

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

S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
1	Growth Securities (Pvt.) Limited	24-Jun-20	NCCPL/CRO/194/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
2	Gulrez Securities (Pvt.) Limited	24-Jun-20	NCCPL/CRO/195/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
3	Fair Edge Securities (Pvt.) Limited	24-Jun-20	NCCPL/CRO/196/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
4	Tariq Moti Securities (Pvt.) Limited	24-Jun-20	NCCPL/CRO/197/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
5	Creative Capital Securities (Pvt.) Limited	24-Jun-20	NCCPL/CRO/198/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
6	Asad Mustafa Securities (Pvt.) Limited	16-Jun-20	NCCPL/CRO/187/20	Restriction of access to services as Margin Financier and Trading Financier under 12.3.1B(i) of NCCPL Regulations, 2015.
7	Elixir Securities Pakistan (Pvt.) Limited	9-Jun-20	NCCPL/CS/214/20	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
8	Vector Securities (Pvt) Limited	18-May-20	NCCPL/CRO/182/20	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB
9	First Street Capital (Pvt.) Limited	15-May-20	NCCPL/CRO/181/20	Revocation of Restriction of access to services as Margin Financier and Trading Financier pursuant to submission of unaudited NCB
10	Mayari Securities (Pvt.) Limited	5-May-20	NCCPL/CRO/180/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
11	Bawa Securities (Pvt.) Limited	5-May-20	NCCPL/CRO/174/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
12	Falki Capital (Pvt.) Limited	5-May-20	NCCPL/CRO/173/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
13	Integrated Equities Limited	5-May-20	NCCPL/CRO/178/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
14	Rahat Securities (Pvt.) Limited	5-May-20	NCCPL/CRO/179/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
15	ASDA Securities Private Limited-TRR	5-May-20	NCCPL/CRO/171/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
16	Zillion Capital Securities Private Limited-TRR	5-May-20	NCCPL/CRO/170/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
17	Allied Bank Limited-Settling Bank Branch	28-Apr-20	NCCPL/CS/185/2020	Termination under Regulation 18.1.1(i) of NCCPL Regulations, 2015 on account of Self Termination
18	Allied Bank Limited	28-Apr-20	NCCPL/CS/184/2020	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
19	Zillion Capital Securities (Pvt) Limited-MF	27-Apr-20	NCCPL/CS/186/2020	Termination as Margin Financier under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
20	Progressive Investment Management (Pvt.) Limited	21-Apr-20	NCCPL/CRO/168/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
21	Bridge Securities (Pvt) Limited	21-Apr-20	NCCPL/CRO/168/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
22	Asad Mustafa Securities (Pvt) Limited	21-Apr-20	NCCPL/CRO/167/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
23	Dr. Arslan Razaque Securities (Pvt) Limited	21-Apr-20	NCCPL/CRO/165/20	Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
24	First Street Capital (Pvt.) Limited	17-Apr-20	NCCPL/CRO/164/20	Restriction of access to services as Margin Financier and Trading Financier under 12.3.1B(i) of NCCPL Regulations, 2015.
25	Vector Securities (Pvt) Limited	17-Apr-20	NCCPL/CRO/163/20	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
26	Zillion Capital Securities (Pvt) Limited-MF	17-Apr-20	NCCPL/CRO/162/20	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
27	Escorts Capital Limited	26-Mar-20	NCCPL/CS/175/2020	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
28	Akhai Securities (Pvt) Limited	24-Mar-20	NCCPL/CRO/154/20	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB
29	Al-Haq Securities Pvt. Ltd	17-Mar-20	NCCPL/CRO/131/20	Revocation of Restriction of the Clearing Member as Trading Financier pursuant to submission of audited NCB
30	Akhai Securities (Pvt) Limited	17-Mar-20	NCCPL/CS/101/2020	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
31	JSK Securities Ltd	17-Mar-20	NCCPL/CRO/129/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
32	ASDA Securities (Pvt) Limited	17-Mar-20	NCCPL/CRO/127/20	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
33	Amer Securities (Pvt.) Limited	17-Mar-20	NCCPL/CRO/130/20	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
34	Zillion Capital Securities (Pvt) Limited	13-Mar-20	NCCPL/CRO/124/20	Revocation of Restriction of the Clearing Member as Margin Financier pursuant to submission of audited NCB
35	Amer Securities (Pvt.) Limited	13-Mar-20	NCCPL/CRO/122/20	Revocation of Restriction of the Clearing Member as Margin Financier pursuant to submission of audited NCB
36	R.A Securities (Pvt) Limited	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
37	M.J Memon Securities (Pvt) Limited	3-Mar-20	NCCPL/CS/101/2020	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
38	Reliance Securities Limited	17-Feb-20	NCCPL/CRO/101/20	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
39	K&I Global Capital (Pvt) Limited	14-Feb-20	NCCPL/CRO/98/20	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
40	AMCAP Securities (Pvt) Limited	11-Feb-20	NCCPL/CS/75/2020	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
41	Azee Securities (Pvt) Limited	10-Feb-20	NCCPL/CRO/90/20	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
42	Azee Securities (Pvt) Limited	10-Feb-20	NCCPL/CRO/89/20	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
43	Din Capital Limited	23-Jan-20	NCCPL/CS/70/2020	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
44	Unex Securities (Pvt.) Limited	9-Jan-20	NCCPL/CS/52/2020	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
45	Concordia Securities (Pvt.) Limited	9-Jan-20	NCCPL/CS/65/2020	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
46	Dawood Equities Limited	27-Dec-19	NCCPL/CRO/216/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 and penalty imposed
47	Dattoo Securities (Pvt) Limited	27-Dec-19	NCCPL/CRO/211/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
48	ASDA Securities (Pvt) Limited	19-Dec-19	NCCPL/CRO/209/19	Revocation of Restriction of the Clearing Member pursuant to submission of audited NCB
49	IAK Securities (Pvt.) Ltd	18-Dec-19	NCCPL/CS/462/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
50	HP Byramji and Co (Pvt) Limited	13-Dec-19	NCCPL/CRO/203/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
51	Al Habib Capital Markets Pvt Ltd	13-Dec-19	NCCPL/CRO/205/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
52	Ayub 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
53	Yasir Mahmood Securities Pvt Ltd	22-Nov-19	NCCPL/CRO/199/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
54	AAA Securities Pvt Ltd	22-Nov-19	NCCPL/CRO/197/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
55	Rafi Securities (Pvt) Ltd	22-Nov-19	NCCPL/CRO/198/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
56	FairEdge Securities (Pvt) Ltd	22-Nov-19	NCCPL/CRO/195/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
57	Highland Securities Pvt limited	22-Nov-19	NCCPL/CRO/196/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
58	MSD Capital Equities (Pvt) Ltd	18-Nov-19	NCCPL/CRO/201/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
59	Xpert Securities (Pvt.) Limited	18-Nov-19	NCCPL/CRO/200/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
60	Baba Equities (Pvt.) Limited	7-Nov-19	NCCPL/CS/405/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
61	Azee Securities (Pvt.) Limited	22-Oct-19	NCCPL/CRO/187/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
