limited - Audit of CM	25-Jan-21	NCCPL/CRO/27/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations and penalty imposed
71 Time Securities (Pvt) Limited - JIT	25-Jan-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 penalty imposed
72 Msmaniar 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 penalty imposed
73 Friendly Securities Private Limited - JIT	25-Jan-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 penalty imposed
74 Shajar Capital 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
75 INA Securities (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 Regulations 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 Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations (Inspection Regulation R
76 Pearl Securities Limited	11-Jan-21	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 Description of account of penalty imposed under Regulation 14.1.1 and 14.6 of NCCPL Regulations, 2015 on account of matters identified in Inspection conducted by SECP Description of account of penalty imposed under Regulation 14.1.1 and 14.6 of NCCPL Regulations, 2015 on account of matters identified in Inspection conducted by SECP Description of Account of Penalty Imposed under Regulation 14.1.1 and 14.6 of NCCPL Regulations, 2015 on account of matters identified in Inspection conducted by SECP
77 Infinite Securities Limited	11-Jan-21		Restriction of access to services under Regulation 18.1.1(a), 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Asstriction of access to services under Regulation 18.1.1(a), 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
78 Abbasi Securities (Pvt.) Limited 79 Ismail Igbal Securities (Pvt.) Limited	4-Jan-21 31-Dec-20	NCCPL/CRO/UU1/21	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
80 Spinzer Equities (Pvt.) Limited	31-Dec-20		warning issued under regulation 14.1 of NCCP. Regulations, 2015 on account of inspection conducted under joint inspection Regulations Warning issued under Regulation 14.1 of NCCP. Regulations, 2015 on account of inspection conducted under joint inspection Regulations Warning issued under Regulation 14.1 of NCCP. Regulations, 2015 on account of inspection conducted under joint inspection Regulations
31 Khadim Ali Shah Bukhari Securities (Pvt.) Limited	31-Dec-20	NCCPL/CRO/349/20	warning issued under Regulation 24-1 of NCCF1 Regulations, 2023 on account of hispection conducted under Asian Inspection regulations Warning issued under Regulation 14-1 of NCCF1 Regulations, 2023 on account of hispection conducted under solid inspection regulations Warning issued under Regulation 14-1 of NCCF1 Regulations, 2023 on account of inspection conducted under look inspection Regulations Warning issued under Regulation 14-1 of NCCF1 Regulations, 2023 on account of inspection conducted under look inspection Regulations
32 Taurus Securities Limited	31-Dec-20	NCCPL/CRO/358/20	Warning issued under Regulation 14.1 of NCCFL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
Dawood Equities Limited - Audit of CM	31-Dec-20		Warning issued under Regulation 14.1 of NCPC Regulations, 2015 on account of inspection conducted under John Inspection regulations Warning issued under Regulation 14.1 of NCPC Regulations, 2015 on account of inspection conducted under John Inspection Conducted Under 138 of NCPC Regulations
4 HP. Byramji & Co. (Pvt.) Limited	24-Dec-20	NCCPL/CS/410/20	Tremination under Regulation 3-12 or reter Acceptance of the Confedence of the Confe
Progressive Securities (Pvt.) Limited - Audit of CM	11-Dec-20	NCCPL/CRO/353/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations
36 MGM Securities (Pvt.) Limited - Audit of CM	11-Dec-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
87 Khawaja Securities (Pvt.) Limited - Audit of CM	11-Dec-20	NCCPL/CRO/351/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
38 ASA Stocks (Pvt.) Limited - Audit of CM	11-Dec-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
MSD Capital 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
O Shaukat 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
1 Amer Securities (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
2 Akhai Securities (Pvt) Limited	12-Nov-20	NCCPL/CRO/333/20	Revocation of Restriction of Access to Services
M Ashfaq Hussain Securities (Pvt) Limited	11-Nov-20	NCCPL/CRO/332/20	Revocation of Restriction of Access to Services
M Ashfaq Hussain Securities (Pvt) Limited	10-Nov-20		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
95 Akhai Securities (Pvt) Limited	10-Nov-20		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
Q. Ain Khanani Securities (Pvt.) Limited	10-Nov-20		Revocation of Restriction of Access to Services
97 Continental Capital Management (Pvt.) Limited	4-Nov-20	NCCDI /CDO/213/20	Revocation of Restriction of Access to Services

S. No Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
399 Amer Securities (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 78.2.4 of NCCPL Regulations, 2015.
400 Continental Capital Management (Pvt.) Limited	3-Nov-20		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
401 Fairway 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
402 Q. Ain Khanani Securities (Pvt.) Limited	3-Nov-20		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
403 A.I Securities (Pvt.) Limited 404 A.I Securities (Pvt.) Limited	2-Nov-20	NCCPL/CRO/305/20	Revocation of Restriction of Access to Services Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
405 Salman Majeed Sec	29-Oct-20 27-Oct-20		RESTITICION OF ACCESS TO Services JUNIOR HERQUINION 16.1.1(10) & 1.8.5.0 IN NUCLY. Regulations, 2015 Warning Issued under Regulation 14.1 of NCIP Regulation, 2015 on account of Inspection conducted under Joint Inspection Regulations
406 Rafi Securities (Pvt.) Limited	27-Oct-20	NCCPL/CRO/296/20	Warning issued under Regulation 14.1 of NCC1 Engulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCC1 Engulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
407 Memon 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
408 Next Capital 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
409 N. U. A. Securities (Pvt.) Limited	27-Oct-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
410 Brains Securities (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
411 Topline Securities Limited - Audit of CM	27-Oct-20	NCCPL/CRO/294/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
412 Patel Securities Pvt Limited - Audit of CM	27-Oct-20	NCCPL/CRO/288/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
413 Millennium Brokerage (Pvt.) Limited - Audit of CM	27-Oct-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
414 Xpert Securities (Pvt.) Limited	7-Oct-20		Revocation of Restriction of Access to Services
415 MSD capital Equities (Pvt.) Limited 416 Reliance Securities Limited	5-Oct-20 29-Sep-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
417 Asa Stocks Pvt Limited- TRR	28-Sep-20		New Inclusion of access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulations, 2015 New Inclusion of access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulations, 2015 New Inclusion of Access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulations, 2015 New Inclusion of Access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulations, 2015 New Inclusion of Access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulations, 2015 New Inclusion of Access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulations, 2015 New Inclusion of Access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulations, 2015 New Inclusion of Access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulations, 2015 New Inclusion of Access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulations, 2015 New Inclusion of Access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulations, 2015 New Inclusion of Access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulations, 2015 New Inclusion of Access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulations, 2015 New Inclusion of Access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulations, 2015 New Inclusion of Access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulations, 2015 New Inclusion of Access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulations, 2015 New Inclusion of Access to services union regulation 1.0.1.1(10/81.0.5.0) in NCFT. Regulation 1.0.1.1(10/8
418 Arif Latif securities Pvt Limited	28-Sep-20	NCCPL/CRO/271/20	Walning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection (Septiment).
419 Fikree's (Pvt) Ltd	28-Sep-20		Warning issued under Regulation 14.1 of NCCFL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCFL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
420 Kosmopolitan Securities	28-Sep-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
421 Cedar Capital (Pvt.) Limited	28-Sep-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
422 General Investments & 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
423 Hamza Farhad Securities (Pvt) Limited	28-Sep-20	NCCPL/CRO/279/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
424 Saz Capital Securities (Pvt.) Limited	28-Sep-20	NCCPL/CRO/280/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
425 FM Securities (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
426 New Peak Securities (Pvt.) Limited	18-Sep-20		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
427 Arch Capital 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
428 ASDA Securities (Pvt) Limited	3-Sep-20	NCCPL/CRO/265/20	
429 Amer Securities (Pvt.) Limited 430 We Financial Services Limited	18-Aug-20 18-Aug-20	NCCPL/CRO/248/20	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 pursuant to submission of unaudited NCB
431 Asian Securities (Pvt.) Limited-TRR	17-Aug-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
432 Dattoo Securities (Pvt.) Limited - TRR	17-Aug-20	NCCPL/CRO/241/20	waining 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
433 Eleven Stars Securities (Pvt.) Limited - TRR	17-Aug-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
434 Friendly 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
435 Interactive 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
436 Msmaniar Financials (Pvt.) Limited- TRR	17-Aug-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
437 RAH Securities (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
438 128 securities (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
439 Horizon Securities Limited	30-Jul-20	NCCPL/CS/263/20	Termination of SLB account on account of Self Termination
440 Asad Mustafa 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
441 Patel Securities (Pvt.) Limited 442 Patel Securities (Pvt.) Limited	14-Jul-20 14-Jul-20	NCCPL/CRO/222/20	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation Suspension under Regulation 18.1.1.(pl of NCCPL Regulation, 2015 on account of default of money obligation
442 Pater Securities (Pvt.) Limited 443 Askari Securities (Pvt) Limited - Audit of CM	3-Jul-20		Suspension under regulation 18.1.1(1) on NCPT regulations, 2015 on account of details of inspection conducted under Chapter 138 of NCCPL Regulations (2015 on account of inspection onducted under Chapter 138 of NCCPL Regulations).
444 Summit Capital (Pvt) Limited - Audit of CM	3-Jul-20	NCCPL/CRO/214/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
445 SAAO Capital (Pvt.) Limited	3-Jul-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
446 Sethi Securities (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
447 Royal Securities (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
448 Dosslani 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
449 Growth Securities (Pvt.) Limited	24-Jun-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
450 Gulrez Securities (Pvt.) Limited	24-Jun-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
451 Fair Edge Securities (Pvt.) Limited	24-Jun-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
452 Tariq Moti Securities (Pvt.) Limited	24-Jun-20	NCCPL/CRO/197/20	Warning issued under Regulation 14.1 of NCCPI. Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Under Joint Under Development 1.1 of NCCPI. Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
453 Creative Capital Securities (Pvt.) Limited 454 Asad Mustafa Securities (Pvt.) Limited	24-Jun-20 16-Jun-20	NCCPL/CRO/198/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Restriction of access to services as Margin Financier and Trading Financier under 12.3.18(i) of NCCPL Regulations, 2015.
455 Elixir Securities Pakistan (Pvt.) Limited	9-Jun-20	NCCPL/CS/214/20	RESTICUTOR OF ACCESS to Services as Margin Financier and Fraudig Financier under 12.5.18() of NCCF. Regulations, 2015. Termination under Regulation 18.1.1() & 18.3 of NCPL Regulations, 2015 on account of Self Termination.
456 Vector Securities (Pvt.) Limited	18-May-20	NCCPL/CS/214/20 NCCPL/CRO/182/20	Revocation of access to services as Margin Financier pursuant to submission of unaudited NCB
457 First Street Capital (Pvt.) Limited	15-May-20		Revocation of Restriction of access to services as Margin Financier and Trading Financier pursuant to submission of unaudited NCB
458 Mayari Securities (Pvt.) Limited	5-May-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
459 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
460 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
461 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
462 Rahat Securities (Pvt.) Limited	5-May-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
463 ASDA Securities Private Limited-TRR	5-May-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
464 Zillion Capital Securities Private Limited-TRR 465 Allied Bank Limited Settling Bank Pranch	5-May-20	NCCPL/CRO/170/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Templation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Templation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Foot Templation.
465 Allied Bank Limited-Settling Bank Branch 466 Allied Bank Limited	28-Apr-20 28-Apr-20		Termination under Regulation 18.1.1(i) 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
466 Allied Bank Limited 467 Zillion Capital Securities (Pvt) Limited-MF	28-Apr-20 27-Apr-20	NCCPL/CS/184/2020 NCCPL/CS/186/2020	Itermination under regulation 1.8.1.1(1) & 18.3 of N.C.P.L. Regulations, 2015 on account of 5 elf Termination Termination & Margin Financier under Regulation 18.1.1(1) & 18.3 of N.C.P.L. Regulations, 2015 on account of 5 elf Termination
468 Progressive Investment Management (Pvt.) Limited	21-Apr-20		Warning issued under Regulation 14.1 of RCCP. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
469 Bridge Securities (Pvt) Limited	21-Apr-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
470 Asad Mustafa Securities (Pvt) Limited	21-Apr-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
471 Dr. Arslan Razaque Securities (Pvt) Limited	21-Apr-20		Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
472 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(i) of NCCPL Regulations, 2015.
473 Vector Securities (Pvt) Limites	17-Apr-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.
474 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.
475 Alfa Adhi Securities (Pvt) Limited - Audit of CM	15-Apr-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
473 Alia Autil Securities (FVt) Elliliteu - Audit of Civi			Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
476 Escorts Capital Limited	26-Mar-20	NCCFL/C3/173/2020	
476 Escorts Capital Limited 477 Akhai Securities (Pvt) Limited	24-Mar-20	NCCPL/CRO/154/20	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB
476 Escorts Capital Limited		NCCPL/CRO/154/20 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 Restriction of access to services under Regulation I.3.1.1(b) & 1.3.5 of NCPCP Regulations, 2015 Pursuant to action taken by PSX

S. No Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
481 ASDA Securities (Pvt) Limited	17-Mar-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.
482 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 7B.2.4 of NCCPL Regulations, 2015.
483 Zillion Capital Securities (Pvt) Limited	13-Mar-20	NCCPL/CRO/124/20	Revocation of Restriction of the Clearing Member as Margin Financier pursuant to submission of audited NCB
484 Amer Securities (Pvt.) Limited	13-Mar-20	NCCPL/CRO/122/20	Revocation of Restriction of the Clearing Member as Margin Financier pursuant to submission of audited NCB
485 R.A Securities (Pvt) Limited	9-Mar-20	NCCPL/CS/105/2020	Termination under Regulation 18.1.1(i) & 18.3 of MCCPL Regulations, 2015 on account of Self Termination
486 M.J Memon Securities (Pvt) Limited 487 Reliance Securities Limited	3-Mar-20 17-Feb-20		Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
488 Galaxy Capital Securities (Pvt) limited - Audit of CM	14-Feb-20	NCCPL/CRO/101/20	Suspension under Negulations 1.5.1.1(1) 8 1.8.5.1 WINCE, Regulations, 2015 on account of Inspection conducted under Regulations 1.1.1 (1) 41.0 FMCPL Regulations 1.1.
489 Prime Securities (Pvt) Limited - Audit of CM	14-Feb-20	NCCPL/CRO/95/20	Warning issued under Regulation 34.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13b of NCCPL Regulations 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13b of NCCPL Regulations
490 Asian Securities (Pvt) Limited - Audit of CM	14-Feb-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
491 HH Misbah Securities (Pvt) Limited - Audit of CM	14-Feb-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
492 RAH Securities (Pvt) Limited - Audit of CM	14-Feb-20	NCCPL/CRO/99/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
493 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
494 AMCAP Securities (Pvt) Limited	11-Feb-20		Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
495 Azee Securities (Pvt) Limited	10-Feb-20		Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
496 Azee Securities (Pvt) Limited	10-Feb-20	NCCPL/CRO/89/20	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
497 Din Capital Limited 498 Unex Securities (Pvt.) Limited	23-Jan-20 9-Jan-20		Termination under Regulation 18.1.1() 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1() 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1() 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination
499 Concordia Securities (Pvt.) Limited	9-Jan-20	NCCPL/CS/65/2020	Termination under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2013 on account of Self Termination
500 Dawood Equities Limited	27-Dec-19		Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015 and penalty imposed
501 Dattoo Securities (Pvt) Limited	27-Dec-19		Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
502 ASDA Securities (Pvt) Limited	19-Dec-19		Revocation of Restriction of the Clearing Member pursuant to submission of audited NCB
503 IAK Securities (Pvt.) Ltd	18-Dec-19		Termination under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
504 HP Byramji and Co (Pvt) Limited	13-Dec-19	NCCPL/CRO/203/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
505 Al Habib Capital Markets Pvt Ltd	13-Dec-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
506 Ayub Chaudhry Investments Pvt Ltd	13-Dec-19		Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
507 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
508 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
509 Rafi Securities (Pvt) Ltd	22-Nov-19 22-Nov-19	NCCPL/CRO/198/19 NCCPL/CRO/195/19	Warning issued under Regulation 14.1.1 of NCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
510 FairEdge Securities (Pvt) Ltd 511 Highland Securities Pvt limited	22-Nov-19 22-Nov-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
512 MSD Capital Equities (Pvt) Ltd	18-Nov-19	NCCPL/CRO/201/19	Training Issued united regulation 34.1.2 to Neet regulations, 20.3 on account of impection rounded united soft in Experience (Experience and Regulation 18.1.16) & 18.3 of NCC1 Regulations, 20.15 Pursuant to action taken by PSX
513 Xpert Securities (Pvt.) Limited	18-Nov-19	NCCPL/CRO/200/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPI Regulations, 2015 Pursuant to action taken by PSX
514 Baba Equities (Pvt.) Limited	7-Nov-19		Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
515 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
516 Azee Securities (Pvt.) Limited	22-Oct-19	NCCPL/CRO/188/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
517 Pervez Ahmed Capital (Pvt.) Limited	7-Oct-19	NCCPL/CRO/186/19	Suspension under Regulation 18.1.1(a) & (b) of NCCPL Regulations, 2015 on account of notice issued by SECP
518 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
519 Salman Majeed Securities (Pvt.) Limited	4-Oct-19		Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
520 Zahid Latif Khan Securities (Pvt.) Limited	4-Oct-19		Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
521 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
522 Memon Securities (Pvt.) Limited 523 Khawaja Securities Pvt Limited	24-Sep-19 23-Sep-19	NCCPL/CRO/135/19 NCCPL/CRO/124/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
524 Insight securities (Pvt.) Limited	23-Sep-19	NCCPL/CRO/125/19	Notice issued to resolve open observation neutrinose uniter inspection conducted officer joint inspection Regulations Warning issued under Regulation 14.1.1 of NCPL Regulations, 2015 on account of inspection conducted officer joint inspection Regulations Warning issued under Regulation 14.1.1 of NCPL Regulations, 2015 on account of inspection conducted officer joint inspection Regulations
525 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
526 Elixir 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
527 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 7B.2.4 of NCCPL Regulations, 2015.
