			National Clearing Company of Pakistan Limited
			Disciplinary actions taken against the TRE Certificate Holders
No Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
Q. Ain Khanani Securities (Pvt.) Limited Vantage Commodities (Pvt.) Limited	18-Jun-21 18-Jun-21	NCCPL/CRO/232/21 NCCPL/CRO/231/21	Revocation of Restriction of Access to Services
Q. Ain Khanani Securities (Pvt.) Limited	18-Jun-21 16-Jun-21	NCCPL/CRO/231/21 NCCPL/CRO/230/21	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) 8.13 of MCCPL Regulations, 2015
Bawany Securities (Pvt.) Limited - TRR	11-Jun-21	NCCPL/CRO/226/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
Integrated Equities Limited - TRR	11-Jun-21	NCCPL/CRO/225/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
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
Saya Securities (Pvt.) Limited - TRR Nini Securities (Pvt.) Limited - TRR	11-Jun-21 11-Jun-21	NCCPL/CRO/223/21 NCCPL/CRO/222/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
Moneyline Securities (Pvt.) Limited - JIT	11-Jun-21	NCCPL/CRO/222/21	warning issued under Regulation 14.1 of NCCPE Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPE Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPE Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
0 NBP Fund Management Limited - NAFA Islamic Principle Protected Fund-II	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
Khawaja Securities (Pvt.) Limited Azee 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
Azee Securities (Pvt.) Limited Infinite Securities Limited	25-May-21 18-May-21	NCCPL/CRO/214/21 NCCPL/CRO/212/21	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
MAS Capital Securities (Pvt.) Limited	4-May-21	NCCPL/CS/97/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
BMA Capital Management Limited - LSI	3-May-21	NCCPL/CRO/208/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Khanani Securities (Pvt.) Limited - TRR	3-May-21	NCCPL/CRO/203/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
HMC Stocks (Pvt.) Limited	3-May-21	NCCPL/CRO/202/21	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
K & I Global Capital (Pvt.) Limited Irfan Mazhar Securities (Pvt.) Limited - TRR	3-May-21 3-May-21	NCCPL/CRO/201/21 NCCPL/CRO/200/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
Y.H. Securities (Pvt.) Limited - TRR	3-May-21	NCCPL/CRO/199/21	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
RAH Securities (Pvt.) Limited	3-May-21	NCCPL/CRO/198/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
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
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
M. Ashfaq Hussain Securities (Pvt.) Limited - TRR Bhayani Securities (Pvt.) Limited - TRR	23-Apr-21	NCCPL/CRO/190/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning instead under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Bhayani Securities (Pvt.) Limited - TRR Bawany Securities (Pvt.) Limited	23-Apr-21 23-Apr-21	NCCPL/CRO/186/21 NCCPL/CRO/176/21	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 show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
Amer Securities (Pvt.) Limited	23-Apr-21	NCCPL/CRO/175/21	warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 or NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 or NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 or NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 or NCCPL Regulations, 2015
AKY Securities Private Limited	23-Apr-21	NCCPL/CRO/174/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
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
Salman Majeed Securities (Pvt.) Limited	23-Apr-21	NCCPL/CRO/172/21	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
A.I Securities Private Limited Akhai Securities Private Limited	23-Apr-21	NCCPL/CRO/171/21	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
Akhai Securities Private Limited Fikree's Private Limited	23-Apr-21 16-Apr-21	NCCPL/CRO/170/21 NCCPL/CRO/167/21	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued and penalty imposed under Regulation 14.1 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
Apex Capital Securities (Pvt.) Limited - JIT	16-Apr-21	NCCPL/CRO/165/21	warning issued under Regulation 14.1 of RCCP, Regulations, 2015 on account or instruction conducted under Joint Inspection Regulation 14.1 and 14.3 or instruct. Regulations, 2015 on account or instruction account or inspection Regulation 14.1 of RCCP, Regulations, 2015 on account or inspection Regulations and penalty imposed under Regulation 14.1 of RCCP, Regulations, 2015 on account or inspection Regulations and penalty imposed under Regulation 14.1 of RCCP, Regulations, 2015 on account or inspection Regulations and penalty imposed under Regulation 14.1 of RCCP, Regulations, 2015 on account or inspection Regulations and penalty imposed under Regulations and penalty imp
Dawood Equities Limited - TRR	16-Apr-21	NCCPL/CRO/163/21	Warning Issued under Regulation 14.1 of NCCP Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations and pennity Imposed 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 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 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 Warning Issued Under Regulation 14.1 of NCCP Regulations, 2015 on account of Inspection Conducted Under Joint Inspection Regulations Warning Issued Under Regulation Inspection Conducted Under Joint Inspection Regulations Warning Issued Under Regulation Inspection Conducted Under Joint Inspection Regulation Ins
We Financial Services Limited	16-Apr-21	NCCPL/CRO/187/21	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
ACM Gold (Pvt.) Limited	14-Apr-21	NCCPL/CRO/184/21	Revocation of Suspension of the Authorized Intermediary Pursuant to action taken by PMEX
ACM Gold (Pvt.) Limited	12-Apr-21	NCCPL/CRO/178/21	Suspension under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX
Infinite Securities Limited Icon capital Management (Pvt.) Limited	9-Apr-21 8-Apr-21	NCCPL/CRO/177/21 NCCPL/CS/86/21	Revocation of Restriction of Access to Services Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Salim Sozer Securities (Pvt.) Limited	26-Mar-21	NCCPL/CRO/150/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice is not account of show cause notice is not account of show cause notice is not account of show cause not accou
GMI Capital Securities (Pvt.) Limited - TRR	26-Mar-21	NCCPL/CRO/148/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Zafar Moti Capital Securities (Pvt.) Limited - TRR	26-Mar-21	NCCPL/CRO/149/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Salim Sozer Securities (Pvt.) Limited - TRR	26-Mar-21	NCCPL/CRO/136/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Zafar Moti Capital Securities (Pvt.) Limited - JIT Msmaniar Financials (Pvt.) Limited	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 Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection on Control Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Only Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Control Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Control Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Control Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Control Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Whening issued under Regulation Regulatio