62	Azee Securities (Pvt.) Limited	22-Oct-19	NCCPL/CRO/188/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
63	Pervez Ahmed Capital (Pvt.) Limited	7-Oct-19	NCCPL/CRO/186/19	Suspension under Regulation 18.1.1(a) & (b) of NCCPL Regulations, 2015 on account of notice issued by SECP
64	Gul Dhami Securities (Pvt.) Limited	4-Oct-19	NCCPL/CRO/140/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
65	Salman Majeed Securities (Pvt.) Limited	4-Oct-19	NCCPL/CRO/142/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
66	Zahid Latif Khan Securities (Pvt.) Limited	4-Oct-19	NCCPL/CRO/141/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
67	Hamza Farhad Securities (Pvt.) Limited	27-Sep-19	NCCPL/CRO/139/19	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB

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68	Memon Securities (Pvt.) Limited	24-Sep-19	NCCPL/CRO/136/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
69	Khawaja Securities Pvt Limited	23-Sep-19	NCCPL/CRO/124/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
70	Insight securities (Pvt.) Limited	23-Sep-19	NCCPL/CRO/125/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
71	Hamza Farhad Securities (Pvt.) Limited	19-Sep-19	NCCPL/CRO/133/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
72	Elixir Securities (Pvt) Limited	17-Sep-19	NCCPL/CS/318/19	Termination as Trading Financier and Margin Financier under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
73	Asda Securities (Pvt.) Limited	17-Sep-19	NCCPL/CRO/127/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
74	We Financial Services Limited	16-Sep-19	NCCPL/CRO/131/19	Revocation of restriction of Clearing Member on account of notice issued by SECP
75	Baba Equities (Pvt) Limited	16-Sep-19	NCCPL/CRO/129/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
76	Amer Securities (Pvt.) Limited	16-Sep-19	NCCPL/CRO/123/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
77	Zillion Capital Securities (Pvt) Limited	13-Sep-19	NCCPL/CRO/122/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
78	We Financial Services Limited	6-Sep-19	NCCPL/CRO/120/19	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
79	M.H Securities (Pvt) Limited	28-Aug-19	NCCPL/CS/286/19	Termination as Margin Financier under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
80	M.H Securities (Pvt) Limited	28-Aug-19	NCCPL/CS/285/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
81	Zillion Capital Securities (Pvt.) Limited	30-Jul-19	NCCPL/CRO/109/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
82	Multiline Securities (Pvt.) Limited	29-Jul-19	NCCPL/CRO/108/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
83	Al- Hogani Securities And Investment Corporation Limited	29-Jul-19	NCCPL/CS/271/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
84	MF Stocks (Pvt.) Limited	25-Jul-19	NCCPL/CS/267/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
85	Techno Fundamental Securities (Pvt.) Limited	23-Jul-19	NCCPL/CS/262/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
86	IAK Securities (Pvt.) Limited	18-Jul-19	NCCPL/CRO/107/19	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB
87	IAK Securities (Pvt.) Limited	16-Jul-19	NCCPL/CRO/106/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
88	Shajarpak Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/96/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
89	MAAN 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
90	Shaffi Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/97/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
91	Azee Securities (Pvt) Limited	15-Jul-19	NCCPL/CRO/104/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
92	Azee Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/103/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
93	KP Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/105/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
94	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
95	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
96	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
97	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
98	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
99	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
100	DAWOOD EQUITIES LIMITED	26-Jun-19	NCCPL/CRO/93/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
101	DAWOOD EQUITIES LIMITED	26-Jun-19	NCCPL/CRO/92/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
102	FIRST CAPITAL EQUITIES LIMITED	25-Jun-19	NCCPL/CS/212/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
103	RELANCE 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
104	AZEE SECURITIES PRIVATE LIMITED	10-Jun-19	NCCPL/CS/198/19	Termination of Margin Financier and Finances accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
105	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
106	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
107	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
108	ALFA ADHI SECURITIES PRIVATE LIMITED	21-May-19	NCCPL/CRO/71/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
109	MILLENIUM BROKERAGE PRIVATE LIMITED	21-May-19	NCCPL/CRO/72/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
110	FIRST CAPITAL EQUITIES LIMITED	21-May-19	NCCPL/CRO/74/19	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB
111	FIRST CAPITAL EQUITIES LIMITED	16-May-19	NCCPL/CRO/70/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
112	AZEE SECURITIES PRIVATE LIMITED	14-May-19	NCCPL/CRO/68/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
113	AZEE SECURITIES PRIVATE LIMITED	14-May-19	NCCPL/CRO/69/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
114	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
115	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
116	AZEE SECURITIES PRIVATE LIMITED	9-May-19	NCCPL/CRO/67/19	Revocation of Clearing Member Pursuant to settlement of money obligation
117	FORTUNE SECURITIES LIMITED	7-May-19	NCCPL/CRO/60/19	Warning issued under Regulation 14.3 and 14.6 of NCCPL Regulations, 2015 on account of matter pertaining to submission of NCB
118	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
119	Y.H SECURITIES PRIVATE LIMITED	25-Apr-19	NCCPL/CS/158/19	Termination of Trading Financier ID under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
120	GROWTH SECURITIES (PVT.) LIMITED	17-Apr-19	NCCPL/CRO/56/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
121	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
122	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
123	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
124	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
125	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
126	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
127	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
128	SAKARWALA CAPITAL SECURITIES PVT LIMITED	28-Mar-19	NCCPL/CRO/48/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
129	TECHNO FUNDAMENTAL (PVT.) LIMITED	28-Mar-19	NCCPL/CRO/49/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
130	MAAN SECURITIES (PVT.) LIMITED	28-Mar-19	NCCPL/CRO/50/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
131	IAK SECURITIES PVT. LIMITED	22-Mar-19	NCCPL/CRO/42/19	Revocation of Restriction of access to services, Pursuant to action taken by PSX and submission of audited NCB

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132	HABIB METROPOLITAN FINANCIAL SERVICES LIMITED	20-Mar-19	NCCPL/CRO/38/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
133	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.