528 We Financial Services Limited	16-Sep-19	NCCPL/CRO/131/19	Revocation of restriction of Clearing Member on account of notice issued by SECP
529 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
530 Amer Securities (Pvt.) Limited	16-Sep-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.
531 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 7B.2.4 of NCCPL Regulations, 2015.
532 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
533 M.H Securities (Pvt) Limited	28-Aug-19	NCCPL/CS/286/19 NCCPL/CS/285/19	Termination as Margin Financier 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 (Termination 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 (Termination 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 (Termination Under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 on account of Self Termination (Termination Under Regulation Self Termination Under Regulation Self Termination (Termination Under Regulation Self Termination Under Regulation Self Termination (Termination Under Regulation Self Termination Under Regulation Self Termination (Termination Under Regulation Self Termination Under Regulation Self Termination (Termination Under Regulation Self Termination Under Regulation Self Termination (Termination Under Regulation Self Termination Under Regulation Self Termination (Termination Under Regulation Self Termination Under Regulation Self Termination (Termination Under Regulation Self Termination Under Regulation Self Termination Under Regulation (Termination Under Regulation Self Termination Under Regulation Self Termination Under Regulation Under Regulation Under Regulation (Termination Under Regulation Under Regulat
534 M.H Securities (Pvt.) Limited 535 Zillion Capital Securities (Pvt.) Limited	28-Aug-19 30-Jul-19	NCCPL/CS/285/19 NCCPL/CRO/109/19	Termination under Regulation 18.1.1(1) & 18.3 of IV.CVL Regulations, 2015 on account of set i remination Warning Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under long
536 Multiline Securities (Pvt.) Limited	29-Jul-19	NCCPL/CRO/108/19	Warning Issued under Regulation 14.1.1 of NCPT Regulations, 2015 on account of inspection conducted under Joint inspection regulations Warning issued under Regulation 14.1.1 of NCPT Regulations, 2015 on account of inspection conducted under Joint inspection regulations Warning issued under Regulation 14.1.1 of NCPT Regulations, 2015 on account of inspection conducted under Joint inspection Regulations Warning issued under Regulation 14.1.1 of NCPT Regulations, 2015 on account of inspection conducted under Joint inspection Regulations
537 Al- Hogani Securities And Investment Corporation Limited	29-Jul-19	NCCPL/CS/271/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 on account of Self-Translation under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 on account of Self-Translation under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 on account of Self-Translation
538 MF Stocks (Pvt.) Limited	25-Jul-19	NCCPL/CS/267/19	Termination under Regulation 10.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of 2elf Termination
539 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
540 IAK 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
541 IAK 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
542 Shajarpak Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/96/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
543 MAAN Securities (Pvt.) Limited	15-Jul-19		Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
544 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
545 Azee Securities (Pvt) Limited	15-Jul-19	NCCPL/CRO/104/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
546 Azee Securities (Pvt.) Limited	15-Jul-19		Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
547 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
548 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
549 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
550 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
551 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
552 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
553 SHARE 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
554 DAWOOD EQUITIES LIMITED	26-Jun-19	NCCPL/CRO/93/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
555 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
556 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
557 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
558 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
559 AZEE SECURITIES PRIVATE LIMITED	31-May-19	NCCPL/CRO/86/19	Warning 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
560 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
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	Broker Name	D-4-	Order/ Notice	Description of Principles and Principles
S. No		Date	Reference	Description of Disciplinary action
561 ASHFAQ ASHRAF SECURITI		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
562 ALFA ADHI SECURITIES PRI		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
563 MILLENIUM BROKERAGE F		21-May-19	NCCPL/CRO/72/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
564 FIRST CAPITAL EQUITIES LI 565 FIRST CAPITAL EQUITIES LI		21-May-19	NCCPL/CRO/74/19 NCCPL/CRO/70/19	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB
565 FIRST CAPITAL EQUITIES LI 566 AZEE SECURITIES PRIVATE		16-May-19 14-May-19	NCCPL/CRO/70/19 NCCPL/CRO/68/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
567 AZEE SECURITIES PRIVATE		14-May-19	NCCPL/CRO/69/19	Suspension under regulation 18.1.1(1) of NeCT- Regulations, 2013 of account or industrial or industr
568 SHAJAR CAPITAL PRIVATE		14-May-19	NCCPL/CRO/61/19	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
569 AZEE SECURITIES PRIVATE		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
570 AZEE SECURITIES PRIVATE		9-May-19	NCCPL/CRO/67/19	Revocation of Clearing Member Pursuant to settlement of money obligation
571 FORTUNE SECURITIES LIM		7-May-19	NCCPL/CRO/60/19	Warning issued under Regulation 14.3 and 14.6 of NCCPI Regulations, 2015 on account of matter pertaining to submission of NCB
572 FAIRWAY SECURITIES (PVT		7-May-19	NCCPL/CRO/62/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
573 Y.H SECURITIES PRIVATE L	IMITED	25-Apr-19	NCCPL/CS/158/19	Termination of Trading Financee ID under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
574 GROWTH SECURITIES (PVT		17-Apr-19	NCCPL/CRO/56/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
575 TS SECURITIES (PVT.) LIMI	TED	17-Apr-19	NCCPL/CRO/57/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
576 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
577 K & I GLOBAL CAPITAL (PV		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
578 RAHAT SECURITIES (PVT.)		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
579 STRONGMAN SECURITIES		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
580 FAWAD YUSUF SECURITIES		29-Mar-19	NCCPL/CRO/53/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
581 GULREZ SECURITIES (PVT.) 582 SAKARWALA CAPITAL SECU		28-Mar-19 28-Mar-19	NCCPL/CRO/47/19 NCCPL/CRO/48/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
582 SAKARWALA CAPITAL SEC 583 TECHNO FUNDAMENTAL (28-Mar-19 28-Mar-19	NCCPL/CRO/48/19 NCCPL/CRO/49/19	warning issued under Regulation 14.1.1 or N.C.P. Regulations, 2015 on account of inspection conducted under lond inspection Regulations Warning issued under Regulation 14.1.1 or N.C.P. Regulations, 2015 on account of inspection conducted under lond inspection Regulations Warning issued under Regulation 14.1.1 of N.C.P. Regulations, 2015 on account of inspection conducted under Joint inspection Regulations
584 MAAN SECURITIES (PVT.) I		28-Mar-19	NCCPL/CRO/49/19 NCCPL/CRO/50/19	warring issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warring Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warring Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
585 IAK SECURITIES PVT. LIMIT		22-Mar-19	NCCPL/CRO/30/19 NCCPL/CRO/42/19	Revocation of Restriction of access to services, Pursuant to action taken by PSX and submission of audited NDS
	NACIAL SERVICES LIMITED	20-Mar-19	NCCPL/CRO/38/19	Notice issued to resolve open observation identified under Inspection conducted under John Regulations, 2015
587 M H SECURITIES (PVT.) LTI		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.
588 WE FINANCIAL SERVICES L		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 7B.2.4 of NCCPL Regulations, 2015.
589 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 7C.2.4 of NCCPL Regulations, 2015.
590 IAK SECURITIES (PVT.) LIM	IITED	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
591 M.F STOCKS (PVT.) LIMITE	D	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
592 RUC SECURITES (PVT.) LIM		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
593 HAJI ABDUL SATTAR SECU		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
594 CHENAB STOCK SERVICES		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.
595 FOUNDATION SECURITIES		12-Mar-19	NCCPL/CRO/35/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
596 SOUTH ASIAN SECURITIES		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
597 NAYYAR SHEIKH SECURITII 598 INVEST CAPITAL MARKETS		6-Mar-19 22-Feb-19	NCCPL/CS/96/19 NCCPL/CRO/32/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
599 AMCAP SECURITIES (PVT.)		21-Feb-19		Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Further suspension under Regulation 18.1.1 (e) & 14.7 of NCCPL Regulations, 2015 On account of matters identified under Joint Inspection
600 128 SECURITIES (PVT) LTD		19-Feb-19	NCCPL/CRO/30/19	Revocation of restriction on pening of new client accounts of Clearing Member Pursuant to action taken by PSX
601 CASSIM INVESTMENTS (PR		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
602 ISOUTH ASIAN SECURITIES		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
	(PRIVATE) LIMITED	18-Feb-19 18-Feb-19	NCCPL/CRO/29/19 NCCPL/CRO/27/19	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 on account of Inspection conducted under Joint Inspection Regulations
	(PRIVATE) LIMITED RITIES (PVT.) LIMITED	18-Feb-19 18-Feb-19 18-Feb-19	NCCPL/CRO/29/19 NCCPL/CRO/27/19 NCCPL/CRO/25/19	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 on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
603 M. SALIM KASMANI SECUR	(PRIVATE) LIMITED RITIES (PVT.) LIMITED PVT.) LIMITED	18-Feb-19	NCCPL/CRO/27/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations
603 M. SALIM KASMANI SECUR 604 HH MISBAH SECURITIES (P	(PRIVATE) LIMITED RITIES (PVT.) LIMITED PVT.) LIMITED IES (PVT.) LIMITED	18-Feb-19 18-Feb-19	NCCPL/CRO/27/19 NCCPL/CRO/25/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
603 M. SALIM KASMANI SECUR 604 HH MISBAH SECURITIES (P 605 GALAXY CAPITAL SECURITI 606 ABBASI & CO. (PVT.) LIMIT 607 NETWORTH SECURITIES LI	(PRIVATE) LIMITED RITIES (PVT.) LIMITED VT.) LIMITED ILISE (PVT.) LIMITED TED IMITED	18-Feb-19 18-Feb-19 18-Feb-19	NCCPL/CRO/27/19 NCCPL/CRO/25/19 NCCPL/CRO/26/19 NCCPL/CRO/23/19 NCCPL/CRO/24/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations Number of Susued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Warning issued on account of Inspection conducted under Joint Inspection Regulations
603 M. SALIM KASMANI SECUR 604 HH MISBAH SECURITIES (P 605 GALAXY CAPITAL SECURITI 606 ABBASI & CO. (PVT.) LIMIT 607 NETWORTH SECURITIES LI 608 DALAL SECURITIES (PVT.) L	(PRIVATE) LIMITED RITIES (PVT.) LIMITED VT.) LIMITED ILISE (PVT.) LIMITED TED IMITED	18-Feb-19 18-Feb-19 18-Feb-19 18-Feb-19 18-Feb-19 18-Feb-19	NCCPL/CRO/27/19 NCCPL/CRO/25/19 NCCPL/CRO/26/19 NCCPL/CRO/23/19 NCCPL/CRO/24/19 NCCPL/CRO/28/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Warning Issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations
603 M. SALIM KASMANI SECUR 604 HH MISBAH SECURITIES (P 605 GALAXY CAPITAL SECURITI 606 ABBASI & CO. (PVT.) LIMIT 607 NETWORTH SECURITIES LI 608 DALAL SECURITIES (PVT.) L 609 RFJ EQUITY (PVT) LTD	(PRIVATE) LIMITED RITIES (PVT.) LIMITED VT.) LIMITED ILISE (PVT.) LIMITED TED IMITED	18-Feb-19 18-Feb-19 18-Feb-19 18-Feb-19 18-Feb-19 18-Feb-19 29-Jan-19	NCCPL/CRO/27/19 NCCPL/CRO/25/19 NCCPL/CRO/26/19 NCCPL/CRO/23/19 NCCPL/CRO/24/19 NCCPL/CRO/28/19 NCCPL/CS/29/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations Termination under Regulation 18.1.1() & 18.3 of NCCP Regulations, 2015 On account of Self Termination
603 M. SALIM KASMANI SECUP 604 HH MISBAH SECURITIES (P 605 GALAXY CAPITAL SECURITI 606 ABBASI & CO. (PVT.) LIMIT 607 NETWORTH SECURITIES (PVT.) L 608 DALAL SECURITIES (PVT.) L 609 RFI EQUITY (PVT.) LT 610 HMC STOCKS (PVT.) LTD	(PRIVATE) LIMITED WITIES (PVT.) LIMITED PVT.) LIMITED JES (PVT.) LIMITED JES (PVT.) LIMITED JED JES (PVT.) LIMITED JED JES (PVT.) LIMITED JED JES (PVT.) LIMITED JES (PVT.) LIMITED JES (PVT.) LIMITED	18-Feb-19 18-Feb-19 18-Feb-19 18-Feb-19 18-Feb-19 18-Feb-19 29-Jan-19 23-Jan-19	NCCPL/CRO/27/19 NCCPL/CRO/25/19 NCCPL/CRO/25/19 NCCPL/CRO/26/19 NCCPL/CRO/24/19 NCCPL/CRO/28/19 NCCPL/CRO/29/19 NCCPL/CRO/15/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Termination under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 on account of Self Termination Revocation of Clearing Member Pursuant to acclusion taken by PSX and submission of audited NCB
603 M. SALIM KASMANI SECUR 604 IH MISBAH SECURITIES (P 605 GALAXY CAPITAL SECURITIE 606 ABBASI & CO. (PVT.) LIMIT 607 NETWORTH SECURITIES LI 608 DALAL SECURITIES (PVT) 609 RFI EQUITY (PVT) LTD 610 HMC STOCKS (PVT) LTD 611 K.H.S. SECURITIES (PVT.) LT	(PRIVATE) LIMITED RITIES (PVT.) LIMITED PVT.) LIMITED IES (PVT.) LIMITED IES (PVT.) LIMITED IED IMITED IMITED IMITED.	18-Feb-19 18-Feb-19 18-Feb-19 18-Feb-19 18-Feb-19 18-Feb-19 29-Jan-19 22-Jan-19	NCCPL/CRO/27/19 NCCPL/CRO/25/19 NCCPL/CRO/25/19 NCCPL/CRO/23/19 NCCPL/CRO/24/19 NCCPL/CRO/28/19 NCCPL/CS/29/19 NCCPL/CRO/15/19 NCCPL/CRO/15/19 NCCPL/CRO/14/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Warning Issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Termination under Regulation 18.1.1(i) 8. 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB
603 M. SALIM KASMANI SECUP 604 HH MISBAH SECURTIES [P 605 GALAXY CAPITAL SECUTION 606 ABBASI & CO. (PVT.) LIMIT 607 NETWORTH SECURITIES LI 608 DALAL SECURITIES (PVT.) LI 609 RFI EQUITY (PVT) LT 610 HMC STOCKS (PVT) LT 611 K.H.S. SECURITIES (PVT.) L 612 K.H.S. SECURITIES (PVT.) L	(PRIVATE) LIMITED RITIES (PVT.) LIMITED PVT.) LIMITED IES (PVT.) LIMITED IES (PVT.) LIMITED IED IMITED IMITED IMITED.	18-Feb-19 18-Feb-19 18-Feb-19 18-Feb-19 18-Feb-19 18-Feb-19 29-Jan-19 22-Jan-19 16-Jan-19	NCCPL/CRO/27/19 NCCPL/CRO/25/19 NCCPL/CRO/26/19 NCCPL/CRO/23/19 NCCPL/CRO/24/19 NCCPL/CRO/28/19 NCCPL/CS/29/19 NCCPL/CS/29/19 NCCPL/CRO/15/19 NCCPL/CRO/14/19 NCCPL/CRO/14/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Notice Issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB Restriction of Access to services under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
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Reference 358 BABA EQUITIES (PVT.) LIMITED 29-0ct-18 NCCPL/CRO/J87/18 Notice issued to resolve open observation identified under Joint Inspection Regulations, 2015 367 JAVED LOBAL SECURITIES (PVT.) LIMITED-LSI 29-0ct-18 NCCPL/CRO/J87/18 NUA SECURITIES (PVT.) LIMITED-LSI 29-0ct-18 NCCPL/CRO/J88/18 NUA SECURITIES (PVT.) LIMITED-LSI 29-0ct-18 NCCPL/CRO/J88/18 Nucre issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 363 ZAHID LATIR KNAN SECURITIES (PVT.) LIMITED-LSI 29-0ct-18 NCCPL/CRO/J88/18 NCCPL/CRO/J88/18 NCCPL/CRO/J88/18 NCCPL/CRO/J88/18 NCCPL/CRO/J88/18 NCCPL/CRO/J88/18 NCCPL/CRO/J88/18 NCCPL/CRO/J88/18 Restriction of AIR Cests to services under Regulation 18.1.1() of NCCPL Regulations, 2015 On account of self termination 464 ZA SECURITIES (PRIVATE) LIMITED 16-0ct-18 NCCPL/CRO/J88/18 NCCPL	
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ASSECURITIES (PVT.) LIMITED-LS 29-0ct-18 NCCPV/CRO/189/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015	