Msmaniar Financials (Pvt.) Limited SAAO Capital (Pvt) Limited	22-Mar-21 22-Mar-21	NCCPL/CRO/132/21 NCCPL/CRO/131/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
Pearl Securities Limited	22-Mar-21	NCCPL/CRO/127/21	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice Issued under Regulation 14.5 of NCCPL Regulations, 2015
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
B & B Securities (Pvt.) Limited - TRR	9-Mar-21	NCCPL/CRO/118/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Highland Securities Pvt limited - TRR	9-Mar-21	NCCPL/CRO/116/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Tariq Vohra Securities (Pvt.) Limited - TRR Q.Ain Khanani Securities (Pvt.) Limited	9-Mar-21 9-Mar-21	NCCPL/CRO/115/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection on Control Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Only Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Control Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Control Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Control Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Control Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Whening issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection Regulations Whening issued under Regulation Regulatio
Q.Ain Khanani Securities (Pvt.) Limited Continental Capital Management Pvt Limited	9-Mar-21	NCCPL/CRO/122/21 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 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
We Financial Services Limited	9-Mar-21	NCCPL/CRO/124/21	Warning issued under Regulation 14.1 of NCCP, Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP, Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP, Regulations, 2015
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
N.U.A. Securities (Pvt.) Limited	15-Feb-21	NCCPL/CRO/103/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
Prime Securities (Pvt) Limited	15-Feb-21	NCCPL/CRO/101/21	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
B & B Securities (Pvt.) Limited Azee Securities (Pvt.) Limited	15-Feb-21 15-Feb-21	NCCPL/CRO/100/21 NCCPL/CRO/99/21	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
Merchant Investments (Pvt.) Limited	15-Feb-21 15-Feb-21	NCCPL/CRO/99/21 NCCPL/CRO/98/21	Warring issued under Regulation 14.1 of NCLPL Regulations, 2015 on account or show cause notice issued under Regulation 14.2 of NCCPL Regulations, 2015 Warring issued under Regulation 14.1 of NCCPL Regulations, 2015 Warring issued under Regulation 14.1 of NCCPL Regulations, 2015
Khanani Securities (Pvt.) Limited	15-Feb-21	NCCPL/CRO/97/21	Warning issued under Regulation 14.1 of NCCP, Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP, Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP, Regulations, 2015
Z.A Ghaffar Securities (Pvt.) Limited	15-Feb-21	NCCPL/CRO/96/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
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
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 When it is not under the property of
Tariq Vohra Securities (Pvt.) Limited We Financial Services Limited	15-Feb-21 3-Feb-21	NCCPL/CRO/93/21 NCCPL/CRO/92/21	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 Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB
Motiwala Securities (Pvt.) Limited	27-Jan-21	NCCPL/CS/35/21	Newscator in Newton of access to services as margin minimum participation of Self Termination under Regulation 18.1.1(i) 8.13 of NCCP Regulations, 2015 on account of Self Termination
Royal Securities (Pvt.) Limited	26-Jan-21	NCCPL/CRO/29/21	Suspension under Regulation 18.1.1(a), 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
128 Securities Pvt Limited	25-Jan-21	NCCPL/CRO/27/21	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations and penalty imposed
Time Securities (Pvt) Limited - JIT	25-Jan-21	NCCPL/CRO/32/21	Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations and penalty imposed
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
Friendly Securities Private Limited - JIT Shajar Capital Private Limited - TRR	25-Jan-21 15-Jan-21	NCCPL/CRO/30/21 NCCPL/CRO/8/21	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 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
INA Securities (Pvt.) Ltd - JIT	15-Jan-21 15-Jan-21	NCCPL/CRO/8/21 NCCPL/CRO/7/21	Warning issued under Regulation 14.1 of NCLPL 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
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
Infinite Securities Limited	11-Jan-21	NCCPL/CRO/004/21	Restriction of access to services under Regulation 18.1.1(a), 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
Abbasi Securities (Pvt.) Limited	4-Jan-21	NCCPL/CRO/001/21	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015
Ismail Iqbal Securities (Pvt.) Limited	31-Dec-20	NCCPL/CRO/348/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
31 Spinzer Equities (Pvt.) Limited	31-Dec-20	NCCPL/CRO/256/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations

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

				National Clearing Company of Pakistan Limited	
Disciplinary actions taken against the TRE Certificate Holders					
No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action	
32	Khadim Ali Shah Bukhari Securities (Pvt.) Limited	31-Dec-20	NCCPL/CRO/349/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations	
3	Taurus Securities Limited	31-Dec-20	NCCPL/CRO/358/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
1	Dawood Equities Limited	31-Dec-20	NCCPL/CRO/359/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations	
	HP. Byramji & Co. (Pvt.) Limited	24-Dec-20	NCCPL/CS/410/20	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
	Progressive Securities (Pvt.) Limited	11-Dec-20	NCCPL/CRO/353/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations	
	MGM Securities (Pvt.) Limited	11-Dec-20	NCCPL/CRO/352/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations	
	Khawaja Securities (Pvt.) Limited	11-Dec-20	NCCPL/CRO/351/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations	
	ASA Stocks (Pvt.) Limited	11-Dec-20	NCCPL/CRO/350/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations	
	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	
	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	
	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	
	Akhai Securities (Pvt.) Limited	12-Nov-20	NCCPL/CRO/333/20	Termination as war girn matter or their regulation (20.14) & 10.3 of Neor Englishading, 2013 on account of Sen Termination Revocation of Restriction of Access to Services	
	M Ashfaq Hussain Securities (Pvt) Limited	11-Nov-20	NCCPL/CRO/333/20	Nevocation of Restriction of Access to Services Revocation of Restriction of Access to Services	
		10-Nov-20	NCCPL/CRO/329/20	reconstruction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015	
	M Ashfaq Hussain Securities (Pvt) Limited				
	Akhai Securities (Pvt) Limited Q. Ain Khanani Securities (Pvt.) Limited	10-Nov-20 10-Nov-20	NCCPL/CRO/328/20 NCCPL/CRO/327/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Revocation of Restriction of Access to Services	
	Continental Capital Management (Pvt.) Limited	4-Nov-20	NCCPL/CRO/313/20	Revocation of Restriction of Access to Services	
	We Financials Services Limited	3-Nov-20	NCCPL/CRO/312/20	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.	
	Amer 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 7B.2.4 of NCCPL Regulations, 2015.	