134	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.
135	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.
136	IAK SECURITIES (PVT.) LIMITED	18-Mar-19	NCCPL/CRO/39/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
137	M.F STOCKS (PVT.) LIMITED	18-Mar-19	NCCPL/CRO/41/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
138	RUC SECURITES (PVT.) LIMITED	18-Mar-19	NCCPL/CRO/40/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
139	HAJI ABDUL SATTAR SECURITIES (PVT.) LTD	15-Mar-19	NCCPL/CS/114/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
140	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.
141	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
142	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
143	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
144	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
145	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
146	128 SECURITIES (PVT) LTD.	19-Feb-19	NCCPL/CRO/30/19	Revocation of restriction on opening of new client accounts of Clearing Member Pursuant to action taken by PSX
147	CASSIM INVESTMENTS (PRIVATE) LIMITED	19-Feb-19	NCCPL/CS/72/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
148	SOUTH ASIAN SECURITIES (PRIVATE) LIMITED	18-Feb-19	NCCPL/CRO/29/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
149	M. SALIM KASMANI SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/27/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations
150	HH MISBAH SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/25/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
151	GALAXY CAPITAL SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/26/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations
152	ABBASI & CO. (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/23/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations
153	NETWORTH SECURITIES LIMITED	18-Feb-19	NCCPL/CRO/24/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations
154	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
155	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
156	HMC STOCKS (PVT) LTD	23-Jan-19	NCCPL/CRO/15/19	Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB
157	K.H.S. SECURITIES (PVT.) LIMITED.	22-Jan-19	NCCPL/CRO/14/19	Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB
158	K.H.S. SECURITIES (PVT.) LIMITED.	16-Jan-19	NCCPL/CRO/12/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
159	HMC STOCKS (PVT) LTD	16-Jan-19	NCCPL/CRO/13/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
160	SOUTH ASIAN SECURITIES (PRIVATE) LIMITED	4-Jan-19	NCCPL/CRO/8/19	Revocation of Clearing Member Pursuant to action taken by PSX
161	SAIMA QAISER SECURITIES (PVT.) LIMITED	4-Jan-19	NCCPL/CRO/6/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations
162	ABM SECURITIES (PVT.) LIMITED	4-Jan-19	NCCPL/CRO/7/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations
163	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
164	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
165	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
166	RUC SECURITIES (PRIVATE) LIMITED	18-Dec-18	NCCPL/CRO/225/18	Revocation of Clearing Member Pursuant to action taken by PSX
167	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
168	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
169	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
170	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
171	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
172	TARIQ SAYEED SECURITIES (PVT) LIMITED	28-Nov-18	NCCPL/CRO/217/18	Revocation of Clearing Member On account of notice issued by SECP
173	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
174	AM CHAUDHRY SECURITIES (PVT.) LIMITED	19-Nov-18	NCCPL/CRO/206/18	Revocation of Clearing Member On account of notice issued by SECP
175	RUC SECURITIES (PRIVATE) LIMITED	16-Nov-18	NCCPL/CRO/205/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
176	ARIF LATIF SECURITIES (PVT.) LIMITED	9-Nov-18	NCCPL/CRO/195/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
177	RIAZ AHMED SECURITIES (PVT.) LIMITED	9-Nov-18	NCCPL/CRO/193/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
178	TRUST SECURITIES & BROKERAGE (PVT.) LIMITED	9-Nov-18	NCCPL/CRO/194/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
179	UNEX SECURITIES (PVT.) LIMITED	9-Nov-18	NCCPL/CRO/197/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
180	PINE SECURITIES (PRIVATE) LIMITED	7-Nov-18	NCCPL/CS/407/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination
181	BABA EQUITIES (PVT.) LIMITED	29-Oct-18	NCCPL/CRO/187/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
182	128 SECURITIES (PVT.) LIMITED-LSI	29-Oct-18	NCCPL/CRO/190/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
183	JAVED IQBAL SECURITIES (PVT.) LIMITED-LSI	29-Oct-18	NCCPL/CRO/189/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
184	NUA SECURITIES (PVT.) LIMITED-LSI	29-Oct-18	NCCPL/CRO/188/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
185	ZAHID LATIF KHAN SECURITIES (PVT) LTD.	26-Oct-18	NCCPL/CS/386/18	Termination of MF CM Account under Regulation 18.1.1(i) of NCCPL Regulations, 2015 On account of self termination
186	F.M. SECURITIES (PVT.) LTD.	26-Oct-18	NCCPL/CRO/192/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
187	XPRT SECURITIES (PRIVATE) LIMITED	24-Oct-18	NCCPL/CRO/186/18	Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB
188	A.S.SECURITIES (PRIVATE) LIMITED	16-Oct-18	NCCPL/CRO/183/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
189	XPRT SECURITIES (PRIVATE) LIMITED	16-Oct-18	NCCPL/CRO/181/18	Warning issued under Regulation 14.3 of NCCPI Regulations, 2015 On account of matter pertaining to submission of NCB
190	AZEE SECURITIES	16-Oct-18	NCCPL/CRO/182/18	Warning issued under Regulation 18.1.1(e) of NCCPI Regulations, 2015 on account of matter pertaining to delay in payment of money obligation
191	MARKET 786 (PVT.) LIMITED	15-Oct-18	NCCPL/CRO/179/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
192	CAMCO (PVT.) LIMITED	12-Oct-18	NCCPL/CRO/178/18	Revocation of Clearing Member Pursuant to action taken by PSX

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Disciplinary actions taken against the TRE Certificate Holders

S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
193	FIRST CAPITAL EQUITIES LIMITED	9-Oct-18	NCCPL/CRO/176/18	Revocation of Clearing Member Pursuant to settlement of money obligation
194	INA SECURITIES (PVT) LTD	9-Oct-18	NCCPL/CRO/177/18	Revocation of Clearing Member Pursuant to action taken by PSX
195	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
196	MGM SECURITIES (PVT.) LIMITED	4-Oct-18	NCCPL/CRO/170/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
197	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
198	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
199	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