2-Oct-18 NCCPL/CRO/132/18 Restriction of MF CM Account under Regulation 18.1.1(i) of NCCPL Regulations, 2015 On account of self termination 4-Oct-18 NCCPL/CRO/192/18 Restriction of access to services under Regulation 18.1.1(i) of NCCPL Regulations, 2015 Pursuant to action taken by PSX 4-Oct-18 NCCPL/CRO/186/18 Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB 5-AS SECURITES (PRIVATE) LIMITED 4-Oct-18 NCCPL/CRO/188/18 Restriction of access to services under Regulation 18.1.1(i) b 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 5-AS SECURITES (PRIVATE) LIMITED 5-Oct-18 NCCPL/CRO/182/18 NCCPL/CRO/182/18 Warning issued under Regulation 18.1.1(i) b 18.3 of NCCPL Regulations, 2015 on account of matter pertaining to submission of NCB 6-AZ AS SECURITES (PRIVATE) LIMITED 5-Oct-18 NCCPL/CRO/182/18 Warning issued under Regulation 18.1.1(i) of NCCPI Regulations, 2015 on account of matter pertaining to submission of NCB 6-AZ ASSECURITES (PVT), LIMITED 5-Oct-18 NCCPL/CRO/179/18 Warning issued under Regulation 18.1.1(i) of NCCPI Regulations, 2015 on account of matter pertaining to delay in payment of money obligation 6-AZ ASSECURITES (PVT), LIMITED 5-Oct-18 NCCPL/CRO/179/18 NCCPL/CRO/179/18 Warning issued on account of inspection conducted under Joint Inspection Regulations 6-AZ ASSECURITES (PVT), LIMITED 5-Oct-18 NCCPL/CRO/179/18 Revocation of Clearing Member Pursuant to action taken by PSX 6-AZ PIRST CAPITAL EQUITIES LIMITED 9-Oct-18 NCCPL/CRO/179/18 Revocation of Clearing Member Pursuant to action taken by PSX 6-AZ PIRST CAPITAL EQUITIES LIMITED 9-Oct-18 NCCPL/CRO/179/18 Revocation of Clearing Member Pursuant to action taken by PSX 6-AZ PIRST CAPITAL EQUITIES LIMITED 9-Oct-18 NCCPL/CRO/179/18 NCCPL/CRO/179/18 Revocation of Clearing Member Pursuant to action taken by PSX 6-AZ PIRST CAPITAL EQUITIES LIMITED 4-Oct-18 NCCPL/CRO/179/18 NCCPL/CRO/179/18 NCCPL/CRO/179/18 NCCPL/CRO/179/18 NCCPL/CRO/179/18 NCCPL/CRO/179/18 NCCPL/CRO/179/18 NCCPL/CRO/179	
561 F.M. SECURITIES (PRIVATE) LIMITED 26-Oct-18 NCCPL/CRO/182/18 Restriction of access to services under Regulation 18.1.1(p) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 464 A.S. SECURITIES (PRIVATE) LIMITED 16-Oct-18 NCCPL/CRO/183/18 Restriction of access to services under Regulation 18.1.1(p) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 464 A.S. SECURITIES (PRIVATE) LIMITED 16-Oct-18 NCCPL/CRO/183/18 Restriction of access to services under Regulation 18.1.1(p) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 464 AZEE SECURITIES (PRIVATE) LIMITED 16-Oct-18 NCCPL/CRO/183/18 Warning issued under Regulation 18.1.1(p) & 18.3 of NCCPL Regulations, 2015 On account of matter pertaining to submission of NCB 464 AZEE SECURITIES 16-Oct-18 NCCPL/CRO/187/18 Warning issued under Regulation 18.1.1(p) & 10.0 CPL Regulations, 2015 On account of matter pertaining to delay in payment of money obligation 16-Oct-18 NCCPL/CRO/179/18 Warning issued on account of Inspection conducted under Joint inspection Regulations 464 PRIST CAPITAL EQUITIES LIMITED 12-Oct-18 NCCPL/CRO/179/18 Revocation of Clearing Member Pursuant to action taken by PSX 467 PRIST CAPITAL EQUITIES LIMITED 9-Oct-18 NCCPL/CRO/179/18 Revocation of Clearing Member Pursuant to action taken by PSX 468 PRIST CAPITAL EQUITIES LIMITED 9-Oct-18 NCCPL/CRO/179/18 Revocation of Clearing Member Pursuant to action taken by PSX 469 PRIST CAPITAL EQUITIES LIMITED 9-Oct-18 NCCPL/CRO/179/18 Revocation of Clearing Member Pursuant to action taken by PSX 469 PRIST CAPITAL EQUITIES LIMITED 9-Oct-18 NCCPL/CRO/179/18 NCCPL/CRO/179/18 Revocation of Clearing Member Pursuant to action taken by PSX 469 PRIST CAPITAL EQUITIES LIMITED 4-Oct-18 NCCPL/CRO/179/18 NCCPL/CRO/179/18 Revocation of Clearing Member Pursuant to action taken by PSX 469 PRIST CAPITAL EQUITIES LIMITED 4-Oct-18 NCCPL/CRO/179/18 Warning issued on account of inspection conducted under loint inspection Regulations, 2015 4-Oct-18 NCCPL/CRO/179/1	
642 XPERT SECURITIES (PRIVATE) LIMITED 4-Oct-18 NCCPL/CRO/183/18 Restriction of Clearing Member Pursuant to action taken by PSX and submission of audited NCB 642 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 643 XPERT SECURITIES (PRIVATE) LIMITED 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 submission of NCB 644 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 645 MARKET 786 (PVT.) LIMITED 12-Oct-18 NCCPL/CRO/179/18 Warning issued on account of inspection conducted under loint inspection Regulations 646 CAMCO (PVT.) LIMITED 12-Oct-18 NCCPL/CRO/176/18 Revocation of Clearing Member Pursuant to action taken by PSX 647 [RIST CAPITAL EQUITIES LIMITED 9-Oct-18 NCCPL/CRO/176/18 Revocation of Clearing Member Pursuant to action taken by PSX 648 PRIST CAPITAL EQUITIES LIMITED 9-Oct-18 NCCPL/CRO/176/18 Revocation of Clearing Member Pursuant to action taken by PSX 649 FIRST CAPITAL EQUITIES LIMITED 9-Oct-18 NCCPL/CRO/176/18 Suspension under Regulations 18.1.1(e) of NCCP Regulations, 2015 on account of default of money obligation 650 MGM SECURITIES (PVT.) LIMITED 4-Oct-18 NCCPL/CRO/170/18 Warning issued on account of Inspection conducted under Joint Inspection Regulations, 2015 651 CASSIM INVESTMENTS (PVT.) LIMITED 4-Oct-18 NCCPL/CRO/170/18 Warning issued on account of Inspection conducted under Joint Inspection Regulations, 2015 652 ASDA SECURITIES (PVT.) LIMITED 4-Oct-18 NCCPL/CRO/170/18 NCCPL/CRO/170/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 653 ASDA SECURITIES (PVT.) LIMITED 4-Oct-18 NCCPL/CRO/150/18 NCCPL/CRO/150/18 Restriction of access to services under Reg	
6.42 A.S.SECURITIES (PRIVATE) LIMITED	1
SPERT SECURITIES (PRIVATE) LIMITED 16-Oct-18 NCCPU/CRO/181/18 Warning issued under Regulation 14.3 of NCPI Regulations, 2015 On account of matter pertaining to submission of NCB	
AZEE SECURITIES 16-Oct-18 NCCPU/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 45 MARKET 786 (PVT.) LIMITED 15-Oct-18 NCCPU/CRO/179/18 Revocation of Clearing Member Pursuant to action taken by PSX	1
MARKET 786 [PVT, J LMITED 15-Oct-18 NCCPU/CRO/179/18 Warning Issued on account of Inspection conducted under Joint Inspection Regulations	
646 CAMCO (PVT.) LIMITED 12-Oct.18 NCCPL/CRO/178/18 Revocation of Clearing Member Pursuant to action taken by PSX	
648 INA SECURITIES (PVT) LTD	
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 4-Oct-18 NCCPL/CRO/170/18 Warning Issued on account of inspection conducted under Joint Inspection Regulations NCCPL/CRO/170/18 NOTE INSURATION Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 NOTE INSURATION Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 NOTE INSURATION NOTICE INSURATION INSURA	
MGM SECURITIES [PVT.] LIMITED	
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652 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 653 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 654 APEX CAPITLA SECURITIES (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 655 INA SECURITIES (PVT) LIMITED 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 657 PROGRESSIVE INV. MANAGEMENT (PVT) LTD. 18-Sep-18 NCCPL/CRO/158/18 Revocation of Clearing Member Pursuant to action taken by PCX 658 APEX FECURITIES (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 PCX 658 PRETT 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 PCX	
BaB SECURITES (PVT.) LIMITED 4-Oct-18 NCCPL/CRO/169/18 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015	
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 655 CAMCO (PVT, 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 656 INA SECURITIES (PVT) LTD 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 657 PROGRESSIVE INV. MANAGEMENT (PVT) LTD. 18-Sep-18 NCCPL/CRO/156/18 Reveration of Clearing Member Pursuant to action taken by CDC 658 VERT 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 Restriction of Clearing Member Pursuant to action taken by CDC 658 RESTRICTION OF CLEAR (PVT) 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	
655 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 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 656 PROBRESSIVE INV. MANAGEMENT (PVT) LTD. 18-Sep-18 NCCPL/CRO/156/18 Revocation of Clearing Member Pursuant to action taken by CDC 658 VPERT 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 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
In a SECURITIES (PVT) LTD 18-Sep-18 NCCPU/CRO/158/18 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPU Regulations, 2015 Pursuant to action taken by PSX	
FOR PROGRESSIVE INV. MANAGEMENT (PVT) LTD. 18-Sep-18 NCCPL/CRO/150/18 Revocation of Clearing Member Pursuant to action taken by CDC Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
658 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	
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660 APEX CAPITAL SECURITIES (PVT) LIMITED 18-Sep-18 NCCPL/CRO/164/18 Revocation of Clearing Member Pursuant to action taken by PSX	
661 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	
662 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	
663 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	
664 MOHAMMAD MUNIR MOHAMMAD 12-Sep-18 NCCPL/CRO/153/18 Warning issued on account of matters forwarded by the Commission	
665 CONTINENTAL CAPITAL MANAGEMENT (PVT.) LIMITED 12-Sep-18 NCCPL/CRC/152/18 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015	
666 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 667 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	
667 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 668 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	
669 SMAC INVESTMENTS (SMC-PVT) LTD. 7-Sep-18 NCCPL/CS/33/26 Termination under Regulation 18-11-10/18 at 30 f NCCP Regulations, 2015 On account of Self Termination	
670 FAIRTADE CAPITAL SECURITIES (PVT.) LIMITED 31-Aug-18 NCCPL/CRO/148/18 Revocation of Clearing Member Pursuant to action taken by PSX	
671 SAIMA QAISER SECURITIES (PVT) LIMITED 24-Aug-18 NCCPL/CRO/145/18 Revocation of Clearing Member Pursuant to action taken by PSX	
672 DIM SECURITIES (PVT.) LIMITED 20-Aug-18 NCCPL/CRO/142/18 Warning issued on account of Inspection conducted under Joint Inspection Regulations	
673 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	
674 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	
675 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	
676 VENUS SECURITIES (PVT.) LIMITED 15-Aug-18 NCCPL/CRO/140/18 Revocation of Clearing Member On account of notice issued by SECP	
677 OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED 2-Aug-18 NCCPL/CRO/129/18 Revocation of Clearing Member Pursuant to action taken by PSX 678 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	
AVALUE STUCK AND COMMONDERS [PV1.] ETD. 2-240g-18 NCLPY_LVX150/18 Removal or restriction on opening on new client accounts or Learning whemever auxiliary to a control restriction on opening on the control restriction on the control restriction of	
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681 DARSON SECURITIES (PVT.) LIMITED(LSI) 26-Jul-18 NCCPL/CRO/117/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015	
682 FALKI 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	
683 GULREZ 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	
684 RAHAT SECURITIES LIMITED 26-Jul-18 NCCPL/CRO/125/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015	
685 AHSAM SECURITIES (PVT.) LIMITED 24-Jul-18 NCCPL/CRO/121/18 Revocation of Clearing Member On account of notice issued by SECP	
686 R.F.J. EQUITY (PRIVATE) LIMITED 24-Jul-18 NCCPL/CRO/122/18 Revocation of Clearing Member On account of notice issued by SECP	
S87 SMAC INVESTMENTS (SMC-PVT) LTD. 19-Jul-18 NCCPU/CRO/108/18 Revocation of Clearing Member On account of notice issued by SECP	
688 GROWTH SECURITIES (PVT.) LIMITED COMMISSION 17-Jul-18 NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters forwarded by the Commission NCCPU/CR0/90/18 Warning Issued on account of matters for account of matters fo	
689 PROGRESSIVE INVESTMENT MANAGEMENT (PVT.) LIMITED 17-Jul-18 NCCPL/CRO/92/18 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 690 FAIR EDGE SECURITIES (PVT.) LIMITED 17-Jul-18 NCCPL/CRO/107/18 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015	
17-30-18 NCCP/CRO/108/18 Notice issued to resolve open observation intentined under inspection conducted under joint inspection Regulations, 2015 (Se) FIRST CAPITAL EQUITIES LIMITED 17-30-18 (NCCP/CRO/108/18) Notice issued to resolve open observation intentined under inspection conducted under joint inspection Regulations, 2015	
991 INST EQUITY MODARABA 17-Jul-18 NCCPL/CRO/106/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015	
693 QBAL USMAN KODVAVI SECURITIES (PVT.) LIMITED 17-Jul-18 NCCPL/CRO/89/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015	
694 SEVEN STAR SECURITIES (PVT.) LIMITED 17-Jul-18 NCCPL/CRO/91/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015	
695 INTERACTIVE SECURITIES (PVT.) LIMITED 16-Jul-18 NCCPL/CRO/93/18 Revocation of Clearing Member On account of notice issued by SECP	
690 PEARL BROKERAGE PRIVATE LIMITED 6-Jul-18 NCCPL/CS/266/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination	
697 FAIR DEAL SECURITIES (PVT) LTD. 5-Jul-18 NCCPL/CS/262/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination	
697 FAIR DEAL SECURITIES (PVT.) LTD. 5-Jul-18 NCCPL/CS/262/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 698 SAL SECURITIES (PVT.) LIMITED 3-Jul-18 NCCPL/CR0/86/18 Warning issued on account of Inspection conducted under Joint Inspection Regulations	
FARD EAL SECURITIES (PVT) LTD. 5-Jul-18 NCCPL/CS/262/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination	
697 FAIR DEAL SECURITIES (PVT) LTD. 5-Jul-18 NCCPL/CS/262/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 698 SAL SECURITIES (PVT.) LIMITED 3-Jul-18 NCCPL/CRO/86/18 Warning issued on account of Inspection conducted under Joint Inspection Regulations 699 WE FINANCIAL SERVICES LIMITED 3-Jul-18 NCCPL/CRO/88/18 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 700 ASA STOCKS (PVT.) LIMITED 29-Jun-18 NCCPL/CRO/85/18 Revocation of Clearing Member Pursuant to action taken by PSX	
697 FAIR DEAL SECURITIES (PVT) LTD. 5-Jul-18 NCCPL/CS/262/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 698 SAL SECURITIES (PVT, LIMITED 3-Jul-18 NCCPL/CRO/86/18 Warning issued on account of Inspection conducted under Joint Inspection Regulations 699 WE FINANCIAL SERVICES LIMITED 3-Jul-18 NCCPL/CRO/88/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 701 KP SECURITIES (PRIVATE) LIMITED 28-Jun-18 NCCPL/CRO/84/18 Revocation of Clearing Member Pursuant to action taken by PSX	
FAIR DEAL SCURITIES (PVT) LTD. 5-Jul-18 NCCPL/CS/262/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination	
697 FAIR DEAL SECURITIES (PVT) LTD. 5-Jul-18 NCCPL/CS/262/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 698 SAL SECURITIES (PVT.) LIMITED 3-Jul-18 NCCPL/CRO/86/18 Warning issued on account of Inspection conducted under Joint Inspection Regulations 699 WE FINANCIAL SERVICES LIMITED 3-Jul-18 NCCPL/CRO/85/18 Revocation of Clearing Member Pursuant to action taken by PSX 701 KP SECURITIES (PRIVATE) LIMITED 29-Jun-18 NCCPL/CRO/84/18 Revocation of Clearing Member Pursuant to action taken by PSX 702 AVX 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 703 FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED 25-Jun-18 NCCPL/CS/242/18 Revocation of Clearing Member Pursuant to action taken by PSX 704 AVX INVESTMENT LIMITED 705 FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED 706 FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED 707 FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED 708 FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED 709 FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED 709 FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED 700 FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED	
FARD DEAL SECURITES (PYT) LTD. 5-Jul-18 NCCPL/CRO/86/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination	