	Continental Capital Management (Pvt.) Limited	3-Nov-20	NCCPL/CRO/310/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015	
	Fairway 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	
	Q. Ain Khanani Securities (Pvt.) Limited	3-Nov-20	NCCPL/CRO/308/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015	
	A.I Securities (Pvt.) Limited	2-Nov-20	NCCPL/CRO/305/20	Revocation of Restriction of Access to Services	
	A.I Securities (Pvt.) Limited	29-Oct-20	NCCPL/CRO/301/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015	
	Salman Majeed Sec	27-Oct-20	NCCPL/CRO/290/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	Rafi Securities (Pvt.) Limited	27-Oct-20	NCCPL/CRO/296/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations	
	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	
	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	
	N. U. A. Securities (Pvt.) Limited	27-Oct-20	NCCPL/CRO/291/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	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	
	Topline Securities Limited	27-Oct-20	NCCPL/CRO/294/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations	
	Patel Securities Pvt Limited	27-Oct-20	NCCPL/CRO/288/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations	
	Millennium Brokerage (Pvt.) Limited	27-Oct-20	NCCPL/CRO/292/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations	
	Xpert Securities (Pvt.) Limited	7-Oct-20	NCCPL/CRO/286/20	Revocation of Restriction of Access to Services	
	MSD capital Equities (Pvt.) Limited	5-Oct-20	NCCPL/CRO/285/20	Revocation of Restriction of Access to Services	
	Reliance Securities Limited	29-Sep-20	NCCPL/CRO/284/20	reconstruction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015	
	Asa Stocks Pvt Limited- TRR	28-Sep-20	NCCPL/CRO/271/20	Restriction of access to Services under Regulation 1.6.1.1(p) a. 1.5.1 of INCLET Regulations, 2015 on access to Services under Regulation 1.4.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning is such under Regulation 1.4.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	Arif Latif securities Pvt Limited	28-Sep-20 28-Sep-20	NCCPL/CRO/271/20 NCCPL/CRO/273/20	warning issued under regulation 14.1 or NCPL Regulations, 2015 on account of inspection conducted under Joint inspection Regulations Warning issued under Regulation 14.1 or NCPL Regulations, 2015 on account of inspection conducted under Joint inspection Regulations Warning issued under Regulation 14.1 or NCPL Regulations, 2015 on account of inspection conducted under Joint inspection Regulations	
	Fikree's (Pvt) Ltd		NCCPL/CRO/274/20		
		28-Sep-20		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	Kosmopolitan Securities	28-Sep-20	NCCPL/CRO/272/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	Cedar Capital (Pvt.) Limited	28-Sep-20	NCCPL/CRO/275/20		
	General Investments & Securities (Pvt) Limited	28-Sep-20	NCCPL/CRO/277/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
	General Investments & Securities (Pvt) Limited Hamza Farhad Securities (Pvt) Limited	28-Sep-20 28-Sep-20	NCCPL/CRO/277/20 NCCPL/CRO/279/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations	
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National Clearing Company of Pakistan Limited
Disciplinary actions taken against the TRF Certificate Holders

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ressive investment Management (Pvt.) Limited ge Securities (Pvt.) Limited Mustafa Securities (Pvt.) Limited Street Capital (Pvt.) Limited or Securities (Pvt.) Limited display (Pvt.)	21-Apr-20 21-Apr-20 21-Apr-20 21-Apr-20 21-Apr-20 17-Apr-20 17-Apr-20 15-Apr-20 26-Mar-20 24-Mar-20 17-Mar-20 17-Mar-20	NCCPL/CRO/166/20 NCCPL/CRO/168/20 NCCPL/CRO/167/20 NCCPL/CRO/165/20 NCCPL/CRO/164/20 NCCPL/CRO/163/20 NCCPL/CRO/162/20 NCCPL/CRO/147/20 NCCPL/CRO/147/20	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 13.1 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 Notice issued to resolve open observation 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 under Rule 11(1a) of the Rules and Regulations and 78.2-4 of NCCPL Regulations, 2015. 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.
te Securities (Pvt) Limited Whustafa Securities (Pvt) Limited Street Capital (Pvt.) Limited Securities (Pvt.) Limited	21-Apr-20 21-Apr-20 21-Apr-20 17-Apr-20 17-Apr-20 17-Apr-20 15-Apr-20 26-Mar-20 24-Mar-20 17-Mar-20 17-Mar-20	NCCPL/CRO/168/20 NCCPL/CRO/167/20 NCCPL/CRO/165/20 NCCPL/CRO/164/20 NCCPL/CRO/163/20 NCCPL/CRO/163/20 NCCPL/CRO/147/20 NCCPL/CRO/147/20 NCCPL/CSO/147/20	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation under Regulations 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. 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. 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.
Mustafa Securities (Pvt) Limited Street Capital (Pvt.) Limited or Securities (Pvt) Limited	21-Apr-20 21-Apr-20 17-Apr-20 17-Apr-20 17-Apr-20 15-Apr-20 26-Mar-20 24-Mar-20 17-Mar-20 17-Mar-20 17-Mar-20	NCCPL/CRO/167/20 NCCPL/CRO/165/20 NCCPL/CRO/164/20 NCCPL/CRO/163/20 NCCPL/CRO/162/20 NCCPL/CRO/147/20 NCCPL/CS/175/2020	Warning Issued under Regulation 1.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Notice Issued to resolve open observation under Regulation 1.1.1 of NCCPL Regulations, 20.015 on account of Inspection Conducted under Joint Inspection Regulations Restriction of access to services as Margin Financier under International Programment of Inspection of access to services as Margin Financier under Rule 1.1(1.a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations, 2015. Restriction of access to services as Margin Financier under Rule 1.1(1.a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations, 2015.
rslan Razaque Securities (Pvt) Limited srsecurities (Pvt) Limited or Securities (Pvt) Limited or Securities (Pvt) Limited for Capital Securities (Pvt) Limited st Capital Limited st Capital Limited s Securities (Pvt) Limited r Securities (Pvt) Limited r Securities (Pvt) Limited r Securities (Pvt) Limited r Securities (Pvt) Limited c Capital Securities (Pvt) Limited courities (Pvt) Limited decurities (Pvt) Limited securities (Pvt) Limited	21-Apr-20 17-Apr-20 17-Apr-20 17-Apr-20 15-Apr-20 26-Mar-20 24-Mar-20 17-Mar-20 17-Mar-20	NCCPL/CRO/165/20 NCCPL/CRO/164/20 NCCPL/CRO/163/20 NCCPL/CRO/162/20 NCCPL/CRO/147/20 NCCPL/CRO/147/20 NCCPL/CS/175/2020	Notice issued to resolve open observation 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. 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. 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.
Street Capital (Pvt.) Limited or Securities (Pvt.) Limited or Securities (Pvt.) Limited MB Adhl Securities (Pvt.) Limited HB Adhl Securities (Pvt.) Limited HS Capital HS (Pvt.) Limited HS	17-Apr-20 17-Apr-20 17-Apr-20 15-Apr-20 26-Mar-20 24-Mar-20 17-Mar-20 17-Mar-20	NCCPL/CRO/164/20 NCCPL/CRO/163/20 NCCPL/CRO/162/20 NCCPL/CRO/147/20 NCCPL/CS/175/2020	Restriction of access to services as Margin Financier and Trading Financier under 12.3.18(i) of NCCP. Regulations, 2015. Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2.4 of NCCP. Regulations, 2015. Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2.4 of NCCP. Regulations, 2015.
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Adhi Securities (Pvt) Limited Is Securities (Pvt) Limited Is Securities (Pvt) Limited Is Securities (Pvt) Limited Is Securities (Pvt) Limited	17-Apr-20 15-Apr-20 26-Mar-20 24-Mar-20 17-Mar-20 17-Mar-20 17-Mar-20	NCCPL/CRO/162/20 NCCPL/CRO/147/20 NCCPL/CS/175/2020	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.