200	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
201	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
202	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
203	PROGRESSIVE INV. MANAGEMENT (PVT) LTD.	18-Sep-18	NCCPL/CRO/160/18	Revocation of Clearing Member Pursuant to action taken by CDC
204	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
205	MSD CAPITAL EQUITIES (PVT) LTD.	18-Sep-18	NCCPL/CRO/161/18	Revocation of Clearing Member Pursuant to action taken by PSX
206	APEX CAPITAL SECURITIES (PVT) LIMITED	18-Sep-18	NCCPL/CRO/164/18	Revocation of Clearing Member Pursuant to action taken by PSX
207	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
208	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
209	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
210	MOHAMMAD MUNIR MOHAMMAD AMER KHANANI SECURITIES (PVT) LIMITED	12-Sep-18	NCCPL/CRO/153/18	Warning issued on account of matters forwarded by the Commission
211	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
212	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
213	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
214	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
215	SMAC INVESTMENTS (SMC-PVT) LTD.	7-Sep-18	NCCPL/CS/319/18	Termination under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
216	FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED	31-Aug-18	NCCPL/CRO/148/18	Revocation of Clearing Member Pursuant to action taken by PSX
217	SAIMA QAISER SECURITIES (PVT) LIMITED	24-Aug-18	NCCPL/CRO/145/18	Revocation of Clearing Member Pursuant to action taken by PSX
218	DJM SECURITIES (PVT.) LIMITED	20-Aug-18	NCCPL/CRO/142/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
219	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
220	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
221	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
222	VENUS SECURITIES (PVT.) LIMITED	15-Aug-18	NCCPL/CRO/140/18	Revocation of Clearing Member On account of notice issued by SECP
223	OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED	2-Aug-18	NCCPL/CRO/129/18	Revocation of Clearing Member Pursuant to action taken by PSX
224	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
225	YASIR MAHMOOD SECURITIES (PVT.) LIMITED	26-Jul-18	NCCPL/CRO/124/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
226	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
227	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
228	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
229	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
230	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
231	AHSAM SECURITIES (PVT.) LIMITED	24-Jul-18	NCCPL/CRO/121/18	Revocation of Clearing Member On account of notice issued by SECP
232	R.F.J. EQUITY (PRIVATE) LIMITED	24-Jul-18	NCCPL/CRO/122/18	Revocation of Clearing Member On account of notice issued by SECP
233	SMAC INVESTMENTS (SMC-PVT) LTD.	19-Jul-18	NCCPL/CRO/108/18	Revocation of Clearing Member On account of notice issued by SECP
234	GROWTH SECURITIES (PVT.) LIMITED COMMISSION	17-Jul-18	NCCPL/CRO/90/18	Warning issued on account of matters forwarded by the Commission
235	PROGRESSIVE INVESTMENT MANAGEMENT (PVT.) LIMITED	17-Jul-18	NCCPL/CRO/92/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
236	FAIR EDGE SECURITIES (PVT.) LIMITED	17-Jul-18	NCCPL/CRO/107/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
237	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
238	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
239	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
240	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
241	INTERACTIVE SECURITIES (PVT.) LIMITED	16-Jul-18	NCCPL/CRO/93/18	Revocation of Clearing Member On account of notice issued by SECP
242	PEARL BROKERAGE PRIVATE LIMITED	6-Jul-18	NCCPL/CS/266/18	Termination under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 On account of self Termination
243	FAIR DEAL SECURITIES (PVT) LTD.	5-Jul-18	NCCPL/CS/262/18	Termination under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
244	SAL SECURITIES (PVT.) LIMITED	3-Jul-18	NCCPL/CRO/86/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
245	WE FINANCIAL SERVICES LIMITED	3-Jul-18	NCCPL/CRO/88/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
246	ASA STOCKS (PVT.) LIMITED	29-Jun-18	NCCPL/CRO/85/18	Revocation of Clearing Member Pursuant to action taken by PSX
247	KP SECURITIES (PRIVATE) LIMITED	28-Jun-18	NCCPL/CRO/84/18	Revocation of Clearing Member Pursuant to action taken by PSX
248	AWT INVESTMENT LIMITED	27-Jun-18	NCCPL/CS/242/18	Termination under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
249	FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED	25-Jun-18	NCCPL/CRO/83/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
250	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
251	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
252	AMCAP SECURITIES (PVT.) LTD.	19-Jun-18	NCCPL/CRO/79/18	Revocation of Clearing Member Pursuant to settlement of money obligation
253	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

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S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
254	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
255	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
256	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
257	JAWED ZAKARIYA GULABI SECURITIES (PVT) LIMITED	13-Jun-18	NCCPL/CS/235/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
258	DAWOOD EQUITIES LIMITED - COMMISSION	8-Jun-18	NCCPL/CRO/73/18	Warning issued on account of matters forwarded by the Commission
259	ELIXIR SECURITIES PAKISTAN (PVT.) LIMITED	8-Jun-18	NCCPL/CRO/72/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
260	F.M SECURITIES (PVT.) LIMITED	8-Jun-18	NCCPL/CRO/70/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
261	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
262	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
263	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
264	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
265	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
266	VALUE STOCK & COMMODITIES (PVT.) LIMITED (LSI)	18-May-18	NCCPL/CRO/66/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
267	JAHANZAIB SECURITIES (PVT) LIMITED	17-May-18	NCCPL/CS/196/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
268	FAIR DEAL SECURITIES (PVT) LTD.	16-May-18	NCCPL/CRO/69/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
269	KSR STOCK BROKERAGE (PVT) LTD.	10-May-18	NCCPL/CS/188/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self termination
270	MANNOO CAPITAL (PVT.) LIMITED	20-Apr-18	NCCPL/CRO/48/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
271	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
272	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