697 FAIR DEAL SECURITIES (PVT) LIMITED 3-Jul-18 NCCPL/CRO/86/18 Warning Issued on account of Inspection conducted under Joint Inspection Regulations 698 SAL SECURITIES (PVT.) LIMITED 3-Jul-18 NCCPL/CRO/86/18 Warning Issued on account of Inspection conducted under Joint Inspection Regulations 700 ASA STOCKS (PVT.) LIMITED 29-Jun-18 NCCPL/CRO/88/18 Revocation of Clearing Member Pursuant to action taken by PSX 701 KP SECURITIES (PRIVATE) LIMITED 28-Jun-18 NCCPL/CRO/84/18 Revocation of Clearing Member Pursuant to action taken by PSX 702 AWT INVESTMENT LIMITED 27-Jun-18 NCCPL/CRO/84/18 Revocation of Clearing Member Pursuant to action taken by PSX 704 AWT INVESTMENT LIMITED 705 FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED 706 FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED 707 ASA STOCKS (PVT.) LIMITED 708 FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED 709 ASA STOCKS (PVT.) LIMITED 709 ASA STOCKS (PVT.) LIMITED 700 ASA STOCKS (PVT.) LIMITED 701 ASA STOCKS (PVT.) LIMITED 702 AWT INVESTMENT LIMITED 703 RESURTINES (PRIVATE) LIMITED 704 ASA STOCKS (PVT.) LIMITED 705 ANACAP SECURITIES (PVT.) LIMITED 706 AMCAP SECURITIES (PVT.) LIMITED 707 ASA STOCKS (PVT.) LIMITED 708 AMCAP SECURITIES (PVT.) LIMITED 709 AMCAP SECURITI	
FARD DEAL SECURITIES (PVT) LTD. 5-Jul-18 NCCPL/CRO/86/18 Warming issued on account of Self Termination conducted under Joint Inspection Regulations, 2015 On account of Self Termination 3-Jul-18 NCCPL/CRO/86/18 Warming issued on account of Inspection conducted under Joint Inspection Regulations 3-Jul-18 NCCPL/CRO/86/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 3-Jul-18 NCCPL/CRO/86/18 Notice issued to resolve open observation identified under Inspection Conducted under Joint Inspection Regulations, 2015 3-Jul-18 NCCPL/CRO/86/18 Notice issued to resolve open observation identified under Inspection Regulation Inspection Regulations, 2015 NCCPL/CRO/86/18 Notice issued to resolve open observation identified under Inspection Conducted under Joint Inspection Regulations, 2015 NCCPL/CRO/86/18 Notice issued to resolve open observation identified under Inspection Regulation Issued to account of Self Termination Under Regulation of Learing Member Pursuant to action taken by PSX 701 NP SECURITIES (PRIVATE) LIMITED 27-Jun-18 NCCPL/CRO/88/18 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 704 ASA STOCKS (PVT.) LIMITED 27-Jun-18 NCCPL/CRO/88/18 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 705 KP SECURITIES (PRIVATE) LIMITED 27-Jun-18 NCCPL/CRO/88/18 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 706 KP SECURITIES (PRIVATE) LIMITED 27-Jun-18 NCCPL/CRO/88/18 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	

S. No	Date	Order/ Notice Reference	Description of Disciplinary action
709 DIN CAPITAL LIMITED	14-Jun-18		Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
710 ROYAL SECURITIES (PVT.) LIMITED	14-Jun-18	NCCPL/CRO/76/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
711 JAWED ZAKARIYA GULABI SECURITIES (PVT) LIMITED	13-Jun-18	NCCPL/CS/235/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
712 DAWOOD EQUITIES LIMITED - COMMISSION	8-Jun-18	NCCPL/CRO/73/18	Warning issued on account of matters forwarded by the Commission
713 ELIXIR SECURITIES PAKISTAN (PVT.) LIMITED	8-Jun-18	NCCPL/CRO/72/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
714 F.M SECURITIES (PVT.) LIMITED 715 FIRST NATIONAL EQUITIES LIMITED	8-Jun-18 8-Jun-18	NCCPL/CRO/70/18 NCCPL/CRO/71/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
716 TAURUS SECURITIES LIMITED	8-Jun-18	NCCPL/CRO/69/18	Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015
717 ABID ALI HABIB SECURITIES (PVT) LIMITED	29-May-18	NCCPL/CS/209/18	Termination under Regulation 18.1.1(i) 8 18.3 of NCCPL Regulations, 2015 On account of Self Termination
718 ASKARI SECURITIES LIMITED	18-May-18	NCCPL/CRO/67/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
719 DOSSLANI SECURITIES (PVT.) LIMITED	18-May-18	NCCPL/CRO/68/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
720 VALUE STOCK & COMMODITIES (PVT.) LIMITED (LSI)	18-May-18	NCCPL/CRO/66/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
721 JAHANZAIB SECURITIES (PVT) LIMITED	17-May-18	NCCPL/CS/196/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
722 FAIR DEAL SECURITIES (PVT) LTD.	16-May-18	NCCPL/CRO/69/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of MCCPL Regulations, 2015 Pursuant to action taken by PSX
723 KSR STOCK BROKERAGE (PVT) LTD. 724 MANNOO CAPITAL (PVT.) LIMITED	10-May-18 20-Apr-18	NCCPL/CS/188/18 NCCPL/CRO/48/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self termination Warning issued on account of Inspection conducted under Joint Inspection Regulations
725 128 SECURITIES (PVT.) LIMITED	20-Apr-18	NCCPL/CRO/44/18	Training Issue of a resolve open observation identified under inspection regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
726 ABBASI SECURITIES (PVT.) LIMITED	20-Apr-18	NCCPL/CRO/45/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
727 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
728 K&I GLOBAL CAPITAL (PVT.) LIMITED	20-Apr-18	NCCPL/CRO/47/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
729 PATEL SECURITIES (PVT.) LIMITED	20-Apr-18	NCCPL/CRO/43/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
730 SHAFFI SECURITIES (PVT) LIMITED	19-Mar-18	NCCPL/CRO/42/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
731 SHAFFI SECURITIES (PVT) LIMITED	19-Mar-18	NCCPL/CRO/43/18	Revocation of Clearing Member Pursuant to action taken by PSX
732 MAHA SECURITIES (PVT.) LIMITED 733 ALFALAH SECURITIES (PVT.) LIMITED	12-Mar-18 12-Mar-18	NCCPL/CS/112/18 NCCPL/CRO/28/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
733 ALFALAH SECURITIES (PVT.) LIMITED 734 AXIS GLOBAL LIMITED	12-Mar-18	NCCPL/CRO/28/18 NCCPL/CRO/33/18	Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015
735 ICON CAPITAL MANAGEMENT (PVT.) LIMITED	12-Mar-18	NCCPL/CRO/29/18	Notice issued to resolve open observation identified under inspection conducted under John Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under John Inspection Regulations, 2015
736 INTERMARKET SECURITIES LIMITED	12-Mar-18	NCCPL/CRO/31/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspections, 2015
737 M.M SECURITIES (PVT.) LIMITED	12-Mar-18	NCCPL/CRO/30/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
738 SHAFFI SECURITIES (PVT.) LIMITED	12-Mar-18	NCCPL/CRO/27/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
739 TOPLINE SECURITIES LIMITED	12-Mar-18	NCCPL/CRO/32/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
740 F.M. SECURITIES (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
741 128 SECURITIES (PVT) LTD.	1-Mar-18	NCCPL/CRO/23/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
742 ALI HUSAIN RAJABALI LTD	23-Feb-18	NCCPL/CS/93/18	Termination under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 On account of self Termination
743 H.M. IDREES H. ADAM (PVT.) LIMITED 744 KHAYYAM SECURITIES (PVT) LIMITED	29-Jan-18 25-Jan-18	NCCPL/CS/56/18 NCCPL/CS/53/18	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
745 INVEST FORUM (PVT) LIMITED	23-Jan-18 23-Jan-18	NCCPL/CS/53/18 NCCPL/CS/50/18	Termination under Regulation 1.8.1.1(1) & 1.8.3 of NCPL Regulations, 2015 On account of Self Termination Termination under Regulation 1.8.1.1(1) & 1.8.3 of NCPL Regulations, 2015 On account of Self Termination
746 ISMAIL IQBAL SECURITIES (PVT.) LTD.	22-Jan-18	NCCPL/CRO/8/18	Notice issued to resolve operation identified under Inspection conducted under Joint Inspection Regulations, 2015
747 JSK SECURITIES LTD	22-Jan-18	NCCPL/CRO/10/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
748 RELIANCE SECURITIES LIMITED	22-Jan-18	NCCPL/CRO/6/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
749 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
750 XPERT SECURITIES (PRIVATE) LIMITED	18-Jan-18	NCCPL/CRO/009/18	Revocation of Clearing Member Pursuant to action taken by CDC
751 FIRST ZEIVA (PVT.) LTD.	4-Jan-18	NCCPL/CS/08/18	Termination under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
752 MILLENIUM SECURITIES AND INVESTMENT (PVT) LIMITED 753 PEARL BROKERAGE (PVT) LIMITED	1-Jan-18 1-Jan-18	NCCPL/CRO/001/18 NCCPL/CRO/002/18	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX
754 PEARL BROKERAGE (PVT.) LIMITED - COMMISSION	27-Dec-17		REVOICATION OF LEARING WEETING TO ACCOUNT ACCO
755 PEARL BROKERAGE (PVT) LIMITED	26-Dec-17	NCCPL/CRO/321/17	Restriction of access to services under Regulation 18.1.1(b) 8.18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
756 ADEEL ZAFAR SECURITIES (PVT.) LTD.	21-Dec-17	NCCPL/CS/510/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
757 XPERT SECURITIES (PRIVATE) LIMITED	20-Dec-17	NCCPL/CRO/312/17	Restriction of access to services under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
758 K.H.S. SECURITIES (PVT.) LIMITED.	19-Dec-17	NCCPL/CRO/311/17	Revocation of Clearing Member Pursuant to action taken by PSX
759 HH MISBAH SECURITIES (PVT.) LIMITED	19-Dec-17	NCCPL/CRO/302/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
760 MAAN SECURITIES (PVT.) LIMITED	19-Dec-17	NCCPL/CRO/303/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
761 STRONGMAN SECURITIES (PVT.) LIMITED 762 TECHNO FUNDAMENTAL SECURITIES (PVT.) LIMITED	19-Dec-17 19-Dec-17	NCCPL/CRO/301/17 NCCPL/CRO/300/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
762 ITECHNO FUNDAMENTAL SECURITIES (PVT.) LIMITED 763 INVEST FORUM SECURITIES (PVT) LIMITED	19-Dec-17 14-Dec-17		Notice issued to resolve open observation inentimed under inspection conducted under Joint inspection regulations, 2015 Suspension under Regulation 18.1.1(a) of NCCPI Regulations, 2015 On account of notice issued by SECP Suspension under Regulation 18.1.1(a) of NCCPI Regulations, 2015 On account of notice issued by SECP
764 AHKD SECURITIES (PVT) LIMITED	14-Dec-17		Jaspension under Regulation 18.1.1.(a) of MCCPL Regulations, 2015 on account of notice issued by SECP Suspension under Regulation 18.1.1(a) of MCCPL Regulations, 2015 on account of notice issued by SECP
765 AM CHAUDHRY SECURITIES (PVT.) LIMITED	12-Dec-17		Suspension under Regulation 18.1.1(a) of MCCPL Regulations, 2015 On account of notice issued by SECP
766 SHAUKAT SHAFI SECURITIES (PVT.) LIMITED	12-Dec-17	NCCPL/CRO/306/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
767 JAHANZAIB SECURITIES (PVT) LIMITED	12-Dec-17	NCCPL/CRO/305/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
768 HK SECURITIES PRIVATE LIMITED	11-Dec-17	NCCPL/CS/480/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
769 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
770 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
771 EQUITY MASTER SECURITIES (PVT.) LIMITED	28-Nov-17	NCCPL/CRO/286/17	Warning issued on account of inspection conducted under Joint Inspection Regulations Institute insured to appear the property of the property
772 A.N. EQUITIES (PVT.) LIMITED 773 BEST SECURITIES (PVT.) LIMITED	28-Nov-17 28-Nov-17		Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
774 BMA CAPITAL MANAGEMENT LIMITED	28-Nov-17 28-Nov-17		Notice issue to resolve open observation identified under inspection conducted under Joint inspection regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015
775 FOUNDATION SECURITIES (PVT.) LIMITED	28-Nov-17		Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
776 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
777 DIN CAPITAL LTD.	23-Nov-17	NCCPL/CRO/290/17	Revocation of Clearing Member On account of notice issued by SECP
778 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
779 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
780 MILLENIUM SECURITIES AND INVESTMENT (PVT) LIMITED	7-Nov-17		Restriction of access to services under Regulation 18.1.1(°c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
781 WISDOM SECURITIES (PVT) LIMITED 782 DIN CAPITAL LTD.	7-Nov-17		Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
	7-Nov-17	I 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

783 SHAUKAT SHAFI SECURITIES (PVT.) LIMITED	Date	Order/ Notice Reference	Description of Disciplinary action
	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
784 SCHON CAPITAL MARKETS LIMITED	1-Nov-17		Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
785 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
786 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
787 SAFE SECURITIES (PVT) LIMITED 788 PAK MEEZAN SECURITIES (PVT) LIMITED	25-Oct-17	NCCPL/CS/394/17 NCCPL/CRO/267/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
788 PAK MEEZAN SECURITIES (PVT) LIMITED 789 SUNRISE CAPITAL (PRIVATE) LIMITED	20-Oct-17 20-Oct-17		Termination under regulation 1.8.1.1(a) of NCCP regulations, 2015 on account on notice based by SECP Further Suspension under Regulation 1.8.1.1(a) of NCCPL Regulations, 2015 on account of notice issued by SECP
790 STOCKS VISION (PVT) LIMITED	20-Oct-17	NCCPL/CRO/266/17	
791 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
792 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
793 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
794 ADAM SECURITIES LIMITED	13-Oct-17		Warning issued on account of Inspection conducted under Joint Inspection Regulations
795 NETWORTH SECURITIES LIMITED	13-Oct-17	NCCPL/CRO/253/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
796 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
797 BAWA SECURITIES (PVT.) LIMITED 798 KHAWAJA SECURITIES (PVT.) LIMITED	13-Oct-17 13-Oct-17	NCCPL/CRO/259/17 NCCPL/CRO/87/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
799 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 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
800 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
801 NUA SECURITIES (PVT.) LIMITED	13-Oct-17	NCCPL/CRO/260/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
802 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
803 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
804 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
805 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
806 FIRST ZEIVA (PVT.) LTD. 807 AM CHAUDHRY SECURITIES (PVT.) LIMITED	22-Sep-17	NCCPL/CRO/243/17	Revocation of Clearing Member Pursuant to action taken by PSX
807 AM CHAUDHRY SECURITIES (PVT.) LIMITED 808 FIRST ZEIVA (PVT.) LTD.	21-Sep-17 21-Sep-17	NCCPL/CRO/241/17 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 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
808 PRST ZEIVA (PVT.) LTD. 809 INVEST CAPITAL MARKETS LIMITED	21-Sep-17 15-Sep-17	NCCPL/CRO/242/17 NCCPL/CRO/237/17	RESTITICION DI ACCESS LO SERVICES UDICION PREGIDIATION 1.0.1.0.0 A. 18-3 DI MCLPT. REGUIATIONS, 2013 PUBBLIANI IL O ACCIONI LARREN UY PSA RESTITICION UNDER PERGUIATION 18.1.1(P.) 18.2.2.8.18.3 of NCCPL REGUIATION, 2015 PUBBLIANI IL O ACCIONI LARREN UY PSA RESTITICION UNDER PERGUIATION 18.1.1(P.) 18.2.2.8.18.3 of NCCPL REGUIATION, 2015, ON ACCOUNT of MATERIA SIGNATION UNDER TOUR TOUR PSA RESTITICION UNDER TRANSPORTE AND ACCESSION UNDER UNDER TRANSPORTE A
810 SMB SECURITIS (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
811 AKD ANALYTICS (PVT) LIMITED	25-Aug-17	NCCPL/CRO/233/17	Termination under Regulation 18.1.1(a) of NCCP. Regulations, 2015 on account of notice issued by SECP
812 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
813 KAUSAR SECURITIES (PVT) LIMITED	22-Aug-17	NCCPL/CS/299/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
814 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
815 128 SECURITIES (PVT) LTD.	9-Aug-17		Revocation of Clearing Member Pursuant to action taken by PSX
816 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
817 128 SECURITIES (PVT) LTD.	3-Aug-17		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
818 JAVED OMER VOHRA AND COMPANY (PVT) LIMITED 819 AZEE SECURITIES	31-Jul-17 25-Jul-17	NCCPL/CS/273/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Warning issued under Regulation 18.1.1(e) of NCCPl Regulations, 2015 on account of matter pertaining to delay in payment of money obligation
820 DAWOOD EQUITIES LIMITED	25-Jul-17 25-Jul-17		Warning issued under negulation 18.1.1(e) of NCCP regulations, 2015 on account of matter pertaining to delay in payment or money obligation