Adhi Securities (Pvt) Limited Is Securities (Pvt) Limited Is Securities (Pvt) Limited Is Securities (Pvt) Limited Is Securities (Pvt) Limited	15-Apr-20 26-Mar-20 24-Mar-20 17-Mar-20 17-Mar-20 17-Mar-20	NCCPL/CS/175/2020	
Securities (Pvt) Limited Gecurities (Pvt) Limited Gecurities (Pvt) Limited Courities (Pvt) Limited Courities (Pvt) Limited Courities (Pvt) Limited Capital Securities (Pvt) Limited Capital Securities (Pvt) Limited Capital Securities (Pvt) Limited Courities (Pvt) Limited Co	24-Mar-20 17-Mar-20 17-Mar-20 17-Mar-20		Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
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i Securities (Pvt) Limited ecurities Ltd Securities (Pvt) Limited Securities (Pvt) Limited Capital Securities (Pvt) Limited r Securities (Pvt) Limited r Securities (Pvt) Limited ecurities (Pvt) Limited ecurities (Pvt) Limited	17-Mar-20 17-Mar-20	NCCPL/CRO/154/20	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB
ecurities Ltd Sceurities (Pvt) Limited r Securities (Pvt.) Limited n Capital Securities (Pvt.) Limited Sceurities (Pvt.) Limited Sceurities (Pvt.) Limited ecurities (Pvt.) Limited decurities (Pvt.) Limited	17-Mar-20	NCCPL/CRO/131/20	Revocation of Restriction of the Clearing Member as Trading Financier pursuant to submission of audited NCB
\Securities (Pvt) Limited \text{Securities (Pvt,) Limited} \tag{2} \ta		NCCPL/CRO/128/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
r Securities (Pvt.) Limited n Capital Securities (Pvt) Limited r Securities (Pvt.) Limited ecurities (Pvt.) Limited decornities (Pvt.) Limited		NCCPL/CRO/129/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
n Capital Securities (Pvt) Limited r Securities (Pvt.) Limited iscurities (Pvt) Limited Memon Securities (Pvt) Limited	17-Mar-20	NCCPL/CRO/127/20	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
r Securities (Pvt.) Limited ecurities (Pvt) Limited Memon 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.
iecurities (Pvt) Limited Memon 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
Memon 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
	9-Mar-20	NCCPL/CS/105/2020	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
	3-Mar-20	NCCPL/CS/101/2020	Termination under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
nce Securities Limited	17-Feb-20	NCCPL/CRO/101/20	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
xy Capital Securities (Pvt) limited	14-Feb-20	NCCPL/CRO/94/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations
e Securities (Pvt) Limited	14-Feb-20	NCCPL/CRO/95/20	Order issued under Regulation 14.1 of NCCP. Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCP. Regulations Order issued under Regulation 14.1 of NCCP. Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCP. Regulations
Securities (Pvt) Limited	14-Feb-20	NCCPL/CRO/96/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
Alsbah Securities (Pvt) Limited	14-Feb-20	NCCPL/CRO/97/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations
Securities (Pvt) Limited Global Capital (Pvt) Limited	14-Feb-20 14-Feb-20	NCCPL/CRO/99/20 NCCPL/CRO/98/20	Order issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
AP Securities (Pvt) Limited AP Securities (Pvt) Limited	14-Feb-20 11-Feb-20	NCCPL/CS/75/2020	
		NCCPI /CRO/90/20	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
			Suspension under Regulation in the Ceening Weeting Purposes to Section in 1997 Unique 1997
anital Limited			Supprission under Regulation 18.1.1(1) & 18.3 of NCCP Regulations, 2015 on account of Self Termination
			Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
	9-Jan-20		Termination under Regulation 18.1.1(i) & 18.3 of NCCP Regulations, 2015 on account of Self Termination
	27-Dec-19		Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 and penalty imposed
	27-Dec-19	NCCPL/CRO/211/19	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
	19-Dec-19	NCCPL/CRO/209/19	Revocation of Restriction of the Clearing Member pursuant to submission of audited NCB
ecurities (Pvt.) Ltd	18-Dec-19	NCCPL/CS/462/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
yramji 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
bib 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
Chaudhry Investments Pvt Ltd	13-Dec-19	NCCPL/CRO/204/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
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
			Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Securities (Pvt) Ltd			Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
dge Securities (Pvt) Ltd			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
			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
Equities (Pvt.) Limited		NCCPL/CS/405/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Securities (Pvt.) Limited			Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
			Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
			Suspension under Regulation 18.1.1(a) & (b) of NCCPL Regulations, 2015 on account of notice issued by SECP
	4-Oct-19		Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	4-Oct-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 Understand to Production of Descriptions of the Clorism Manches are produced to a Description of Southern of the Control of
			Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of adulted NCB Mixraina issued under Reputation 14.1.1.6 MCCPL Reputation. 2015 on second of lorending conducted under legislation 14.1.1.6 MCCPL Reputation. 2015 on second of lorending conducted under legislation.
roin Securities (r.Vt.) LIMITED vaia Securities Put Limited	24-Sep-19 23-Sep-10		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
			Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
Securities (Pvt.) Limited		NCCPL/CRO/133/19 NCCPL/CS/318/19	RESITEDION CALCES TO SERVICES UNDER REGULATION 18.1.1(d) & 18.3 OF NCLP1 regulations, 2015 PURSUANT tO ACCORD TANKS TO SERVICES UNDER REGULATION 18.1.1(d) & 18.3 OF NCLP1 regulations, 2015 PURSUANT TO ACCORD TANKS TO PYSA. Termination of Trading Financier and Margin Financier under Regulation 18.1.1(d) & 18.3 OF NCCP1 Regulations, 2015 or account of Self Termination Termination of Trading Financier under Regulation 18.1.1(d) & 18.3 OF NCCP1. Re
			Restriction of access to sensities as Margin Financier under Rule 11(1a) of the Rules and Regulations, 2015.
			Resocution of restriction of Tearing Members on account of notice issued by SECP.
			Restriction of access to service under Regulation 18.1.19 k 18.3 of NCCP. Regulations, 2015 Pursuant to action taken by PSX
r Securities (Pvt.) Limited		NCCPL/CRO/123/19	Restriction of access to service us and regiment a charge to the CPT regulations, 2022 virus and to accord a Regulations, 2023 virus and to accord a Regulation and TBL24 of NCCP. Regulations, 2015.