273	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
274	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
275	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
276	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
277	SHAFFI SECURITIES (PVT) LIMITED	19-Mar-18	NCCPL/CRO/43/18	Revocation of Clearing Member Pursuant to action taken by PSX
278	MAHA SECURITIES (PVT.) LIMITED	12-Mar-18	NCCPL/CS/112/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination
279	ALFALAH SECURITIES (PVT.) LIMITED	12-Mar-18	NCCPL/CRO/28/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
280	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
281	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
282	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
283	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
284	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
285	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
286	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
287	128 SECURITIES (PVT) LTD.	1-Mar-18	NCCPL/CRO/23/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
288	ALI HUSAIN RAJABALI LTD	23-Feb-18	NCCPL/CS/93/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination
289	H.M. IDREES H. ADAM (PVT.) LIMITED	29-Jan-18	NCCPL/CS/56/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination
290	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
291	INVEST FORUM (PVT) LIMITED	23-Jan-18	NCCPL/CS/50/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
292	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
293	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
294	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
295	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
296	XPERT SECURITIES (PRIVATE) LIMITED	18-Jan-18	NCCPL/CRO/009/18	Revocation of Clearing Member Pursuant to action taken by CDC
297	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
298	MILLENNIUM SECURITIES AND INVESTMENT (PVT) LIMITED	1-Jan-18	NCCPL/CRO/001/18	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
299	PEARL BROKERAGE (PVT) LIMITED	1-Jan-18	NCCPL/CRO/002/18	Revocation of Clearing Member Pursuant to action taken by PSX
300	PEARL BROKERAGE (PVT.) LIMITED - COMMISSION	27-Dec-17	NCCPL/CRO/321/17	Warning issued on account of matters forwarded by the Commission
301	PEARL BROKERAGE (PVT) LIMITED	26-Dec-17	NCCPL/CRO/321/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
302	ADEEL ZAFAR SECURITIES (PVT.) LTD.	21-Dec-17	NCCPL/CS/510/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
303	XPERT SECURITIES (PRIVATE) LIMITED	20-Dec-17	NCCPL/CRO/312/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
304	K.H.S. SECURITIES (PVT.) LIMITED.	19-Dec-17	NCCPL/CRO/311/17	Revocation of Clearing Member Pursuant to action taken by PSX
305	HH MISBAH SECURITIES (PVT.) LIMITED	19-Dec-17	NCCPL/CRO/302/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
306	MAAN SECURITIES (PVT.) LIMITED	19-Dec-17	NCCPL/CRO/303/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
307	STRONGMAN SECURITIES (PVT.) LIMITED	19-Dec-17	NCCPL/CRO/301/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
308	TECHNO FUNDAMENTAL SECURITIES (PVT.) LIMITED	19-Dec-17	NCCPL/CRO/300/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
309	INVEST FORUM SECURITIES (PVT) LIMITED	14-Dec-17	NCCPL/CRO/309/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
310	AHKD SECURITIES (PVT) LIMITED	14-Dec-17	NCCPL/CRO/310/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
311	AM CHAUDHRY SECURITIES (PVT.) LIMITED	12-Dec-17	NCCPL/CRO/307/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
312	SHAUKAT SHAFI SECURITIES (PVT.) LIMITED	12-Dec-17	NCCPL/CRO/306/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
313	JAHANZAIB SECURITIES (PVT) LIMITED	12-Dec-17	NCCPL/CRO/305/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
314	HK SECURITIES PRIVATE LIMITED	11-Dec-17	NCCPL/CS/480/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination

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Disciplinary actions taken against the TRE Certificate Holders

S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
315	M.A.N SECURITIES (PVT) LIMITED	5-Dec-17	NCCPL/CS/472/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
316	AM CHAUDHRY SECURITIES (PVT.) LIMITED	30-Nov-17	NCCPL/CRO/296/17	Suspension under Regulation of NCCPL Regulations, 2015 Pursuant to action taken by PSX
317	EQUITY MASTER SECURITIES (PVT.) LIMITED	28-Nov-17	NCCPL/CRO/286/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
318	A.N. EQUITIES (PVT.) LIMITED	28-Nov-17	NCCPL/CRO/293/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
319	BEST SECURITIES (PVT.) LIMITED	28-Nov-17	NCCPL/CRO/288/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
320	BMA CAPITAL MANAGEMENT LIMITED	28-Nov-17	NCCPL/CRO/292/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
321	FOUNDATION SECURITIES (PVT.) LIMITED	28-Nov-17	NCCPL/CRO/287/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
322	GHANI OSMAN SECURITIES (PVT.) LIMITED	28-Nov-17	NCCPL/CRO/294/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
323	DIN CAPITAL LTD.	23-Nov-17	NCCPL/CRO/290/17	Revocation of Clearing Member On account of notice issued by SECP
324	DIN CAPITAL LTD.	17-Nov-17	NCCPL/CRO/289/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
325	NAVEED HM IDREES (PVT) LIMITED	16-Nov-17	NCCPL/CS/433/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
326	MILLENIUM SECURITIES AND INVESTMENT (PVT) LIMITED	7-Nov-17	NCCPL/CRO/281/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
327	WISDOM SECURITIES (PVT) LIMITED	7-Nov-17	NCCPL/CS/410/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
328	DIN CAPITAL LTD.	7-Nov-17	NCCPL/CRO/279/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
329	SHAUKAT SHAFI SECURITIES (PVT.) LIMITED	1-Nov-17	NCCPL/CRO/277/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
330	SCHON CAPITAL MARKETS LIMITED	1-Nov-17	NCCPL/CS/405/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
331	LUXOR SECURITIES (SMC-PVT) LIMITED	1-Nov-17	NCCPL/CS/402/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
332	K.H.S. SECURITIES (PVT.) LIMITED.	31-Oct-17	NCCPL/CRO/276/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
333	SAFE SECURITIES (PVT) LIMITED	25-Oct-17	NCCPL/CS/394/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
334	PAK MEEZAN SECURITIES (PVT) LIMITED	20-Oct-17	NCCPL/CRO/267/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
335	SUNRISE CAPITAL (PRIVATE) LIMITED	20-Oct-17	NCCPL/CRO/268/17	Further Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
336	STOCKS VISION (PVT) LIMITED	20-Oct-17	NCCPL/CRO/266/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
337	FAITH SECURITIES (PVT) LIMITED	20-Oct-17	NCCPL/CRO/265/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