	24-Jul-17		Restoration of Clearing Member Pursuant to action taken by PSX
821 MIVICAP SECURITIES (PVI.) LTD.			
821 AMCAP SECURITIES (PVT.) LTD. 822 S.Z SECURITIES (PVT) LIMITED			
822 S.Z SECURITIES (PVT) LIMITED 823 QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17	NCCPL/CRO/210/17 NCCPL/CS/248/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
822 S.Z SECURITIES (PVT) LIMITED 823 QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED 824 GLOBAL SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17	NCCPL/CRO/210/17 NCCPL/CS/248/17 NCCPL/CS/250/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 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 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
822 S.Z SECURITIES (PVT) LIMITED 823 QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED 824 GLOBAL SECURITIES (PVT) LIMITED 825 AZEE SECURITIES (PRIVATE) LIMITED.	18-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17	NCCPL/CRO/210/17 NCCPL/CS/248/17 NCCPL/CS/250/17 NCCPL/CRO/200/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 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 Revocation of Clearing Member Pursuant to settlement of money obligation
822 S.Z SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17	NCCPL/CRO/210/17 NCCPL/CS/248/17 NCCPL/CS/250/17 NCCPL/CRO/200/17 NCCPL/CS/240/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 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 Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
822 SZ SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 22-Jun-17	NCCPL/CRO/210/17 NCCPL/CS/248/17 NCCPL/CS/250/17 NCCPL/CRO/200/17 NCCPL/CS/240/17 NCCPL/CRO/199/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 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 Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(j) of NCCPL Regulations, 2015 On account of default of money obligation
822 S.Z. SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 22-Jun-17 19-Jun-17	NCCPL/CRO/210/17 NCCPL/CS/248/17 NCCPL/CS/250/17 NCCPL/CRO/200/17 NCCPL/CS/240/17 NCCPL/CRO/199/17 NCCPL/CRO/140/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation Warning issued on account of Inspection conducted under Joint Inspection Regulations
822 SZ SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 22-Jun-17 19-Jun-17 19-Jun-17	NCCPL/CRO/210/17 NCCPL/CS/248/17 NCCPL/CS/250/17 NCCPL/CRO/200/17 NCCPL/CRO/200/17 NCCPL/CRO/199/17 NCCPL/CRO/140/17 NCCPL/CRO/140/17 NCCPL/CRO/189/17	Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation Warning Issued on account of Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
822 S.Z SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 22-Jun-17 19-Jun-17	NCCPL/CRO/210/17 NCCPL/CS/248/17 NCCPL/CS/250/17 NCCPL/CS/250/17 NCCPL/CS/240/17 NCCPL/CS/240/17 NCCPL/CRO/199/17 NCCPL/CRO/140/17 NCCPL/CRO/140/17 NCCPL/CRO/140/17 NCCPL/CRO/190/17	Termination under Regulation 18.1.1(p) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(p) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(p) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(p) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(p) of NCCPL Regulations, 2015 On account of default of money obligation Warning issued on account of Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
822 S.Z. SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 22-Jun-17 19-Jun-17 19-Jun-17	NCCPL/CRO/210/17 NCCPL/CS/248/17 NCCPL/CS/250/17 NCCPL/CS/250/17 NCCPL/CRO/200/17 NCCPL/CRO/199/17 NCCPL/CRO/140/17 NCCPL/CRO/140/17 NCCPL/CRO/189/17 NCCPL/CRO/190/17 NCCPL/CRO/190/17	Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation Warning Issued on account of Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
322 S.Z. SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17	NCCPL/CRO/120/17 NCCPL/CS/248/17 NCCPL/CS/250/17 NCCPL/CS/250/17 NCCPL/CRO/200/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/193/17 NCCPL/CRO/193/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of Self Termination Warning issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
822 S.Z. SECURITIES (PVT) LIMITED 823 QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED 824 GLOBAL SECURITIES (PVT) LIMITED 825 AZEE SECURITIES (PVT) LIMITED 826 MIAN PARVEZ ASLAM SECURITIES (PVT) LIMITED 827 AZEE SECURITIES (PRIVATE) LIMITED 828 SPINZER EQUITIES (PVT.) LIMITED 829 ABBASI & COMPANY (PVT.) LIMITED 830 AKD SECURITIES (PINZER) 831 FORTUNE SECURITIES LIMITED 832 IGI FINEX LIMITED 833 IGI FINEX LIMITED 834 AZIZ DAWOOD SECURITIES (PVT.) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 22-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17	NCCPL/CRO/210/17 NCCPL/CS/288/17 NCCPL/CS/250/17 NCCPL/CS/250/17 NCCPL/CRO/200/17 NCCPL/CRO/199/17	Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(g) of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(s) of NCCPL Regulations, 2015 On account of default of money obligation Warning Issued on account of Inspection conducted under Joint Inspection Regulations Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection Conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection Conducted under Joint Inspection Regulations, 2015
822 SZ. SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 22-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 16-Jun-17	NCCPL/CRO/210/17 NCCPL/CS/248/17 NCCPL/CS/250/17 NCCPL/CS/250/17 NCCPL/CRO/20/17 NCCPL/CRO/199/17	Termination under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 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 Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Warning Issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
322 S.Z. SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 22-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 16-Jun-17 16-Jun-17	NCCPL/CRO/210/17 NCCPL/CS/248/17 NCCPL/CS/250/17 NCCPL/CS/250/17 NCCPL/CRO/200/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/193/17 NCCPL/CRO/193/17 NCCPL/CRO/193/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/199/17 NCCPL/CRO/195/17 NCCPL/CRO/195/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of Self Termination Warning issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP Termination under Regulation 18.1.1(a) af NCCPL Regulations, 2015 On account of Self Termination
B22 SZ SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 22-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 16-Jun-17 16-Jun-17	NCCPU/CRO/210/17 NCCPU/CS/248/17 NCCPU/CS/248/17 NCCPU/CS/250/17 NCCPU/CRO/200/17 NCCPU/CRO/199/17 NCCPU/CS/228/17	Termination under Regulation 18.1.1(p) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(q) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(q) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(q) & 18.0 NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(q) of NCCPL Regulations, 2015 On account of Self Termination Warning Issued on account of inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(q) of NCCPL Regulations, 2015 On account of notice issued by SECP Suspension under Regulation 18.1.1(q) at NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(q) at NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(q) at NCCPL Regulations, 2015 On account of Self Termination
822 S.Z. SECURITIES (PVT) LIMITED 823 QUALITY ISLAINIC INVESTMENTS AND SECURITIES (PVT) LIMITED 824 GLOBAL SECURITIES (PVT) LIMITED 825 AZEE SECURITIES (PRIVATE) LIMITED 826 MIAN PARVEZ ASLAM SECURITIES (PVT) LIMITED 827 AZEE SECURITIES (PRIVATE) LIMITED 828 SPINZER EQUITIES (PVT), LIMITED 829 ABBASI & COMPANY (PVT), LIMITED 830 AKD SECURITIES LIMITED 831 FORTUNE SECURITIES LIMITED 832 (IGF IREX LIMITED 833 TASECURITIES (PVT), LIMITED 834 AZIZ DAWOOD SECURITIES (PVT) LIMITED 835 TARICA SAYED SECURITIES (PVT) LIMITED 836 (ASIM MAHMOOD SECURITIES (PVT) LIMITED 837 MY SECURITIES (PVT) LIMITED 837 MY SECURITIES (PVT) LIMITED 837 MY SECURITIES (PVT) LIMITED 838 AB EQUITIES (PVT) LIMITED 837 MY SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 22-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17	NCCPL/CRO/210/17 NCCPL/CS/248/17 NCCPL/CS/250/17 NCCPL/CS/250/17 NCCPL/CRO/199/17	Termination under Regulation 18.1.1(p) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(f) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(f) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(f) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(f) of NCCPL Regulations, 2015 On account of default of money obligation Warning Issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation indentified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation indentified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation indentified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation indentified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation indentified under Inspection Conducted under Joint Inspection Regulations, 2015 Notice issued to resolve ope
822 SZ SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 22-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 16-Jun-17 16-Jun-17	NCCPU/CRO/210/17 NCCPU/CS/248/17 NCCPU/CS/248/17 NCCPU/CS/250/17 NCCPU/CRO/260/17 NCCPU/CRO/199/17 NCCPU/CRO/198/17 NCCPU/CRO/198/17 NCCPU/CRO/188/17	Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(g) of NCCPL Regulations, 2015 On account of Self Termination Warning Issued on account of Inspection conducted under Joint Inspection Regulations Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of Inspection Regulations, 2015 Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of Self Termination Termination un
822 SZ. SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 5-Jun-17 5-Jun-17 5-Jun-17	NCCPU/CRO/120/17 NCCPU/CS/248/17 NCCPU/CS/248/17 NCCPU/CS/250/17 NCCPU/CRO/250/17 NCCPU/CRO/250/17 NCCPU/CRO/199/17 NCCPU/CRO/195/17 NCCPU/CRO/195/17 NCCPU/CRO/195/17 NCCPU/CRO/195/17 NCCPU/CRO/195/17 NCCPU/CRO/195/17 NCCPU/CRO/195/17 NCCPU/CRO/195/17	Termination under Regulation 18.1.1(p) & 18.3 of NCCPL Regulations, 2015 Dursuant to action taken by PSX Termination under Regulation 18.1.1(q) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(q) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(q) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(q) of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(q) of NCCPL Regulations, 2015 On account of default of money obligation Warning Issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(q) of NCCPL Regulations, 2015 On account of notice issued by SECP Termination under Regulation 18.1.1(q) of NCCPL Regulations, 2015 On account of self Termination Termination under Regulation 18.1.1(q) at 18.3 of NCCPL Regulations, 2015 On account of self Terminat
822 SZ SECURITIES (PVT) LIMITED	18-Jul-17 5-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17	NCCPU/CRO/210/17 NCCPU/CS/248/17 NCCPU/CS/248/17 NCCPU/CS/250/17 NCCPU/CRO/260/17 NCCPU/CRO/199/17 NCCPU/CRO/198/17 NCCPU/CRO/198/17 NCCPU/CRO/188/17	Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(s) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(g) of NCCPL Regulations, 2015 On account of Self Termination Warning Issued on account of Inspection conducted under Joint Inspection Regulations Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of Inspection Regulations, 2015 Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of Self Termination Termination un
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222 E.Z. SECURITIES (PVT) LIMITED 223 QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED 224 GLOBAL SECURITIES (PNT) LIMITED 225 AZEE SECURITIES (PRIVATE) LIMITED 226 MIAN PARVEZ ASLAM SECURITIES (PVT) LIMITED 227 AZEE SECURITIES (PRIVATE) LIMITED 228 SPINZER EQUITIES (PVT.) LIMITED 229 ABBASI AC COMPANY (PVT.) LIMITED 230 AKD SECURITIES (PVT.) LIMITED 231 FORTUNE SECURITIES LIMITED 232 IGI FIREX LIMITED 233 TIS SECURITIES (PVT.) LIMITED 234 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 235 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 236 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 237 MAY SECURITIES (PVT.) LIMITED 238 AB EQUITIES (PVT.) LIMITED 240 ADAVOOD SECURITIES (PVT.) LIMITED 251 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 252 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 253 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 254 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 255 AND SECURITIES (PVT.) LIMITED 266 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 267 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 268 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 269 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 260 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 260 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 261 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 262 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 263 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 264 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 265 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 266 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 267 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 268 CHIPPA SECURITIES (PVT.) LIMITED 269 FORTSESS FINANCIAL SECURITIES (PVT.) LIMITED 269 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 260 INTERACTIVE SECURITIES (PVT.) LIMITED 260 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 261 INTERACTIVE SECURITIES (PVT.) LIMITED 262 INTERACTIVE SECURITIES (PVT.) LIMITED 263 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 264 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 265 INTERACTIVE SECURITIES (PVT.) LIMITED 267 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 268 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 267 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 268 AZIZ DAWOOD SECURITIES (PVT.) LIMITED 267 AZIZ DAWOOD SECURITIES (PVT	18-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 1-Jun-17 1-Jun-17 29-May-17	NCCPU/CRO/120/17 NCCPU/CS/248/17 NCCPU/CS/248/17 NCCPU/CS/259/17 NCCPU/CS/259/17 NCCPU/CRO/259/17 NCCPU/CRO/199/17 NCCPU/CRO/189/17 NCCPU/CRO/189/17 NCCPU/CRO/189/17 NCCPU/CRO/199/17 NCCPU/CRO/199/17 NCCPU/CRO/199/17 NCCPU/CRO/199/17 NCCPU/CRO/199/17 NCCPU/CRO/199/17 NCCPU/CRO/199/17 NCCPU/CRO/199/17 NCCPU/CRO/189/17 NCCPU/CRO/189/17 NCCPU/CRO/189/17 NCCPU/CRO/188/17 NCCPU/CRO/188/17 NCCPU/CRO/188/17 NCCPU/CRO/189/17 NCCPU/CRO/175/17 NCCPU/CRO/175/17 NCCPU/CRO/175/17 NCCPU/CRO/175/17 NCCPU/CRO/175/17 NCCPU/CRO/175/17 NCCPU/CRO/175/17 NCCPU/CRO/175/17 NCCPU/CRO/175/17	Termination under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Warning Issued on account of Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection Regulations, 2015 Notice issued to resolve Regulation 18.1.1(a) of NCCP, Regulations, 2015 On account of notice issued by SECP Suspension under Regulation 18.1.1(a) of NCCP, Regulations, 2015 On account of rotice issued by SECP Suspension under Regulation 18.1.1(a) & 18.3 of NCCP, Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(a) & 18.3 of NCCP, Regulations, 2015 On account of rotice issued by SECP Suspension under Regulation 18.1.1(a) & 18.3 of NCCP, Regulations,