	13-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.
inancial 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
Securities (Pvt) Limited	28-Aug-19	NCCPL/CS/286/19	Termination as Margin Financier under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Securities (Pvt) Limited	28-Aug-19	NCCPL/CS/285/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
n Capital Securities (Pvt.) Limited	30-Jul-19	NCCPL/CRO/109/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
iline Securities (Pvt.) Limited	29-Jul-19	NCCPL/CRO/108/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
ogani Securities And Investment Corporation Limited	29-Jul-19	NCCPL/CS/271/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
tocks (Pvt.) Limited	25-Jul-19	NCCPL/CS/267/19	Termination under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
no 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
	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
ecurities (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
ecurities (Pvt.) Limited			
ecurities (Pvt.) Limited arpak 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
ecurities (Pvt.) Limited arpak Securities (Pvt.) Limited N Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/98/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
ecurities (Pvt.) Limited arpak Securities (Pvt.) Limited			
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			National Clearing Company of Pakistan Limited
			National Cleaning Company or reasonat Limited Disciplinary actions taken against the TRE Certificate Holders
S. No Broker Name 248 KP Securities (Pvt.) Limited	Date 15-Jul-19	Order/ Notice Reference NCCPL/CRO/105/19	Description of Discolinary action Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
249 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
250 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
251 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
252 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
253 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
254 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
255 DAWOOD EQUITIES LIMITED 256 DAWOOD EQUITIES LIMITED	26-Jun-19 26-Jun-19	NCCPL/CRO/93/19 NCCPL/CRO/92/19	Revocation of Suspension of the 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
257 FIRST CAPITAL EQUITIES LIMITED	25-Jun-19 25-Jun-19	NCCPL/CS/212/19	Suspension 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
258 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
259 AZEE SECURITIES PRIVATE LIMITED	10-Jun-19	NCCPL/CS/198/19	Termination of Margin Financier and Finance accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
260 AZEE SECURITIES PRIVATE LIMITED	31-May-19	NCCPL/CRO/86/19	Order issued under Regulation 14.3 of NCCPL Regulations, 2015 on account of default of money obligation, including imposition of financial penalty of PKR 150,000
261 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
262 ASHFAQ ASHRAF SECURITIES PRIVATE LIMITED	23-May-19	NCCPL/CS/190/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
263 ALFA ADHI SECURITIES PRIVATE LIMITED 264 MILLENIUM BROKERAGE PRIVATE LIMITED	21-May-19 21-May-19	NCCPL/CRO/71/19 NCCPL/CRO/72/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
265 FIRST CAPITAL EQUITIES LIMITED	21-May-19 21-May-19	NCCPL/CRO/72/19 NCCPL/CRO/74/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB
266 FIRST CAPITAL EQUITIES LIMITED 261 FIRST CAPITAL EQUITIES LIMITED	16-May-19	NCCPL/CRO/70/19	Restriction of access to services under Regulation 18.1.(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
267 AZEE SECURITIES PRIVATE LIMITED	14-May-19	NCCPL/CRO/68/19	Nestriction of access to service under negative inegative in the service of the service in the s
268 AZEE SECURITIES PRIVATE LIMITED	14-May-19	NCCPL/CRO/69/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
269 SHAJAR CAPITAL PRIVATE LIMITED	14-May-19	NCCPL/CRO/61/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
270 AZEE SECURITIES PRIVATE LIMITED	9-May-19	NCCPL/CRO/66/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
271 AZEE SECURITIES PRIVATE LIMITED	9-May-19	NCCPL/CRO/67/19	Revocation of Clearing Member Pursuant to settlement of money obligation
272 FORTUNE SECURITIES LIMITED	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
273 FAIRWAY SECURITIES (PVT.) LIMITED	7-May-19	NCCPL/CRO/62/19	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
274 Y.H SECURITIES PRIVATE LIMITED 275 GROWTH SECURITIES (PVT.) LIMITED	25-Apr-19 17-Apr-19	NCCPL/CS/158/19 NCCPL/CRO/56/19	Termination of Trading Financee ID 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
276 TS SECURITIES (PVT.) LIMITED	17-Apr-19	NCCPL/CRO/57/19	Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 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
277 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
278 K & I GLOBAL CAPITAL (PVT.) LIMITED	5-Apr-19	NCCPL/CRO/55/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
279 RAHAT SECURITIES (PVT.) LIMITED	5-Apr-19	NCCPL/CRO/54/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
280 STRONGMAN SECURITIES (PVT.) LIMITED	29-Mar-19	NCCPL/CRO/52/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
281 FAWAD YUSUF SECURITIES (PVT.) LIMITED	29-Mar-19	NCCPL/CRO/53/19	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
282 GULREZ SECURITIES (PVT.) LIMITED	28-Mar-19	NCCPL/CRO/47/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
283 SAKARWALA CAPITAL SECURITIES PVT LIMITED 284 TECHNO FUNDAMENTAL (PVT.) LIMITED	28-Mar-19 28-Mar-19	NCCPL/CRO/48/19 NCCPL/CRO/49/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
285 MAAN SECURITIES (PVT.) LIMITED	28-Mar-19	NCCPL/CRO/50/19	warning issued under negulation 14.1.1 of NCCPL Regulations, 2015 or account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
286 IAK SECURITIES PVT. LIMITED	22-Mar-19	NCCPL/CRO/42/19	warning issued under negonation (A.1.1 or Note Telegrations), 2017 or account on spectral conducted under non-majoration negonations. Revocation of Restriction of access to services, Pursuant to action taken by SX and submission of audited NCB Revocation of Restriction of Access to services, Pursuant to action taken by SX and submission of audited NCB
287 HABIB METROPOLITAN FINACIAL SERVICES LIMITED	20-Mar-19	NCCPL/CRO/38/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
288 M H SECURITIES (PVT.) LTD.	18-Mar-19	NCCPL/CRO/43/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
289 WE FINANCIAL SERVICES LTD.	18-Mar-19	NCCPL/CRO/44/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
290 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.
291 IAK SECURITIES (PVT.) LIMITED	18-Mar-19 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
292 M.F STOCKS (PVT.) LIMITED 293 RUC SECURITES (PVT.) LIMITED	18-Mar-19 18-Mar-19	NCCPL/CRO/41/19 NCCPL/CRO/40/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
294 HAJI ABDUL SATTAR SECURITIES (PVT.) LTD	15-Mar-19	NCCPL/CS/114/19	RESTRICTION OF access to services under regulation is LLI(i) & 18.5 of NLCPL Regulations, 2015 Pursuant to drive access to services under regulation is 18.1(i) & 18.3 of NLCPL Regulations, 2015 Pursuant to drive account of Self Termination under Regulation III 8.1(ii) & 18.3 of NLCPL Regulations, 2015 On account of Self Termination (Termination III) (T
295 CHENAB STOCK SERVICES (PVT.) LIMITED	12-Mar-19	NCCPL/CRO/34/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations, 2015.