338	KAYZONE CAPITAL MARKETS (SMC-PVT) LIMITED	20-Oct-17	NCCPL/CRO/264/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
339	SWITCH SECURITIES (PVT) LIMITED	13-Oct-17	NCCPL/CRO/262/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
340	ADAM SECURITIES LIMITED	13-Oct-17	NCCPL/CRO/261/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
341	NETWORTH SECURITIES LIMITED	13-Oct-17	NCCPL/CRO/253/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
342	ADEEL & NADEEM SECURITIES (PVT.) LIMITED	13-Oct-17	NCCPL/CRO/252/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
343	BAWA SECURITIES(PVT.) LIMITED	13-Oct-17	NCCPL/CRO/258/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
344	KHAWAJA SECURITIES (PVT.) LIMITED	13-Oct-17	NCCPL/CRO/87/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
345	MRA SECURITIES LIMITED	13-Oct-17	NCCPL/CRO/257/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
346	NEXT CAPITAL LIMITED	13-Oct-17	NCCPL/CRO/255/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
347	NUA SECURITIES (PVT.) LIMITED	13-Oct-17	NCCPL/CRO/260/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
348	STANDARD CAPITAL (PVT.) LIMITED	13-Oct-17	NCCPL/CRO/256/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
349	ZAFAR MOTI CAPITAL SECURITIES (PVT.) LIMITED	13-Oct-17	NCCPL/CRO/254/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
350	BLACKSTONE EQUITIES (PVT) LIMITED	12-Oct-17	NCCPL/CS/386/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
351	EARTH SECURITIES (PVT) LIMITED	5-Oct-17	NCCPL/CS/378/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
352	FIRST ZEIVA (PVT.) LTD.	22-Sep-17	NCCPL/CRO/243/17	Revocation of Clearing Member Pursuant to action taken by PSX
353	AM CHAUDHRY SECURITIES (PVT.) LIMITED	21-Sep-17	NCCPL/CRO/241/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
354	FIRST ZEIVA (PVT.) LTD.	21-Sep-17	NCCPL/CRO/242/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
355	INVEST CAPITAL MARKETS LIMITED	15-Sep-17	NCCPL/CRO/237/17	Restriction under Regulation 18.1.1(e), 18.2.2 & 18.3 of NCCPL Regulations, 2015, on account of matters identified under Joint Inspection
356	SMB SECURITIS (PVT) LIMITED	25-Aug-17	NCCPL/CRO/234/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
357	AKD ANALYTICS (PVT) LIMITED	25-Aug-17	NCCPL/CRO/233/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
358	STABLE SECURITIES (PVT) LIMITED	25-Aug-17	NCCPL/CRO/235/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
359	KAUSAR SECURITIES (PVT) LIMITED	22-Aug-17	NCCPL/CS/299/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
360	PACE INVESTMENT AND SECURITIES (PVT) LIMITED	15-Aug-17	NCCPL/CS/292/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
361	128 SECURITIES (PVT) LTD.	9-Aug-17	NCCPL/CRO/226/17	Revocation of Clearing Member Pursuant to action taken by PSX
362	BRIGHT INVESTMENT AND SECURITIES (PVT) LIMITED	7-Aug-17	NCCPL/CS/284/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
363	128 SECURITIES (PVT) LTD.	3-Aug-17	NCCPL/CRO/220/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
364	JAVED OMER VOHRA AND COMPANY (PVT) LIMITED	31-Jul-17	NCCPL/CS/273/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
365	AZEE SECURITIES	25-Jul-17	NCCPL/CRO/213/17	Warning issued under Regulation 18.1.1(e) of NCCPI Regulations, 2015 on account of matter pertaining to delay in payment of money obligation
366	DAWOOD EQUITIES LIMITED	26-Jul-17	NCCPL/CRO/214/17	Warning issued under Regulation 18.1.1(e) of NCCPI Regulations, 2015 on account of matter pertaining to delay in payment of money obligation
367	AMCAP SECURITIES (PVT.) LTD.	24-Jul-17	NCCPL/CRO/212/17	Restoration of Clearing Member Pursuant to action taken by PSX
368	S.Z SECURITIES (PVT) LIMITED	18-Jul-17	NCCPL/CRO/210/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
369	QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	5-Jul-17	NCCPL/CS/248/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
370	GLOBAL SECURITIES (PVT) LIMITED	5-Jul-17	NCCPL/CS/250/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
371	AZEE SECURITIES (PRIVATE) LIMITED.	22-Jun-17	NCCPL/CRO/200/17	Revocation of Clearing Member Pursuant to settlement of money obligation
372	MIAN PARVEZ ASLAM SECURITIES (PVT) LIMITED	22-Jun-17	NCCPL/CS/240/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
373	AZEE SECURITIES (PRIVATE) LIMITED.	22-Jun-17	NCCPL/CRO/199/17	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
374	SPINZER EQUITIES (PVT.) LIMITED	19-Jun-17	NCCPL/CRO/140/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
375	ABBASI & COMPANY (PVT.) LIMITED	19-Jun-17	NCCPL/CRO/189/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015

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Disciplinary actions taken against the TRE Certificate Holders

S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
376	AKD SECURITIES LIMITED	19-Jun-17	NCCPL/CRO/190/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
377	FORTUNE SECURITIES LIMITED	19-Jun-17	NCCPL/CRO/192/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
378	IGI FINEX LIMITED	19-Jun-17	NCCPL/CRO/191/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
379	TS SECURITIES (PVT.) LIMITED	19-Jun-17	NCCPL/CRO/193/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
380	AZIZ DAWOOD SECURITIES (PVT) LIMITED	16-Jun-17	NCCPL/CRO/197/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
381	TARIQ SAYEED SECURITIES (PVT) LIMITED	16-Jun-17	NCCPL/CRO/195/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
382	QASIM MAHMOOD SECURITIES (SMC-PVT) LIMITED	16-Jun-17	NCCPL/CS/229/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
383	MY SECURITIES (PVT) LIMITED	16-Jun-17	NCCPL/CS/228/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
384	AB EQUITIES (PRIVATE) LIMITED	16-Jun-17	NCCPL/CRO/196/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
385	DAWOOD EQUITIES LTD.	5-Jun-17	NCCPL/CRO/188/17	Revocation of Clearing Member Pursuant to settlement of money obligation
386	DAWOOD EQUITIES LTD.	5-Jun-17	NCCPL/CRO/187/17	Suspension under Regulation 18.1.1(d) & 18.3 of NCCPL Regulations, 2015 On account of default of money obligation
387	VALUE STOCK AND COMMODITIES (PVT.) LTD.	1-Jun-17	NCCPL/CRO/186/17	Restriction of access to services on opening of new client accounts, pursuant to action taken by PSX
388	GLOBAL SECURITIES (PVT) LIMITED	1-Jun-17	NCCPL/CS/204/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
389	S A SECURITIES (PVT) LIMITED	30-May-17	NCCPL/CRO/185/17	Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
390	AAU SECURITIES (PVT) LTD.	29-May-17	NCCPL/CRO/181/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
391	AHSAM SECURITIES (PVT.) LIMITED	29-May-17	NCCPL/CRO/183/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
392	ASHFAQ ASHRAF SECURITIES (PVT.) LTD.	29-May-17	NCCPL/CRO/184/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
393	BMS CAPITAL (PVT) LTD.	29-May-17	NCCPL/CRO/174/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