22	18-Jul-17 5-Jul-17 5-Jul-17 22-Jun-17 22-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 19-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 16-Jun-17 19-Jun-17 19-Jun-1	NCCPU/CRO/210/17 NCCPU/CRO/248/17 NCCPU/CS/248/17 NCCPU/CS/248/17 NCCPU/CS/250/17 NCCPU/CRO/20/17 NCCPU/CRO/199/17 NCCPU/CRO/189/17 NCCPU/CRO/179/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection Conducted under Joint Regulations, 2015 Suspension under Regulation 18.1.1(i) & 18.3 of NCCPL Regula

S. No	Date	Order/ Notice	Description of Disciplinary action
		Reference	
857 R.A. SECURITIES (PVT.) LIMITED 858 R.F.J. EQUITY (PRIVATE) LIMITED	29-May-17	NCCPL/CRO/158/17 NCCPL/CRO/167/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
859 S M SECURITIES (PRIVATE) LIMITED	29-May-17 29-May-17	NCCPL/CRO/167/17 NCCPL/CRO/166/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
860 SHER CAPITAL EQUITIES (PVT.) LTD.	29-May-17		Josephinol union Regulation 18.1.1(a) & 18.3 of NCPL Regulations, 2015 on account of notice issued by SECP Suspension union Regulation 18.1.1(a) & 18.3 of NCPL Regulations, 2015 on account of notice issued by SECP
861 SMAC INVESTMENTS (SMC-PVT) LTD.	29-May-17		Suspension under Regulation at 11.1.1(a) & 13.5 of NCPL Regulations, 2015 of account of notice issued by SECP
862 SOUTH ASIAN SECURITIES (PRIVATE) LIMITED	29-May-17		Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
863 UNION SECURITIES (PVT) LTD.	29-May-17		Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
864 VENUS SECURITIES (PVT.) LIMITED	29-May-17		Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
865 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
866 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
867 MY SECURITIES (PVT) LIMITED	29-May-17		Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
868 ABID ALI HABIB SECURITIES (PVT) LIMITED	29-May-17		Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
869 JAWED ZAKARIYA GULABI SECURITIES (PVT) LIMITED	29-May-17		Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
870 BRIGHT INVESTMENT AND SECURITIES (PVT) LIMITED	29-May-17		Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
871 MAN SECURITIES (PVT) LIMITED	29-May-17		Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
872 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
873 FINE SECURITIES (SMC-PVT) LIMITED	26-May-17		Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
874 LUXOR SECURITIES (SMC-PVT) LIMITED 875 TUMBI SECURITIES (PVT) LIMITED	26-May-17	NCCPL/CRO/154/17 NCCPL/CS/198/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(f) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
876 LIVE SECURITIES LIMITED	25-May-17 25-May-17	NCCPL/CS/198/17 NCCPL/CS/200/17	Termination under Regulation 1.5.1.1(1) & 18.3 of NCCP Regulations, 2015 on account of self Termination Termination under Regulation 1.8.1.1(1) & 18.3 of NCCP Regulations, 2015 on account of self Termination
877 FIRST PAKISTAN SECURITIES LIMITED	24-May-17	NCCPL/CS/184/17	Termination under Regulation 1.6.1.1(1) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
878 MIAN PARVEZ ASLAM SECURITIES (PVT) LIMITED	23-May-17	NCCPL/CS/184/17 NCCPL/CRO/152/17	Suspension under Regulation 1.61(j) & 18.3 of NCCPL Regulations, 2015 On account to Sent Termination Suspension under Regulation 181(j) & 18.3 of NCCPL Regulations, 2015 On account to Sent Termination Suspension under Regulation 181(j) & 18.3 of NCCPL Regulations, 2015 On account to Sent Termination Suspension under Regulation 181(j) & 18.3 of NCCPL Regulations, 2015 On account to Sent Termination Suspension under Regulation 181(j) & 18.3 of NCCPL Regulations, 2015 On account to Sent Termination Suspension under Regulation 181(j) & 18.3 of NCCPL Regulations, 2015 On account to Sent Termination Suspension under Regulation 181(j) & 18.3 of NCCPL Regulations, 2015 On account to Sent Termination Suspension under Regulation 181(j) & 18.3 of NCCPL Regulations, 2015 On account to Sent Termination Suspension under Regulation 181(j) & 18.3 of NCCPL Regulations, 2015 On account to Sent Termination Suspension under Regulation 2015 On account to Sent Termination Suspension under Regulation 2015 On account to Sent Termination Suspension under Regulation 2015 On account to Sent Termination Suspension Under Regulation 2015 On account to Sent Termination Suspension Under Regulation 2015 On account to Sent Termination Suspension Under Regulation 2015 On account to Sent Termination Suspension Under Regulation 2015 On account to Sent Termination Suspension Under Regulation 2015 On account to Sent Termination Suspension Under Regulation 2015 On account to Sent Termination Suspension Under Regulation 2015 On account to Sent Termination Suspension Under Regulation 2015 On account to Sent Termination Suspension Under Regulation 2015 On account to Sent Termination Suspension Under Regulation 2015 On account to Sent Termination Suspension Under Regulation 2015 On account to Sent Termination Suspension Under Regulation 2015 On account to Sent Termination Suspension Under Regulation 2015 On account to Sent Termination Suspension Under Regulation 2015 On account to Sent Termination 2015
879 INFINITE SECURITIES LIMITED	23-May-17	, , . ,	Warning issued on account of Inspection conducted under Joint Inspection Regulations
880 AMER RIAZ SECURITIES (PVT.) LIMITED	23-May-17		Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
881 AZEE SECURITIES PVT LIMITED	23-May-17		Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
882 JAMSHAID 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
883 PINE SECURITIES (PVT.) LIMITED	23-May-17		Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
884 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
885 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
886 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
887 MSD CAPITAL EQUITIES (PVT) LTD.	10-May-17	NCCPL/CRO/134/17	Revocation of Clearing Member Pursuant to action taken by PSX
888 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
889 TARIQ SAYEED SECURITIES (PVT) LIMITED	8-May-17		Revocation of Clearing Member Pursuant to action taken by CDC & PSX 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
890 MSD CAPITAL EQUITIES (PVT) LTD. 891 AMCAP SECURITIES (PVT.) LTD.	27-Apr-17 25-Apr-17		KESTICION OF ACCESS TO SERVICES UNDER REGULATION 18.1.1(1/2), 18.1.1(1/2) AS 118.4 OF INCLP, REGULATIONS OF ACCESS TO SERVICES UNDER REGULATION 18.1.1(1/2), 18.1.1(1/2) AS 118.4 OF INCLP, REGULATIONS OF CLEANING AND ACCESS TO SERVICES UNDER REGULATION SERVICES. RESTORATION OF SARIE SIGN FOR ACCESS TO SERVICES UNDER THE ACCESS TO THE AC
892 AMCAP SECURITIES (PVT.) LTD.	5-Apr-17	NCCPL/CRO/111/17 NCCPL/CRO/97/17	RESCIONATION OF SHEEPING THE ATTENTION OF THE ATTEN
893 AL HAQ SECURITIES (PVT.) LIMITED	24-Mar-17		Warning issued on account of Inspection conducted under Joint Inspection Regulations
894 PEARL SECURITIES LIMITED	24-Mar-17		Warning issued on account of Inspection conducted under Joint Inspection Regulations
895 ZAFAR SECURITIES (PVT.) LIMITED	24-Mar-17		Warning issued on account of Inspection conducted under Joint Inspection Regulations
896 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
897 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
897 HMC STOCKS (SMC-PRIVATE) LIMITED		NCCI L/CNO/07/17	Notice issued to resolve open observation identified dider inspection conducted dider some inspection regulations, 2015
898 JAVED 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
898 JAVED IQBAL SECURITIES (PVT.) LIMITED 899 MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES	24-Mar-17 24-Mar-17	NCCPL/CRO/91/17 NCCPL/CRO/84/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
898 JAVED IQBAL SECURITIES (PVT.) LIMITED 899 MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES 900 NEW PEAK SECURITIES (PVT.) LIMITED	24-Mar-17 24-Mar-17 24-Mar-17	NCCPL/CRO/91/17 NCCPL/CRO/84/17 NCCPL/CRO/83/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
898 JAVED IQBAL SECURITIES (PVT.) LIMITED 899 MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES 900 NEW PEAK SECURITIES (PVT.) LIMITED 901 PASHA SECURITIES (PVT.) LIMITED	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17	NCCPL/CRO/91/17 NCCPL/CRO/84/17 NCCPL/CRO/83/17 NCCPL/CRO/82/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
898 JAVED IQBAL SECURITIES (PVT.) LIMITED 899 MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES 900 NEW PEAK SECURITIES (PVT.) LIMITED 901 PASHA SECURITIES (PVT.) LIMITED 902 INVEST FORUM (PVT.) LIMITED	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 17-Mar-17	NCCPL/CRO/91/17 NCCPL/CRO/84/17 NCCPL/CRO/83/17 NCCPL/CRO/82/17 NCCPL/CRO/72/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
898 JAVED IQBAL SECURITIES (PVT.) LIMITED 899 MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES 900 NEW PAKS SECURITIES (PVT.) LIMITED 901 PASHA SECURITIES (PVT.) LIMITED 902 INVEST FORUM (PVT) LIMITED 903 HK SECURITIES PRIVATE LIMITED	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 17-Mar-17	NCCPL/CRO/91/17 NCCPL/CRO/84/17 NCCPL/CRO/83/17 NCCPL/CRO/82/17 NCCPL/CRO/72/17 NCCPL/CRO/73/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
898 JAVED IQBAL SECURITIES (PVT.) LIMITED 899 MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES 900 NEW PAKS SECURITIES (PVT.) LIMITED 901 PASHA SECURITIES (PVT.) LIMITED 902 INVEST FORUM (PVT) LIMITED 903 HK SECURITIES PRIVATE LIMITED 904 S.Z SECURITIES (PVT) LIMITED	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 17-Mar-17 17-Mar-17 14-Mar-17	NCCPL/CRO/91/17 NCCPL/CRO/84/17 NCCPL/CRO/83/17 NCCPL/CRO/82/17 NCCPL/CRO/72/17 NCCPL/CRO/73/17 NCCPL/CRO/66/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(b) 8. 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) 8. 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) 8. 13.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
898 JAVED IGBAL SECURITIES (PVT.) LIMITED 899 MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES 900 NEW PEAK SECURITIES (PVT.) LIMITED 901 PASHA SECURITIES (PVT.) LIMITED 902 INVEST FORDUM (PVT) LIMITED 903 HK SECURITIES PRIVATE LIMITED 904 S.Z SECURITIES (PVT.) LIMITED 905 TARIO SAYED SECURITIES (PVT) LIMITED	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 17-Mar-17 17-Mar-17 14-Mar-17 7-Mar-17	NCCPL/CRO/91/17 NCCPL/CRO/84/17 NCCPL/CRO/83/17 NCCPL/CRO/82/17 NCCPL/CRO/72/17 NCCPL/CRO/73/17 NCCPL/CRO/66/17 NCCPL/CRO/64/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(b) & 18.3 of NCCP. Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(b) & 18.3 of NCCP. Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) & 18.3 of NCCP. Regulations, 2015 Pursuant to action taken by CDC Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCP. Regulations, 2015 Pursuant to action taken by CDC
898 JAVED IQBAL SECURITIES (PVT.) LIMITED 899 MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES 900 NEW PASK SECURITIES (PVT.) LIMITED 901 PASHA SECURITIES (PVT.) LIMITED 902 INVEST FORUM (PVT.) LIMITED 903 HK SECURITIES PRIVATE LIMITED 904 S.Z SECURITIES (PVT.) LIMITED 905 TARIQ SAYEED SECURITIES (PVT.) LIMITED 906 AMER SECURITIES (PVT.) LIMITED	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 17-Mar-17 17-Mar-17 14-Mar-17 7-Mar-17 3-Mar-17	NCCPL/CRO/91/17 NCCPL/CRO/84/17 NCCPL/CRO/83/17 NCCPL/CRO/82/17 NCCPL/CRO/72/17 NCCPL/CRO/73/17 NCCPL/CRO/66/17 NCCPL/CRO/66/17 NCCPL/CRO/66/17 NCCPL/CRO/65/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Warning issued on account of inspection conducted under Joint Inspection Regulations
898 JAVED IQBAL SECURITIES (PVT.) LIMITED 899 MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES 900 NEW PAKS SECURITIES (PVT.) LIMITED 901 PASHA SECURITIES (PVT.) LIMITED 902 INVEST FORUM (PVT) LIMITED 903 HK SECURITIES PRIVATE LIMITED 904 S.Z SECURITIES (PVT.) LIMITED 905 TARIC SAYED SECURITIES (PVT.) LIMITED 906 AMER SECURITIES (PVT.) LIMITED 907 ARIF HABIB LIMITED	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 17-Mar-17 17-Mar-17 14-Mar-17 7-Mar-17	NCCPL/CRO/91/17 NCCPL/CRO/84/17 NCCPL/CRO/83/17 NCCPL/CRO/82/17 NCCPL/CRO/72/17 NCCPL/CRO/73/17 NCCPL/CRO/66/17 NCCPL/CRO/64/17 NCCPL/CRO/50/17 NCCPL/CRO/50/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(b) 8 13.3 of NCCPI. Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) 8 18.3 of NCCPI. Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) 8 18.3 of NCCPI. Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) 8 18.3 of NCCPI. Regulations, 2015 Pursuant to action taken by CDC Restriction of access to services under Regulation 18.1.1(c) 8 18.3 of NCCPI. Regulations, 2015 Pursuant to action taken by CDC Warning Issued on account of Inspection conducted under Joint Inspection Regulations Warning Issued on account of Inspection conducted under Joint Inspection Regulations
898 IAVED IQBAL SECURITIES (PVT.) LIMITED MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES 900 NEW PAKE SECURITIES (PVT.) LIMITED 901 PASHA SECURITIES (PVT.) LIMITED 902 INVEST FORUM (PVT) LIMITED 903 HK SECURITIES PRIVATE LIMITED 904 S.Z. SECURITIES (PVT) LIMITED 905 TARIQ SAYED SECURITIES (PVT) LIMITED 906 AMER SECURITIES (PVT.) LIMITED 907 ARIF HABIB LIMITED 908 GERERAL INVESTMENT & SECURITIES (PVT.) LIMITED	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 17-Mar-17 17-Mar-17 14-Mar-17 7-Mar-17 3-Mar-17 3-Mar-17	NCCPL/CRO/91/17 NCCPL/CRO/84/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/72/17 NCCPL/CRO/73/17 NCCPL/CRO/73/17 NCCPL/CRO/66/17 NCCPL/CRO/66/17 NCCPL/CRO/66/17 NCCPL/CRO/66/81/17 NCCPL/CRO/68/17 NCCPL/CRO/68/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(b) 8.13 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(b) 8.18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) 8.18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Restriction of access to service under Regulation 18.1.1(c) 8.13.1 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations
898 JAVED IQBAL SECURITIES (PVT.) LIMITED 899 MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES 900 NEW PASK SECURITIES (PVT.) LIMITED 901 PASHA SECURITIES (PVT.) LIMITED 902 INVEST FORUM (PVT.) LIMITED 903 HK SECURITIES PRIVATE LIMITED 904 S.Z SECURITIES (PVT.) LIMITED 905 TARIQ SAVEED SECURITIES (PVT.) LIMITED 906 AMER SECURITIES (PVT.) LIMITED 907 ARIF HABIB LIMITED 908 GENERAL INVESTMENT & SECURITIES (PVT.) LIMITED 909 GENERAL INVESTMENT & SECURITIES (PVT.) LIMITED	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 17-Mar-17 17-Mar-17 14-Mar-17 7-Mar-17 3-Mar-17 3-Mar-17	NCCPL/CRO/91/17 NCCPL/CRO/84/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/72/17 NCCPL/CRO/73/17 NCCPL/CRO/73/17 NCCPL/CRO/66/17 NCCPL/CRO/66/17 NCCPL/CRO/66/17 NCCPL/CRO/66/81/17 NCCPL/CRO/68/17 NCCPL/CRO/68/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(b) 8 13.3 of NCCPI. Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) 8 18.3 of NCCPI. Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) 8 18.3 of NCCPI. Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) 8 18.3 of NCCPI. Regulations, 2015 Pursuant to action taken by CDC Restriction of access to services under Regulation 18.1.1(c) 8 18.3 of NCCPI. Regulations, 2015 Pursuant to action taken by CDC Warning Issued on account of Inspection conducted under Joint Inspection Regulations Warning Issued on account of Inspection conducted under Joint Inspection Regulations
898 JAVED IQBAL SECURITIES (PVT.) LIMITED 899 MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES 900 NEW PEAK SECURITIES (PVT.) LIMITED 901 PASHA SECURITIES (PVT.) LIMITED 902 INVEST FORUM (PVT) LIMITED 903 KH SECURITIES (PVT.) LIMITED 904 SZ SECURITIES (PVT.) LIMITED 905 TARIQ SAVEED SECURITIES (PVT.) LIMITED 906 AMER SECURITIES (PVT.) LIMITED 907 ARIF HABIB LIMITED 908 GENERAL INVESTMENT & SECURITIES (PVT.) LIMITED 909 GPH SECURITIES (PVT.) LIMITED	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 17-Mar-17 17-Mar-17 14-Mar-17 3-Mar-17 3-Mar-17 3-Mar-17 3-Mar-17	NCCPL/CRO/91/17 NCCPL/CRO/84/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/82/17 NCCPL/CRO/72/17 NCCPL/CRO/66/17 NCCPL/CRO/66/17 NCCPL/CRO/66/17 NCCPL/CRO/68/17 NCCPL/CRO/68/17 NCCPL/CRO/68/17 NCCPL/CRO/48/17 NCCPL/CRO/59/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations
898 JAVED IQBAL SECURITIES (PVT.) LIMITED 899 MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES 900 NEW PAKE SECURITIES (PVT.) LIMITED 901 PASHA SECURITIES (PVT.) LIMITED 902 INVEST FORUM (PVT) LIMITED 903 IN SECURITIES PRIVATE LUMITED 904 S.Z SECURITIES (PVT.) LIMITED 905 TARIC SAYEED SECURITIES (PVT.) LIMITED 906 AMER SECURITIES (PVT.) LIMITED 907 ARIF HABIB LIMITED 908 GENERAL INVESTMENT & SECURITIES (PVT.) LIMITED 909 GENERAL INVESTMENT & SECURITIES (PVT.) 910 GENERAL INVESTMENT & SECURITIES (PVT.) 911 KHS SECURITIES (PVT.) LIMITED	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 17-Mar-17 17-Mar-17 14-Mar-17 3-Mar-17 3-Mar-17 3-Mar-17 3-Mar-17 3-Mar-17	NCCPL/CRO/91/17 NCCPL/CRO/84/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/73/17 NCCPL/CRO/73/17 NCCPL/CRO/66/17 NCCPL/CRO/66/17 NCCPL/CRO/66/17 NCCPL/CRO/68/17 NCCPL/CRO/48/17 NCCPL/CRO/48/17 NCCPL/CRO/48/17 NCCPL/CRO/48/17 NCCPL/CRO/48/17 NCCPL/CRO/48/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation Iss. 1.1(b) & 18.3 of NCCP. Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(b) & 18.3 of NCCP. Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) & 18.3 of NCCP. Regulations, 2015 Pursuant to action taken by CDC Restriction of access to service under Regulation 18.1.1(c) & 18.3 of NCCP. Regulations, 2015 Pursuant to action taken by CDC Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations
898 JAVED IQBAL SECURITIES (PVT.) LIMITED 899 MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES 900 NEW PASK SECURITIES (PVT.) LIMITED 901 PASHA SECURITIES (PVT.) LIMITED 902 INVEST FORUM (PVT) LIMITED 903 HK SECURITIES PRIVATE LIMITED 904 S.Z SECURITIES (PVT.) LIMITED 905 TARIO SAYED SECURITIES (PVT.) LIMITED 906 AMER SECURITIES (PVT.) LIMITED 907 ARIF HABIB LIMITED 908 GENERAL INVESTMENT & SECURITIES (PVT.) LIMITED 909 GPH SECURITIES (PVT.) LIMITED 910 KS SECURITIES (PVT.) LIMITED 911 KS SECURITIES (PVT.) LIMITED	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 17-Mar-17 17-Mar-17 14-Mar-17 3-Mar-17 3-Mar-17 3-Mar-17 3-Mar-17 3-Mar-17 3-Mar-17 1-Mar-17 3-Mar-17 3-Mar-17 3-Mar-17 3-Mar-17	NCCPL/CRO/91/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/72/17 NCCPL/CRO/73/17 NCCPL/CRO/73/17 NCCPL/CRO/56/17 NCCPL/CRO/66/17 NCCPL/CRO/68/17 NCCPL/CRO/48/17 NCCPL/CRO/49/17 NCCPL/CRO/50/17 NCCPL/CRO/50/17 NCCPL/CRO/50/17 NCCPL/CRO/50/17 NCCPL/CRO/70/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection Regulations, 2015 Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Restriction of access to service under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL
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898 IAVED IQBAL SECURITIES (PVT.) LIMITED 909 NEW PEAK SECURITIES (PVT.) LIMITED 901. PASHA SECURITIES (PVT.) LIMITED 902. INVEST FORUM (PVT.) LIMITED 903. HK SECURITIES (PVT.) LIMITED 904. S.Z. SECURITIES (PVT.) LIMITED 905. TARIG SAYED SECURITIES (PVT.) LIMITED 906. TARIG SAYED SECURITIES (PVT.) LIMITED 907. ARIF HABBI LIMITED 908. GENERAL INVESTMENT & SECURITIES (PVT.) LIMITED 909. GPH SECURITIES (PVT.) LIMITED 910. KHS SECURITIES (PVT.) LIMITED 911. MR. SECURITIES (PVT.) LIMITED 912. AND SECURITIES (PVT.) LIMITED 913. UNIVESTAL CAUTES (PVT.) LIMITED 914. MAS SECURITIES (PVT.) LIMITED 915. SONIA SHANZAD SECURITIES (PVT.) LIMITED 916. MR. SECURITIES (PVT.) LIMITED 917. SONIA SHANZAD SECURITIES (PVT.) LIMITED 918. JUNIVESAL CAUTES (PVT.) LIMITED 919. JUNIVESAL CAUTES (PVT.) LIMITED 910. MR. SECURITIES (PVT.) LIMITED 911. SAYES SECURITIES (PVT.) LIMITED 912. SAYES SECURITIES (PVT.) LIMITED 913. SUNIVESAL CAUTES (PVT.) LIMITED 914. MR. SECURITIES (PVT.) LIMITED 915. SONIA SHANZAD SECURITIES (PVT.) LIMITED 916. MR. SECURITIES (PVT.) LIMITED 917. SUNRISE CAPITAL (PRIVATE) LIMITED 918. ZAFAR SECURITIES (PVT.) LID. 919. ZAFAR SECURITIES (PVT.) LID.	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 17-Mar-17 17-Mar-17 1-Mar-17 3-Mar-17 30-Jan-17 30-Jan-17	NCCPL/CRO/91/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/73/17 NCCPL/CRO/73/17 NCCPL/CRO/73/17 NCCPL/CRO/75/17 NCCPL/CRO/66/17 NCCPL/CRO/66/17 NCCPL/CRO/69/17 NCCPL/CRO/48/17 NCCPL/CRO/49/17 NCCPL/CRO/75/17 NCCPL/CRO/15/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(p) & 18.10 (s) R13 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Termination under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.
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898 JAVED IQBAL SECURITIES (PVT.) LIMITED 909 NEW PEAK SECURITIES (PVT.) LIMITED 901. PASHA SECURITIES (PVT.) LIMITED 902. INVEST FORUM (PVT.) LIMITED 903. HK SECURITIES (PVT.) LIMITED 904. S.Z. SECURITIES (PVT.) LIMITED 905. TARIG SAYED SECURITIES (PVT.) LIMITED 906. TARIG SAYED SECURITIES (PVT.) LIMITED 907. ARIF HABBI LIMITED 908. GENERAL INVESTMENT 8. SECURITIES (PVT.) LIMITED 909. GPH SECURITIES (PVT.) LIMITED 910. KHS SECURITIES (PVT.) LIMITED 911. MR. SECURITIES (PVT.) LIMITED 912. AND SECURITIES (PVT.) LIMITED 913. UNIVESTAL CONTROL (PVT.) LIMITED 914. MR. SECURITIES (PVT.) LIMITED 915. SONIA SHAPLAD SECURITIES (PVT.) LIMITED 916. MR. SECURITIES (PVT.) LIMITED 917. SUNISES CAPITAL (PRIVATE) LIMITED 918. JAVAN SECURITIES (PVT.) LIMITED 919. JAVAN SECURITIES (PVT.) LIMITED 910. MR. SECURITIES (PVT.) LIMITED 911. JAVAN SECURITIES (PVT.) LIMITED 912. JAVAN SECURITIES (PVT.) LIMITED 913. JAVIESAN LEQUITES (PVT.) LIMITED 914. MR. SECURITIES (PVT.) LIMITED 915. JAVAN SECURITIES (PVT.) LIMITED 916. MR. SECURITIES (PVT.) LIMITED 917. JAVAN SECURITIES (PVT.) LIMITED 918. JAVAN SECURITIES (PVT.) LIMITED 919. JAVAN SECURITIES (PVT.) LIMITED 910. JAVAN SECURITIES (PVT.) LIMITED 911. ZAFAR SECURITIES (PVT.) LIMITED 912. ZAFAR MONTI CAPITAL SECURITIES (PVT.) LIMITED 913. JAVIESTICA (PVT.) LIMITED 914. AMSHHADI SECURITIES (PVT.) LIMITED 915. JAVAN SECURITIES (PVT.) LIMITED 916. MR. SECURITIES (PVT.) LIMITED 917. JAVAN SECURITIES (PVT.) LIMITED 918. ZAFAR SECURITIES (PVT.) LIMITED 919. ZAFAR MONTI CAPITAL SECURITIES (PVT.) LIMITED 919. ZAFAR MONTI CAPITAL SECURITIES (PVT.) LIMITED	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 17-Mar-17 17-Mar-17 11-Mar-17 3-Mar-17 1-Mar-17 20-Feb-17 20-Feb-17 20-Feb-17 30-Jan-17 30-Jan-17 30-Jan-17 30-Jan-17 13-Jan-17 13-Jan-17	NCCPL/CRO/93/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/73/17 NCCPL/CRO/73/17 NCCPL/CRO/73/17 NCCPL/CRO/66/17 NCCPL/CRO/66/17 NCCPL/CRO/64/17 NCCPL/CRO/64/17 NCCPL/CRO/48/17 NCCPL/CRO/48/17 NCCPL/CRO/48/17 NCCPL/CRO/48/17 NCCPL/CRO/48/17 NCCPL/CRO/48/17 NCCPL/CRO/70/17 NCCPL/CRO/46/17 NCCPL/CRO/46/17 NCCPL/CRO/46/17 NCCPL/CRO/45/17 NCCPL/CRO/15/17 NCCPL/CS/36/17 NCCPL/CS/36/17 NCCPL/CS/36/17 NCCPL/CS/36/17 NCCPL/CS/36/17 NCCPL/CS/36/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(b) 8.18.0 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(b) 8.18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) 8.18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Restriction of access to services under Regulation 18.1.1(c) 8.18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection Conducted under Joint Inspection Regulations Warning issued on account of Inspection Conducted under Joint Inspection Regulations Warning issued on account of Inspection Conducted under Joint Inspection Regulations Warning issued on account of Inspection Conducted under Joint Inspection Regulations Warning issued on account of Inspection Conducted under Joint Inspection Regulations Warning issued on
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898 LAVED IQBAL SECURITIES (PVT.) LIMITED 909 NEW PEAK SECURITIES (PVT.) LIMITED 901. PASHA SECURITIES (PVT.) LIMITED 902. INVEST FORUM (PVT.) LIMITED 903. HK SECURITIES (PVT.) LIMITED 904. S.Z. SECURITIES (PVT.) LIMITED 905. TARIO SAYED SECURITIES (PVT.) LIMITED 906. TARIO SAYED SECURITIES (PVT.) LIMITED 907. ARIF HABBI LIMITED 908. GENERAL INVESTMENT & SECURITIES (PVT.) LIMITED 909. GOPH SECURITIES (PVT.) LIMITED 910. KHS SECURITIES (PVT.) LIMITED 911. MR. SECURITIES (PVT.) LIMITED 912. ANJ SECURITIES (PVT.) LIMITED 913. UNIVESTAL CAUTES (PVT.) LIMITED 914. MR. SECURITIES (PVT.) LIMITED 915. SONIA SHANZAD SECURITIES (PVT.) LIMITED 916. MR. SECURITIES (PVT.) LIMITED 917. SONIA SHANZAD SECURITIES (PVT.) LIMITED 918. ZAFAR SECURITIES (PVT.) LIMITED 919. JAVAR SECURITIES (PVT.) LIMITED 9109. SONIA SHANZAD SECURITIES (PVT.) LIMITED 911. SAFAR SECURITIES (PVT.) LIMITED 912. JAVAR SECURITIES (PVT.) LIMITED 913. JAVAR SECURITIES (PVT.) LIMITED 914. AND SECURITIES (PVT.) LIMITED 915. SONIA SHANZAD SECURITIES (PVT.) LIMITED 916. MR. SECURITIES (PVT.) LIMITED 917. JAVAR SECURITIES (PVT.) LIMITED 918. ZAFAR SECURITIES (PVT.) LIMITED 919. ZAFAR SECURITIES (PVT.) LIMITED 910. ZAFAR MOTI CAPITAL SECURITIES (PVT.) LIMITED 911. ZAFAR MOTI CAPITAL SECURITIES (PVT.) LIMITED 912. ZAFAR MOTI CAPITAL SECURITIES (PVT.) LIMITED 913. AND SECURITIES (PVT.) LIMITED 914. AM CALDIARY SECURITIES (PVT.) LIMITED 915. AND SECURITIES (PVT.) LIMITED 916. AM SECURITIES (PVT.) LIMITED 917. ZAFAR SECURITIES (PVT.) LIMITED 918. ZAFAR SECURITIES (PVT.) LIMITED 919. ZAFAR SECURITIES (PVT.) LIMITED 919. ZAFAR SECURITIES (PVT.) LIMITED 9109. ZAFAR MOTI CAPITAL SECURITIES (PVT.) LIMITED 911. ZAFAR SECURITIES (PVT.) LIMITED 912. ZAFAR SECURITIES (PVT.) LIMITED 913. ZAFAR SECURITIES (PVT.) LIMITED 914. ZAFAR SECURITIES (PVT.) LIMITED 915. ZAFAR SECURITIES (PVT.) LIMITED 916. ZAFAR SECURITIES (PVT.) LIMITED 91789. ZAFAR SECURITIES (PVT.) LIMITED 91899. ZAFAR SECURITIES (PVT.) LIMITED 91991000000000000000000000000000000000	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 17-Mar-17 17-Mar-17 14-Mar-17 3-Mar-17 1-Mar-17 30-Jan-17 30-Jan-17 30-Jan-17 30-Jan-17 13-Jan-17 13-Jan-17 13-Jan-17 13-Jan-17	NCCPL/CRO/93/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/73/17 NCCPL/CRO/73/17 NCCPL/CRO/73/17 NCCPL/CRO/66/17 NCCPL/CRO/66/17 NCCPL/CRO/64/17 NCCPL/CRO/64/17 NCCPL/CRO/49/17 NCCPL/CRO/49/17 NCCPL/CRO/49/17 NCCPL/CRO/70/17 NCCPL/CRO/15/17 NCCPL/CRO/31/17 NCCPL/CS/36/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Warning issued on account of inspection conducted under Joint inspection Regulations Warning issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued ner Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Termination under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulatio
898 LAVED IQBAL SECURITIES (PVT.) LIMITED 909 NEW PEAK SECURITIES (PVT.) LIMITED 901. PASHA SECURITIES (PVT.) LIMITED 902. INVEST FORUM (PVT) LIMITED 903. HK SECURITIES (PVT.) LIMITED 904. S.Z. SECURITIES (PVT.) LIMITED 905. TARIO SAYED SECURITIES (PVT.) LIMITED 906. TARIO SAYED SECURITIES (PVT.) LIMITED 907. ARIF HABBI LIMITED 908. GENERAL INVESTMENT & SECURITIES (PVT.) LIMITED 909. GOPH SECURITIES (PVT.) LIMITED 910. KHS SECURITIES (PVT.) LIMITED 911. MR. SECURITIES (PVT.) LIMITED 912. ANI SECURITIES (PVT.) LIMITED 913. UNIVESTAD (SECURITIES (PVT.) LIMITED 914. MA SECURITIES (PVT.) LIMITED 915. SONIA SHANZAD SECURITIES (PVT.) LIMITED 916. MR. SECURITIES (PVT.) LIMITED 917. SUNISSE CAPITAL (PRIVATE) LIMITED 918. ZAFAR SECURITIES (PVT.) LIMITED 919. ZAFAR SECURITIES (PVT.) LIMITED 910. MR. SECURITIES (PVT.) LIMITED 911. SUNISSE CAPITAL (PRIVATE) LIMITED 912. ZAFAR SECURITIES (PVT.) LIMITED 913. ZAFAR SECURITIES (PVT.) LIMITED 914. ZAFAR SECURITIES (PVT.) LIMITED 915. ZAFAR SECURITIES (PVT.) LIMITED 916. MR. SECURITIES (PVT.) LIMITED 917. ZAFAR SECURITIES (PVT.) LIMITED 918. ZAFAR SECURITIES (PVT.) LIMITED 919. ZAFAR SECURITIES (PVT.) LIMITED 910. ZAFAR MOTI CAPITAL SECURITIES (PVT.) LIMITED 911. ZAFAR MOTI CAPITAL SECURITIES (PVT.) LIMITED 912. ZAFAR MOTI CAPITAL SECURITIES (PVT.) LIMITED 913. ZAFAR MOTI CAPITAL SECURITIES (PVT.) LIMITED 914. AM CHAUDHRY SECURITIES (PVT.) LIMITED 915. AMU SECURITIES (PVT.) LIMITED 916. AMU SECURITIES (PVT.) LIMITED 917. ZAFAR SECURITIES (PVT.) LIMITED 918. ZAFAR SECURITIES (PVT.) LIMITED 919. ZAFAR SECURITIES (PVT.) LIMITED 919. ZAFAR SECURITIES (PVT.) LIMITED 910. ZAFAR SECURITIES (PVT.) LIMITED 911. ZAFAR SECURITIES (PVT.) LIMITED 912. ZAFAR SECURITIES (PVT.) LIMITED 913. ZAFAR SECURITIES (PVT.) LIMITED 914. ZAFAR SECURITIES (PVT.) LIMITED 915. ZAFAR SECURITIES (PVT.) LIMITED 916. ZAFAR SECURITIES (PVT.) LIMITED 91789. ZAFAR SECURITIES (PVT.) LIMITED	24-Mar-17 24-Mar-17 24-Mar-17 24-Mar-17 17-Mar-17 17-Mar-17 1-Mar-17 3-Mar-17 1-Mar-17 28-Feb-17 27-Feb-17 27-Feb-17 30-Jan-17 30-Jan-17 30-Jan-17 30-Jan-17 13-Jan-17 13-Jan-17 13-Jan-17 13-Jan-17 13-Jan-17	NCCPL/CRO/93/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/83/17 NCCPL/CRO/73/17 NCCPL/CRO/73/17 NCCPL/CRO/66/17 NCCPL/CRO/66/17 NCCPL/CRO/64/17 NCCPL/CRO/48/17 NCCPL/CRO/48/17 NCCPL/CRO/48/17 NCCPL/CRO/48/17 NCCPL/CRO/70/17 NCCPL/CRO/71/17 NCCPL/CRO/73/17 NCCPL/CS/33/17 NCCPL/CS/33/17 NCCPL/CS/33/17 NCCPL/CS/33/17 NCCPL/CS/33/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Warning issued on account of inspection conducted under Joint Inspection Regulations, 2015 Pursuant to action taken by CDC Warning issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection Conducted under Joint Inspection Regulations Warning issued on account of Inspection Conducted under Joint Inspection Regulations Warning issued on account of Inspection Conducted under Joint Inspection Regulations Warning issued on account of Inspection Conducted under Joint Inspection Regulations Warni