296 FOUNDATION SECURITIES (PVT) LTD	12-Mar-19	NCCPL/CRO/35/19	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
297 SOUTH ASIAN SECURITIES (PVT) LTD.	12-Mar-19	NCCPL/CS/110/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
298 NAYYAR SHEIKH SECURITIES (PVT) LTD	6-Mar-19	NCCPL/CS/96/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
299 INVEST CAPITAL MARKETS LIMITED	22-Feb-19	NCCPL/CRO/32/19	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
300 AMCAP SECURITIES (PVT.) LTD.	21-Feb-19	NCCPL/CRO/31/19	Further suspension under Regulation 18.1.1 (e) & 14.7 of NCCPL Regulations, 2015 On account of matters identified under Joint Inspection
301 128 SECURITIES (PVT) LTD. 302 CASSIM INVESTMENTS (PRIVATE) LIMITED	19-Feb-19 19-Feb-19	NCCPL/CRO/30/19	Revocation of restriction on opening of new client accounts of Clearing Member Pursuant to action taken by PSX Tempination under Demolrting 18, 11(0), 8, 12, 3, 4, MCCII Insulation 20, 12, 12, 13, 14, 15, 12, 13, 14, 15, 12, 14, 15, 12, 14, 15, 15, 15, 15, 15, 15, 15, 15, 15, 15
302 CASSIM INVESTMENTS (PRIVATE) LIMITED 303 SOUTH ASIAN SECURITIES (PRIVATE) LIMITED	19-Feb-19 18-Feb-19	NCCPL/CS/72/19 NCCPL/CRO/29/19	Termination 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(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
304 M. SALIM KASMANI SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/27/19	NESTICION DI ACCESS DI SERVICES UNIVER REGUIATORI A 15.50 IN INCEPE REGUIATORIS, 2015 POI STABILI DI ACCESS DI SERVICES UNIVERSI REGUIATORIS DI ACCESSO DI
305 HH MISBAH SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/25/19	wenting issued on resolve on inspection conducted under John inspection regulations. Notice issued to resolve on observation identified under John inspection or negulations. Notice issued to resolve open observation identified under Inspection Conducted under Joint Inspection Regulations, 2015
306 GALAXY CAPITAL SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/26/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations
307 ABBASI & CO. (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/23/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations
308 NETWORTH SECURITIES LIMITED	18-Feb-19	NCCPL/CRO/24/19	Warning issued on account of inspection conducted under Joint Inspection Regulations
309 DALAL SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/28/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
310 RFJ EQUITY (PVT) LTD	29-Jan-19	NCCPL/CS/29/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
311 HMC STOCKS (PVT) LTD 312 K.H.S. SECURITIES (PVT.) LIMITED.	23-Jan-19 22-Jan-19	NCCPL/CRO/15/19 NCCPL/CRO/14/19	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
312 K.H.S. SECURITIES (PVI.) LIMITED. 313 K.H.S. SECURITIES (PVT.) LIMITED.	22-Jan-19 16-Jan-19	NCCPL/CRO/14/19 NCCPL/CRO/12/19	kevocation of Liearing Member Pursuant to action taken by PSX and submission of audited NLB Restriction of access to services under Regulation 18.1.(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
314 HMC STOCKS (PVT.) LTD	16-Jan-19	NCCPL/CRO/13/19	RESURCINO OF aCCESS to Services under Regulation 18.1.(1) & 18.3 of MCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.(1) & 18.3 of MCCPL Regulations, 2015 Pursuant to action taken by PSX
315 SOUTH ASIAN SECURITIES (PRIVATE) LIMITED	4-Jan-19	NCCPL/CRO/8/19	Resoction of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX
316 SAIMA QAISER SECURITIES (PVT.) LIMITED	4-Jan-19	NCCPL/CRO/6/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations
317 ABM SECURITIES (PVT.) LIMITED	4-Jan-19	NCCPL/CRO/7/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations
318 FDM CAPITAL SECURITIES (PVT.) LIMITED	1-Jan-19	NCCPL/CRO/1/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
319 SAL SECURITIES (PVT) LTD.	31-Dec-18	NCCPL/CS/485/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination
320 OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED	28-Dec-18	NCCPL/CS/478/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
321 RUC SECURITIES (PRIVATE) LIMITED	18-Dec-18	NCCPL/CRO/225/18	Revocation of Clearing Member Pursuant to action taken by PSX
322 FIRST CAPITAL EQUITIES LIMITED	17-Dec-18	NCCPL/CRO/220/18	Warning issued under Regulation 18.1.1(e) of NCCPI Regulations, 2015 on account of matter pertaining to delay in payment of money obligation

National Clearing Company of Pakistan Limited Disciplinary actions taken against the TRE Certificate Holders			
			Sistemany descriptions are the continued sources
S. No Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
323 OPTIMUS CAPITAL MANAGEMENT (PVT.) LIMITED	14-Dec-18	NCCPL/CRO/221/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
324 FAIR TRADE CAPITAL SECURITIES (PVT.) LIMITED	14-Dec-18	NCCPL/CRO/222/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
325 EFG HERMES PAKISTAN LIMITED	14-Dec-18	NCCPL/CRO/223/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
326 DIYANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED	6-Dec-18	NCCPL/CS/443/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
327 TARIQ SAYEED SECURITIES (PVT) LIMITED	28-Nov-18	NCCPL/CRO/217/18	Revocation of Clearing Member On account of notice issued by SECP
328 SHER CAPITAL EQUITIES (PVT.) LTD.	28-Nov-18	NCCPL/CS/428/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
329 AM CHAUDHRY SECURITIES (PVT.) LIMITED	19-Nov-18	NCCPL/CRO/206/18	Revocation of Clearing Member On account of notice issued by SECP
330 RUC SECURITIES (PRIVATE) LIMITED 331 ARIF LATIF SECURITIES (PVT.) LIMITED	16-Nov-18	NCCPL/CRO/205/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	9-Nov-18	NCCPL/CRO/195/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
	9-Nov-18 9-Nov-18	NCCPL/CRO/193/18 NCCPL/CRO/194/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
			Warning issued on account of Inspection conducted under Joint Inspection Regulations
334 UNEX SECURITIES (PVT.) LIMITED 335 PINE SECURITIES (PRIVATE) LIMITED	9-Nov-18 7-Nov-18	NCCPL/CRO/197/18 NCCPL/CS/407/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
336 BABA EQUITIES (PVT.) LIMITED	7-NOV-18 29-Oct-18	NCCPL/CS/407/18 NCCPL/CRO/187/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination
	29-Oct-18	NCCPL/CRO/187/18 NCCPL/CRO/190/18	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
338 JAVED IQBAL SECURITIES (PVT.) LIMITED-LSI 339 NUA SECURITIES (PVT.) LIMITED-LSI	29-Oct-18 29-Oct-18	NCCPL/CRO/189/18 NCCPL/CRO/188/18	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
340 ZAHID LATIF KHAN SECURITIES (PVT) LTD.	26-Oct-18	NCCPL/CRO/188/18 NCCPL/CS/386/18	
340 ZAHID LATIF KHAN SECURITIES (PVT) LTD. 341 F.M. SECURITIES (PVT.) LTD.	26-Oct-18	NCCPL/CS/386/18 NCCPL/CRO/192/18	Termination of MF CM Account under Regulation 18.1.1(i) 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 Pursuant to action taken by PSX