394	CHIPPA SECURITIES (PVT.) LTD.	29-May-17	NCCPL/CRO/175/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
395	FORT SECURITIES (PVT) LTD.	29-May-17	NCCPL/CRO/172/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
396	FORTRESS FINANCIAL SERVICES (PVT.) LIMITED	29-May-17	NCCPL/CRO/171/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
397	H.H.K. SECURITIES (PVT) LTD.	29-May-17	NCCPL/CRO/170/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
398	INTERACTIVE SECURITIES (PVT.) LIMITED	29-May-17	NCCPL/CRO/156/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
399	MAC SECURITIES (PRIVATE) LIMITED	29-May-17	NCCPL/CRO/178/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
400	MAS CAPITAL SECURITIES (PVT.) LIMITED	29-May-17	NCCPL/CRO/157/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
401	MOTIWALA SECURITIES (PVT.) LTD.	29-May-17	NCCPL/CRO/179/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
402	PRIME CAPITAL MANAGEMENT (PRIVATE) LIMITED	29-May-17	NCCPL/CRO/168/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
403	R.A. SECURITIES (PVT.) LIMITED	29-May-17	NCCPL/CRO/158/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
404	R.F.J. EQUITY (PRIVATE) LIMITED	29-May-17	NCCPL/CRO/167/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
405	S M SECURITIES (PRIVATE) LIMITED	29-May-17	NCCPL/CRO/166/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
406	SHER CAPITAL EQUITIES (PVT.) LTD.	29-May-17	NCCPL/CRO/164/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
407	SMAC INVESTMENTS (SMC-PVT) LTD.	29-May-17	NCCPL/CRO/163/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
408	SOUTH ASIAN SECURITIES (PRIVATE) LIMITED	29-May-17	NCCPL/CRO/162/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
409	UNION SECURITIES (PVT) LTD.	29-May-17	NCCPL/CRO/161/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
410	VENUS SECURITIES (PVT.) LIMITED	29-May-17	NCCPL/CRO/160/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
411	KHAYYAM SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/169/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
412	ZM CAPITAL (PVT) LIMITED	29-May-17	NCCPL/CRO/159/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
413	MY SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/180/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
414	ABID ALI HABIB SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/182/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
415	JAWED ZAKARIYA GULABI SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/177/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
416	BRIGHT INVESTMENT AND SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/173/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
417	MAN SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/176/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
418	SCHON CAPITAL MARKETS LIMITED	29-May-17	NCCPL/CRO/165/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
419	FINE SECURITIES (SMC-PVT) LIMITED	26-May-17	NCCPL/CRO/153/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
420	LUXOR SECURITIES (SMC-PVT) LIMITED	26-May-17	NCCPL/CRO/154/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
421	TUMBI SECURITIES (PVT) LIMITED	25-May-17	NCCPL/CS/198/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
422	LIVE SECURITIES LIMITED	25-May-17	NCCPL/CS/200/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
423	FIRST PAKISTAN SECURITIES LIMITED	24-May-17	NCCPL/CS/184/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
424	MIAN PARVEZ ASLAM SECURITIES (PVT) LIMITED	23-May-17	NCCPL/CRO/152/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
425	INFINITE SECURITIES LIMITED	23-May-17	NCCPL/CRO/141/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
426	AMER RIAZ SECURITIES (PVT.) LIMITED	23-May-17	NCCPL/CRO/139/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
427	AZEE SECURITIES PVT LIMITED	23-May-17	NCCPL/CRO/142/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
428	JAMSHAD AND HASAN SECURITIES (PVT.) LIMITED	23-May-17	NCCPL/CRO/143/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
429	PINE SECURITIES (PVT.) LIMITED	23-May-17	NCCPL/CRO/144/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
430	PROGRESSIVE SECURITIES (PVT.) LIMITED	23-May-17	NCCPL/CRO/145/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
431	MUHAMMAD ANAF KAPADIA SECURITIES (SMC-PVT) LIMITED	22-May-17	NCCPL/CS/181/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
432	LIVE SECURITIES LIMITED	12-May-17	NCCPL/CRO/137/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
433	MSD CAPITAL EQUITIES (PVT) LTD.	10-May-17	NCCPL/CRO/134/17	Revocation of Clearing Member Pursuant to action taken by PSX
434	MAM SECURITIES (PVT) LIMITED	10-May-17	NCCPL/CRO/135/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL
435	TARIQ SAYEED SECURITIES (PVT) LIMITED	8-May-17	NCCPL/CRO/132/17	Revocation of Clearing Member Pursuant to action taken by CDC & PSX
436	MSD CAPITAL EQUITIES (PVT) LTD.	27-Apr-17	NCCPL/CRO/112/17	Restriction of access to services under Regulation 18.1.1(c), 18.1.1(k) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC

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
437	AMCAP SECURITIES (PVT.) LTD.	25-Apr-17	NCCPL/CRO/111/17	Restoration of sale side transactions of Clearing Member Pursuant to action taken by PSX
438	AMCAP SECURITIES (PVT.) LTD.	5-Apr-17	NCCPL/CRO/97/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
439	AL HAQ SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/88/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
440	PEARL SECURITIES LIMITED	24-Mar-17	NCCPL/CRO/89/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
441	ZAFAR SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/81/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
442	BIPL SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/86/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
443	HMC STOCKS (SMC-PRIVATE) LIMITED	24-Mar-17	NCCPL/CRO/87/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
444	JAVED IQBAL SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/91/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
445	MUHAMMAD MUNIR MUHAMMAD AHMED KHANANI SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/84/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
446	NEW PEAK SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/83/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
447	PASHA SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/82/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
448	INVEST FORUM (PVT) LIMITED	17-Mar-17	NCCPL/CRO/72/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
449	HK SECURITIES PRIVATE LIMITED	17-Mar-17	NCCPL/CRO/73/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