S. No	Date	Order/ Notice Reference	Description of Disciplinary action
931 HORIZON SECURITIES (PVT.) LIMITED	9-Jan-17		Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
932 FIRST STREET CAPITAL (PVT.) LIMITED	9-Jan-17	NCCPL/CS/16/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
933 DIYANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED	6-Jan-17	NCCPL/CS/16/17	Revocation of Clearing Member Pursuant to action taken by CDC
934 S A SECURITIES (PVT) LIMITED	6-Jan-17	NCCPL/CS/15/17	Revocation of Clearing Member Pursuant to action taken by CDC
935 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
936 AB EQUITIES (PRIVATE) LIMITED 937 AKD ANALYTICS (PVT) LIMITED	2-Jan-17 2-Jan-17	NCCPL/CS/08/17 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 Restriction of access to services under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
938 S A SECURITIES (PVT) LIMITED	2-Jan-17 2-Jan-17	NCCPL/CS/10/17	Restriction of access to services under Regulation 18.1.1(°) & 18.3 of MCCPL regulations, 2015 Prisant to action taken by CDC
939 AM CHAUDHRY SECURITIES (PVT.) LIMITED	2-Jan-17	NCCPL/CS/07/17	Restriction of access to services under Regulation 18.1.1(*) & 18.3 of NCCE negulations, 2015 Pursuant to action taken by CDC
940 JS GLOBAL CAPITAL LIMITED	2-Jan-17	NCCPL/CS/5/17,	Warning issued on account of Inspection conducted under Joint Inspection Regulations
941 MND INVESTMENT (PVT.) LIMITED	2-Jan-17	NCCPL/CS/3/17,	Warning issued on account of Inspection conducted under Joint Inspection Regulations
942 SD MIRZA SECURITIES (PVT.) LIMITED	2-Jan-17	NCCPL/CS/4/17,	Warning issued on account of Inspection conducted under Joint Inspection Regulations
943 DAWOOD EQUITIES LTD.	20-Dec-16	NCCPL/CS/738/16	Revocation of Clearing Member Pursuant to settlement of money obligation
944 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
945 DAWOOD EQUITIES LTD. 946 DAWOOD EQUITIES LTD.	14-Dec-16 14-Dec-16	NCCPL/CS/725/16 NCCPL/CS/724/16	Revocation of Clearing Member Pursuant to settlement of money obligation Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
947 AM CHAUDHRY SECURITIES (PVT.) LIMITED	7-Dec-16	NCCPL/CS/715/16	Suspension there in signature 12.1.2.10 in recent registrons, 2011 accounts or detailed in money dunigation. Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action to
948 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
949 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
950 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
951 INVEST FORUM (SMC-PVT) LIMITED	17-Nov-16	NCCPL/CS/681/16	Revocation of Clearing Member Pursuant to action taken by PSX
952 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
953 TAHA SECURITIES (PVT) LIMITED 954 ABID INVESTMENTS (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 Termination under Regulation 18.1.1(i) of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(i) of NCCPL Regulations, 2015 On account of Self Termination
954 ABID INVESTMENTS (PVT) LIMITED 955 FORT INVESTMENT (PVT) LIMITED	3-Nov-16 3-Nov-16	NCCPL/CS/626/16 NCCPL/CS/629/16	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
956 MYM EQUITIES (PVT) LIMITED	3-Nov-16	NCCPL/CS/627/16	Termination under Regulation 18.1.1(i) 8 18.3 of NCCP. Regulations, 2015 On account of Self Termination
957 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
958 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
959 H. P. BYRAMJI & CO. (PVT) LIMITED	18-Oct-16	NCCPL/CS/547/16	Revocation of Clearing Member Pursuant to action taken by CDC
960 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
961 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
962 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
963 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
964 PAK MEEZAN SECURITIES (PVT) LIMITED 965 STOCKS VISION (PVT) LIMITED	13-Oct-16 13-Oct-16	NCCPL/CS/527/16 NCCPL/CS/529/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
965 STOCKS VISION (PVT) LIMITED 966 PROSPERITY SECURITIES (SMC-PVT) LIMITED	7-Oct-16	NCCPL/CS/529/16 NCCPL/CS/523/16	Subpersion under regulation 1s.1.(i) & 1s.3 of WCLPL regulations, 2015 PUISBATE OR ACTION TO DECEMBE A STATE OF THE PROPERTY O
967 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
968 BEAMING INVESTMENT & SECURITIES (PVT)LTD	30-Sep-16	NCCPL/CS/509/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
969 MBJ SECURITIES (PVT) LIMITED	30-Sep-16	NCCPL/CS/508/16	Termination under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
970 FAITH SECURITIES (PVT) LIMITED	26-Sep-16	NCCPL/CS/484/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
971 TAHA SECURITIES (PVT) LIMITED	21-Sep-16	NCCPL/CS/470/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
972 PACE INVESTMENT AND SECURITIES (PVT) LIMITED	7-Sep-16	NCCPL/CS/446/16	Revocation of Clearing Member Pursuant to settlement of money obligation
973 PACE INVESTMENT AND SECURITIES (PVT) LIMITED 974 AKHBANI SECURITIES (SMC-PVT) LIMITED	6-Sep-16	NCCPL/CS/445/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
974 AKHBANI SECURITIES (SMC-PVT) LIMITED 975 GHORYS SECURITIES (PVT) LIMITED	6-Sep-16 1-Sep-16	NCCPL/CS/443/16 NCCPL/CS/435/16	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
976 SNM SECURITIES (PVT) LTD.	31-Aug-16	NCCPL/CS/435/16 NCCPL/CS/430/16	Termination under regulation 1.8.1.1(1) & 18.5.5 in NCC1 regulations, 2015 on account of sen Termination Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCC1R regulations, 2015 Pursuant to action taken by PSX
977 AB EQUITIES (PRIVATE) LIMITED	26-Aug-16	NCCPL/CS/428/16	Resolution of Clearing Member Pursuant to action taken by CDC
978 STABLE SECURITIES (PVT) LIMITED	26-Aug-16	NCCPL/CS/426/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
979 A.H.K.D. SECURITES (PVT) LTD.	26-Aug-16	NCCPL/CS/425/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
980 MASHHADI SECURITIES (PVT) LIMITED	26-Aug-16	NCCPL/CS/424/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
981 QASIM MAHMOOD SECURITIES (SMC-PVT) LIMITED	26-Aug-16	NCCPL/CS/427/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
982 QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	26-Aug-16	NCCPL/CS/423/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
983 SMB SECURITIS (PVT) LIMITED	26-Aug-16	NCCPL/CS/422/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCIP Regulations, 2015 Pursuant to action taken by PSX Torgination under Detailable 19.1 1(1) 8.19 of MCCIP Detailables, 2015 Or Secretal 65.61 Torgination.
984 Y.S STOCKS (PVT) LIMITED 985 SAIMA QAISER SECURITIES (PVT) LIMITED	19-Aug-16 17-Aug-16	NCCPL/CS/414/16 NCCPL/CS/411/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation
986 SAIMA QAISER SECURITIES (PVT) LIMITED 986 SAIMA QAISER SECURITIES (PVT) LIMITED	17-Aug-16 17-Aug-16	NCCPL/CS/411/16 NCCPL/CS/410/16	REVOLUTION OF LIGHTING WEEDING TO SECRETION OF THE PROPERTY OF
987 CASSIM INVESTMENTS (PRIVATE) LIMITED	12-Aug-16	NCCPL/CS/399/16	Suspension them regulation 12.1.2(y) or Nect 1 was a suspension 12.1.2(y) or Nect 1 w
988 CASSIM INVESTMENTS (PRIVATE) LIMITED	11-Aug-16	NCCPL/CS/398/16	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
989 H.M.Y SECURITIES (PVT) LIMITED	3-Aug-16	NCCPL/CS/381/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
990 JAN MOHAMMAD A. LATIF NINI & SONS (PVT) LIMITED	28-Jul-16	NCCPL/CS/376/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
991 AMIN TAI SECURITIES (PVT) LIMITED	15-Jul-16	NCCPL/CS/356/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
992 SMART INVESTMENTS CAPITAL MANAGEMENT (PVT) LIMITED	13-Jul-16	NCCPL/CS/349/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
993 ALPHA BETA CAPITAL MARKETS (PVT) LIMITED	13-Jul-16	NCCPL/CS/350/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
994 MALIK SECURITIES (PVT) LIMITED 995 INVEST FORUM (SMC-PVT) LIMITED	11-Jul-16 30-Jun-16	NCCPL/CS/344/16 NCCPL/CS/329/16	Suspension 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 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	30-Jun-16 22-Jun-16	NCCPL/CS/329/16 NCCPL/CS/309/16	KeSTRICTION OF ACCESS TO SerVICES Under Regulation of NLCPL Regulations, 2013 Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to settlement of money obligation Revocation of Clearing Member Pursuant to settlement of money obligation Revocation of Clearing Member Pursuant to settlement of money obligation
	22-Jun-10		
	22-Jun-16	NCCPL/CS/306/16	ITermination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
996 INFINITE SECURITIES (IMITED 998 INFINITE SECURITIES (IMITED	22-Jun-16 22-Jun-16	NCCPL/CS/306/16 NCCPL/CS/308/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
997 CONCEPT SECURITIES (PVT) LIMITED			
997 CONCEPT SECURITIES (PVT) LIMITED 998 INFINITE SECURITIES LIMITED 999 STOCK STREET (PVT) LIMITED 1000 PLATINUM CAPITALL MANAGEMENT (PVT) LIMITED	22-Jun-16	NCCPL/CS/308/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
997 CONCEPT SECURITIES (PVT) LIMITED 998 INFINITE SECURITIES LIMITED 999 STOCK STREET (PVT) LIMITED 1000 PLATINUM CAPITALL MANAGEMENT (PVT) LIMITED 1001 NIZAM SECURITIES (PVT) LIMITED	22-Jun-16 14-Jun-16	NCCPL/CS/308/16 NCCPL/CS/295/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation Termination under Regulation 18.1.1(c) of NCCPL Regulations, 2015 Pursuant to action taken by CDC
997 CONCEPT SECURITIES (PVT) LIMITED 998 INFINITE SECURITIES LIMITED 999 STOCK STREET (PVT) LIMITED 1000 PLATINUM CAPITALL MANAGEMENT (PVT) LIMITED 1001 NIZAM SECURITIES (PVT) LIMITED 1002 KHAWAJA SECURITIES (PVT) LIMITED	22-Jun-16 14-Jun-16 14-Jun-16 9-Jun-16 1-Jun-16	NCCPL/CS/308/16 NCCPL/CS/295/16 NCCPL/CS/299/16 NCCPL/CS/291/16 NCCPL/CS/284/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation Termination under Regulation 18.1.1(r) of NCCPL Regulations, 2015 Pursuant to action taken by CDC Termination under Regulation 18.1.1(l) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(l) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(l) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to settlement of money obligation
997 CONCEPT SECURITIES (PVT) LIMITED 998 INFINITE SECURITIES LIMITED 999 STOCK STREET (PVT) LIMITED 1000 PLATINUM CAPITALL MANAGEMENT (PVT) LIMITED 1001 NIZAM SECURITIES (PVT) LIMITED	22-Jun-16 14-Jun-16 14-Jun-16 9-Jun-16	NCCPL/CS/308/16 NCCPL/CS/295/16 NCCPL/CS/299/16 NCCPL/CS/291/16 NCCPL/CS/284/16 NCCPL/CS/282/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation Termination under Regulation 18.1.1(°) of NCCPL Regulations, 2015 Pursuant to action taken by CDC Termination under Regulation 18.1.1(f) 8.13 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(f) 8.13 of NCCPL Regulations, 2015 On account of Self Termination

				National Clearing Company of Pakistan Limited				
	National Learing Company or Paixstan Limited Disciplinary actions taken against the TRE Certificate Holders							
S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action				
1005	SHEHZAD CHAMDIA SECURITIES (PVT) LIMITED	27-May-16	NCCPL/CS/264/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
1006	MIKON SECURITIES (PVT) LIMITED	27-May-16	NCCPL/CS/275/16	Suspension under Regulation 18.1.1("c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC				
1007	DUGAN SECURITIES (PVT) LIMITED	24-May-16	NCCPL/CS/247/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
1008	SOHAIL RAZA MOOSANI (SMC-PVT) LIMITED	24-May-16	NCCPL/CS/244/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
1009	MIAN MUHAMMAD AKRAM SECURITIES (PVT) LIMITED	17-May-16	NCCPL/CS/233/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
1010	MUHAMMAD BASHIR KAMNANI SECURITIES (PVT) LIMITED	17-May-16	NCCPL/CS/232/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
1011	STOCK STREET (PVT) LIMITED	2-May-16	NCCPL/CS/203/16	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
1012	MUNAF SATTAR SECURITIES (PVT) LIMITED	2-May-16	NCCPL/CS/201/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
1013	PAK MEEZAN SECURITIES (PVT) LIMITED	29-Apr-16	NCCPL/CS/200/16	Revocation of Clearing Member Pursuant to action taken by CDC				
1014	H.R SECURITIES AND BROKERAGE (PVT) LIMITED	8-Apr-16	NCCPL/CS/119/16	Termination under Regulation 18.1.1('c) of NCCPL Regulations, 2015 Pursuant to action taken by CDC				
1015	AL ASAR SECURITIES (PVT) LIMITED	8-Apr-16	NCCPL/CS/118/16	Termination under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC				
	AKD ANALYTICS (PVT) LIMITED	6-Apr-16	NCCPL/CS/116/16	Revocation of Clearing Member Pursuant to action taken by CDC				
1017	QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	25-Mar-16	NCCPL/CS/92/16	Revocation of Clearing Member Pursuant to action taken by PSX				
1018	QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	16-Mar-16	NCCPL/CS/86/16	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
1019	A.H.K.D. SECURITES (PVT) LTD.	4-Mar-16	NCCPL/CS/72/16	Revocation of Clearing Member Pursuant to action taken by CDC				
1020	CMA SECURITIES (PVT.) LIMITED	3-Mar-16	NCCPL/CS/70/16	Revocation of Clearing Member Pursuant to action taken by PSX				
1021	CMA SECURITIES (PVT.) LIMITED	3-Mar-16	NCCPL/CS/68/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
1022	TARIQ SAYEED SECURITIES (PVT) LIMITED	2-Mar-16	NCCPL/CS/65/16	Revocation of Clearing Member Pursuant to action taken by CDC				
1023	ELIXIR SECURITIES PAKISTAN (PVT.) LTD.	25-Feb-16	NCCPL/CS/61/16	Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC				
1024	ELIXIR SECURITIES PAKISTAN (PVT.) LTD.	24-Feb-16	NCCPL/CS/63/16	Revocation of Clearing Member Pursuant to action taken by CDC				
1025	SAIMA QAISER SECURITIES (PVT) LIMITED	22-Jan-16	NCCPL/CS/35/16	Revocation of Clearing Member Pursuant to action taken by CDC				
1026	JCR CAPITAL SECURITIES (PVT) LTD.	13-Jan-16	NCCPL/CS/19/16	Revocation of Clearing Member Pursuant to action taken by CDC				
1027	SAFE SECURITIES (PVT) LIMITED	6-Jan-16	NCCPL/CS/604/16	Termination under Regulation 18.1.1(i) of NCCPL Regulations, 2015 On account of Self Termination				

Updated till November 30, 2023