341 F.M. SECURITIES (PVI.) LTD. 342 XPERT SECURITIES (PRIVATE) LIMITED	24-Oct-18	NCCPL/CRO/192/18 NCCPL/CRO/186/18	RESTITION OF ACCESS TO SERVICES UNDER REGULATION 1.8.1.1(1) & 1.8.3 OF NUCLEY REGULATIONS, 20.15 FURSIAIN TO ACCESS TO SERVICES UNDER REGULATION 1.8.1.1(1) & 1.8.3 OF NUCLEY REGULATIONS, 20.15 FURSIAIN TO ACCESS TO SERVICES UNDER THE REGULATION TAKEN OF ACCESS TO ACCESS TO SERVICES UNDER THE REGULATION TO ACCESS TO
343 A.S.SECURITIES (PRIVATE) LIMITED	16-Oct-18	NCCPL/CRO/188/18	Revocation or Learning inventible Trustant to action maken by PSX and additional additio
344 XPERT SECURITIES (PRIVATE) LIMITED	16-Oct-18	NCCPL/CRO/181/18	Nest ICLIOT OF ACCES to Services one regulation (a.c., LLQ) at 16.3 OF INCEPT, regulations, 20.13 Full south to account and only 19.3 A Warning issued under Regulation (14.3 of NCCP) Regulations, 20.15 On account of matter pertaining to submission of NCB
345 AZEE SECURITIES	16-Oct-18	NCCPL/CRO/181/18 NCCPL/CRO/182/18	warling issued under Regulation 14.3. Or NCCF1 Regulations, 2015 or laction to matter pertaining to studing in NCCF and the NCCF Regulations of the NCCF Regulations (2015 on account of matter pertaining to studings on the NCCF Regulation 18.1.1(e) of NCCF1 Regulations, 2015 on account of matter pertaining to delay in payment of money obligation
346 MARKET 786 (PVT.) LIMITED	15-Oct-18	NCCPL/CRO/182/18 NCCPL/CRO/179/18	Warring issued on account of inspection conducted under Joint Units of the Regulations and the Control of the C
347 CAMCO (PVT.) LIMITED	12-Oct-18	NCCPL/CRO/178/18	warming issued of account or inspection conducted under John Inspection regulations. Revocation of Clearing Member Pursuant to action taken by PSX Clearing Member Pursuant to action taken by PSX Clearing Member Pursuant to action taken by PSX
348 FIRST CAPITAL EQUITIES LIMITED	9-Oct-18	NCCPL/CRO/176/18	Revocation of Clearing Member Pursuant to settlement of money obligation
349 INA SECURITIES (PVT) LTD	9-Oct-18	NCCPL/CRO/177/18	Revocation of Clearing Member Pursuant to Section taken by PSX
350 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
351 MGM SECURITIES (PVT.) LIMITED	4-Oct-18	NCCPL/CRO/170/18	Warning issued on account of inspection conducted under doing to interpret on Regulations
352 CASSIM INVESTMENTS (PVT.) LIMITED	4-Oct-18	NCCPL/CRO/171/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
353 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
354 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
355 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
356 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
357 INA SECURITIES (PVT) LTD	18-Sep-18	NCCPL/CRO/158/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
358 PROGRESSIVE INV. MANAGEMENT (PVT) LTD.	18-Sep-18	NCCPL/CRO/160/18	Revocation of Clearing Member Pursuant to action taken by CDC
359 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
360 MSD CAPITAL EQUITIES (PVT) LTD.	18-Sep-18	NCCPL/CRO/161/18	Revocation of Clearing Member Pursuant to action taken by PSX
361 APEX CAPITAL SECURITIES (PVT) LIMITED	18-Sep-18	NCCPL/CRO/164/18	Revocation of Clearing Member Pursuant to action taken by PSX
362 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
363 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
364 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
365 MOHAMMAD MUNIR MOHAMMAD	12-Sep-18	NCCPL/CRO/153/18	Warning issued on account of matters forwarded by the Commission
366 CONTINENTAL CAPITAL MANAGEMENT (PVT.) LIMITED	12-Sep-18	NCCPL/CRO/152/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
367 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
368 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
369 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
370 SMAC INVESTMENTS (SMC-PVT) LTD.	7-Sep-18	NCCPL/CS/319/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
371 FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED	31-Aug-18	NCCPL/CRO/148/18	Revocation of Clearing Member Pursuant to action taken by PSX
372 SAIMA QAISER SECURITIES (PVT) LIMITED	24-Aug-18	NCCPL/CRO/145/18	Revocation of Clearing Member Pursuant to action taken by PSX
373 DJM SECURITIES (PVT.) LIMITED	20-Aug-18	NCCPL/CRO/142/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
374 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
375 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
376 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
377 VENUS SECURITIES (PVT.) LIMITED	15-Aug-18	NCCPL/CRO/140/18	Revocation of Clearing Member On account of notice issued by SECP
378 OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED	2-Aug-18	NCCPL/CRO/129/18	Revocation of Clearing Member Pursuant to action taken by PSX
379 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
380 YASIR MAHMOOD SECURITIES (PVT.) LIMITED	26-Jul-18	NCCPL/CRO/124/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
381 BISMILLAH SECURITIES (PVT.) LIMITED	26-Jul-18	NCCPL/CRO/127/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
382 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

	National Clearing Company of Pakistan Limited Disciplinary actions taken against the TRE Certificate Holders					
S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action		
	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		
	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		
385	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		
386	AHSAM SECURITIES (PVT.) LIMITED	24-Jul-18	NCCPL/CRO/121/18	Revocation of Clearing Member On account of notice issued by SECP		
387	R.F.J. EQUITY (PRIVATE) LIMITED	24-Jul-18	NCCPL/CRO/122/18	Revocation of Clearing Member On account of notice issued by SECP		
388	SMAC INVESTMENTS (SMC-PVT) LTD.	19-Jul-18	NCCPL/CRO/108/18	Revocation of Clearing Member On account of notice issued by SECP		
389 390	GROWTH SECURITIES (PVT.) LIMITED COMMISSION PROGRESSIVE INVESTMENT MANAGEMENT (PVT.) LIMITED	17-Jul-18 17-Jul-18	NCCPL/CRO/90/18 NCCPL/CRO/92/18	Warning issued on account of matters forwarded by the Commission Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
390	FAIR EDGE SECURITIES (PVT.) LIMITED	17-Jul-18 17-Jul-18	NCCPL/CRO/92/18 NCCPL/CRO/107/18	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		
392	FIRST CAPITAL EQUITIES LIMITED	17-Jul-18	NCCPL/CRO/108/18	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		
393	FIRST EQUITY MODARABA	17-Jul-18	NCCPL/CRO/106/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
394	IQBAL 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		
395	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		
396	INTERACTIVE SECURITIES (PVT.) LIMITED	16-Jul-18	NCCPL/CRO/93/18	Revocation of Clearing Member On account of notice issued by SECP		
397	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		
398	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		
399	SAL SECURITIES (PVT.) LIMITED	3-Jul-18	NCCPL/CRO/86/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations		
400 401	WE FINANCIAL SERVICES LIMITED ASA STOCKS (PVT.) LIMITED	3-Jul-18 29-Jun-18	NCCPL/CRO/88/18 NCCPL/CRO/85/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Revocation of Clearing Member Pursuant to action taken by PSX		
401		29-Jun-18 28-Jun-18	NCCPL/CRO/85/18 NCCPL/CRO/84/18	Nevocation of Learing 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		
	AWT INVESTMENT LIMITED	27-Jun-18	NCCPL/CS/242/18	Nevocation or Dearing invenior Pursuant to action state by PSA. 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		
	FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED	25-Jun-18	NCCPL/CRO/83/18	Restriction discess to services under Regulation 3.8.1.1(b) & 18.3 of NCCF Regulations, 2015 Pursuant to action taken by PSX		
405	ASA STOCKS (PVT.) LIMITED	20-Jun-18	NCCPL/CRO/82/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
	KP SECURITIES (PRIVATE) LIMITED	20-Jun-18	NCCPL/CRO/81/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
407	AMCAP SECURITIES (PVT.) LTD.	19-Jun-18	NCCPL/CRO/79/18	Revocation of Clearing Member Pursuant to settlement of money obligation		
408	AMCAP SECURITIES (PVT.) LTD.	19-Jun-18	NCCPL/CRO/78/18	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation		
409	ABA ALI HABIB SECURITIES (PVT.) LIMITED	14-Jun-18	NCCPL/CRO/75/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
410	DIN CAPITAL LIMITED	14-Jun-18	NCCPL/CRO/74/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
	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		
	JAWED ZAKARIYA GULABI SECURITIES (PVT) LIMITED DAWOOD EQUITIES LIMITED - COMMISSION	13-Jun-18 8-Jun-18	NCCPL/CS/235/18 NCCPL/CRO/73/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Warning issued on account of matters forwarded by the Commission		
414	ELIXIR SECURITIES PAKISTAN (PVT.) LIMITED	8-Jun-18	NCCPL/CRO/73/18	warining issued on account or instancia rollwarded by the Confirming sound or resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued for resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
415	F.M SECURITIES (PVT.) LIMITED	8-Jun-18	NCCPL/CRO/70/18	Notice issued to resolve open observation infinitely under inspection conducted under John Inspection Regulations, 2015 Notice issued to resolve open observation infinitely under inspection conducted under John Inspection Regulations, 2015 Notice issued to resolve open observation infinitely under Inspection Conducted under John Inspection Regulations, 2015		
416	FIRST NATIONAL EQUITIES LIMITED	8-Jun-18	NCCPL/CRO/71/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
417	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		
418	ABID ALI HABIB SECURITIES (PVT) LIMITED	29-May-18	NCCPL/CS/209/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination		
419	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		
420	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		
		18-May-18	NCCPL/CRO/66/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
422	JAHANZAIB SECURITIES (PVT) LIMITED	17-May-18 16-May-18	NCCPL/CS/196/18 NCCPL/CRO/69/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination		
423	FAIR DEAL SECURITIES (PVT) LTD. KSR STOCK BROKERAGE (PVT) LTD.	10-May-18	NCCPL/CS/188/18	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 18.1.2(i) & 18.3 of NCCPL Regulations, 2015 On account of self termination		
425	MANNOO CAPITAL (PVT.) LIMITED	20-Apr-18	NCCPL/CRO/48/18	Warning issued on account of inspection conducted under Joint Inspection Regulations		
426	128 SECURITIES (PVT.) LIMITED	20-Apr-18	NCCPL/CRO/44/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
427	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		
428	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		
429	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		
	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		
431	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		
432	SHAFFI SECURITIES (PVT.) LIMITED MAHA SECURITIES (PVT.) LIMITED	19-Mar-18 12-Mar-18	NCCPL/CRO/43/18 NCCPL/CS/112/18	Revocation of Clearing Member Pursuant to action taken by PSX Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination		
434	ALFALAH SECURITIES (PVT.) LIMITED	12-Mar-18	NCCPL/CS/112/18 NCCPL/CRO/28/18	Termination under regulation 1.8.1.1() & 1.8.3 or NCUF. Regulations, 2015 on account or ser Termination Notice issue for resolve open observation identified under Inspection Conducted under Joint Inspection Regulations, 2015 Notice issue for resolve open observation identified under Inspection Conducted under Joint Inspection Regulations, 2015		
435	AXIS GLOBAL LIMITED	12-Mar-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		
436	ICON CAPITAL MANAGEMENT (PVT.) LIMITED	12-Mar-18	NCCPL/CRO/29/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
437	INTERMARKET SECURITIES LIMITED	12-Mar-18	NCCPL/CRO/31/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
438	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		
439	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		
440	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		
	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		
	128 SECURITIES (PVT) LTD. ALI HUSAIN RAJABALI LTD	1-Mar-18	NCCPL/CRO/23/18 NCCPL/CS/93/18	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 18.1.2(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination		
443	ALI HUSAIN RAJABALI LI D H.M. IDREES H. ADAM (PVT.) LIMITED	23-Feb-18 29-Jan-18	NCCPL/CS/93/18 NCCPL/CS/56/18	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 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		
445	KHAYYAM SECURITIES (PVT) LIMITED	25-Jan-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 Termination		
446	INVEST FORUM (PVT) LIMITED	23-Jan-18	NCCPL/CS/50/18	Termination under Regulation 18.1.1() 8 18.3 of NCCPL Regulations, 2015 On account of Self Termination		
447	ISMAIL IQBAL SECURITIES (PVT.) LTD.	22-Jan-18	NCCPL/CRO/8/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015		
448	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		
	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		
	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		
451	XPERT SECURITIES (PRIVATE) LIMITED	18-Jan-18	NCCPL/CRO/009/18	Revocation of Clearing Member Pursuant to action taken by CDC		
452	FIRST ZEIVA (PVT.) LTD.	4-Jan-18	NCCPL/CS/08/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination		
	MILLENIUM SECURITIES AND INVESTMENT (PVT) LIMITED 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		
434	FEARE BROKERAGE (FVI) ENVITED	T-1911-TQ	14CCr L/CNO/002/10	Nevocation of Cleaning Member Fursuant to action (dRef) by FSA		