450	S.Z SECURITIES (PVT) LIMITED	14-Mar-17	NCCPL/CRO/66/17	Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
451	TARIQ SAYEED SECURITIES (PVT) LIMITED	7-Mar-17	NCCPL/CRO/64/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
452	AMER SECURITIES (PVT.) LIMITED	3-Mar-17	NCCPL/CRO/50/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
453	ARIF HABIB LIMITED	3-Mar-17	NCCPL/CRO/48/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
454	GENERAL INVESTMENT & SECURITIES (PVT.) LIMITED	3-Mar-17	NCCPL/CRO/49/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
455	GPH SECURITIES (PVT.) LIMITED	3-Mar-17	NCCPL/CRO/51/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
456	KHS SECURITIES (PVT.) LIMITED	3-Mar-17	NCCPL/CRO/47/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
457	M. R. SECURITIES (SMC-PVT) LIMITED	1-Mar-17	NCCPL/CRO/70/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL
458	AWJ SECURITIES (PVT) LIMITED	28-Feb-17	NCCPL/CRO/58/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL
459	UNIVERSAL EQUITIES (PVT) LIMITED	27-Feb-17	NCCPL/CRO/42/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
460	MAM SECURITIES (PVT) LIMITED	20-Feb-17	NCCPL/CRO/44/17	Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
461	SONIA SHAHZAD SECURITIES (PVT) LIMITED	2-Feb-17	NCCPL/CRO/21/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
462	M. R. SECURITIES (SMC-PVT) LIMITED	1-Feb-17	NCCPL/CRO/20/17	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
463	SUNRISE CAPITAL (PRIVATE) LIMITED	30-Jan-17	NCCPL/CS/52/17	Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
464	ZAFAR SECURITIES (PVT) LTD.	30-Jan-17	NCCPL/CS/16/17	Revocation of Clearing Member Pursuant to action taken by CDC
465	ZAFAR SECURITIES (PVT) LTD.	30-Jan-17	NCCPL/CRO/15/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
466	AWJ SECURITIES (PVT) LIMITED	30-Jan-17	NCCPL/CRO/17/17	Suspension under Regulation 18.1.1(c) of NCCPL Regulations, 2015 Pursuant to action taken by CDC
467	ZAFAR MOTI CAPITAL SECURITIES (PVT) LTD.	18-Jan-17	NCCPL/CS/37/17	Revocation of Clearing Member Pursuant to settlement of money obligation
468	ZAFAR MOTI CAPITAL SECURITIES (PVT) LTD.	17-Jan-17	NCCPL/CS/36/17	Suspension under Regulation 18.1.1(d) & 18.3 of NCCPL Regulations, 2015 On account of default of money obligation
469	MASHHADI SECURITIES (PVT) LIMITED	13-Jan-17	NCCPL/CS/33/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
470	AM CHAUDHRY SECURITIES (PVT.) LIMITED	13-Jan-17	NCCPL/CS/34/17	Revocation of Clearing Member Pursuant to action taken by CDC
471	AWJ SECURITIES (PVT) LIMITED	13-Jan-17	NCCPL/CS/31/17	Revocation of Clearing Member Pursuant to settlement of money obligation
472	AWJ SECURITIES (PVT) LIMITED	12-Jan-17	NCCPL/CS/26/17	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
473	R.T SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/19/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
474	CONCORDIA SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/22/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
475	HAMZA FARHAD SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/20/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
476	ZAHID LATIF KHAN SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/21/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
477	HORIZON SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/18/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
478	FIRST STREET CAPITAL (PVT.) LIMITED	9-Jan-17	NCCPL/CS/16/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
479	DIYANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED	6-Jan-17	NCCPL/CS/16/17	Revocation of Clearing Member Pursuant to action taken by CDC
480	S A SECURITIES (PVT) LIMITED	6-Jan-17	NCCPL/CS/15/17	Revocation of Clearing Member Pursuant to action taken by CDC
481	ALLIED SECURITIES (PVT.) LIMITED	2-Jan-17	NCCPL/CS/06/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
482	AB EQUITIES (PRIVATE) LIMITED	2-Jan-17	NCCPL/CS/08/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
483	AKD ANALYTICS (PVT) LIMITED	2-Jan-17	NCCPL/CS/09/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
484	S A SECURITIES (PVT) LIMITED	2-Jan-17	NCCPL/CS/10/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
485	AM CHAUDHRY SECURITIES (PVT.) LIMITED	2-Jan-17	NCCPL/CS/07/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
486	JS GLOBAL CAPITAL LIMITED	2-Jan-17	NCCPL/CS/5/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
487	MND INVESTMENT (PVT.) LIMITED	2-Jan-17	NCCPL/CS/3/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
488	SD MIRZA SECURITIES (PVT.) LIMITED	2-Jan-17	NCCPL/CS/4/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
489	DAWOOD EQUITIES LTD.	20-Dec-16	NCCPL/CS/738/16	Revocation of Clearing Member Pursuant to settlement of money obligation
490	DAWOOD EQUITIES LTD.	19-Dec-16	NCCPL/CS/737/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
491	DAWOOD EQUITIES LTD.	14-Dec-16	NCCPL/CS/725/16	Revocation of Clearing Member Pursuant to settlement of money obligation
492	DAWOOD EQUITIES LTD.	14-Dec-16	NCCPL/CS/724/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
493	AM CHAUDHRY SECURITIES (PVT.) LIMITED	7-Dec-16	NCCPL/CS/715/16	Revocation of Clearing Member Pursuant to action taken by PSX
494	AM CHAUDHRY SECURITIES (PVT.) LIMITED	30-Nov-16	NCCPL/CS/702/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
495	PARAMOUNT SECURITIES (PVT) LIMITED	28-Nov-16	NCCPL/CS/697/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
496	MALK SECURITIES (PVT) LIMITED	28-Nov-16	NCCPL/CS/696/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
497	INVEST FORUM (SMC-PVT) LIMITED	17-Nov-16	NCCPL/CS/681/16	Revocation of Clearing Member Pursuant to action taken by PSX

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Disciplinary actions taken against the TRE Certificate Holders

S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
498	FIRST PUNJAB MODARBA	14-Nov-16	NCCPL/CS/668/16	Termination under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
499	TAHA SECURITIES (PVT) LIMITED	3-Nov-16	NCCPL/CS/628/16	Termination under Regulation 18.1.1(i) of NCCPL Regulations, 2015 On account of Self Termination
500	ABID INVESTMENTS (PVT) LIMITED	3-Nov-16	NCCPL/CS/626/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
501	FORT INVESTMENT (PVT) LIMITED	3-Nov-16	NCCPL/CS/629/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
502	MYM EQUITIES (PVT) LIMITED	3-Nov-16	NCCPL/CS/627/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
503	JCR CAPITAL SECURITIES (PVT) LTD.	1-Nov-16	NCCPL/CS/624/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 pursuant to action taken by PSX
504	SIS SECURITIES (PVT) LIMITED	26-Oct-16	NCCPL/CS/582/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
505	H. P. BYRAMJI & CO. (PVT) LIMITED	18-Oct-16	NCCPL/CS/547/16	Revocation of Clearing Member Pursuant to action taken by CDC
506	H. P. BYRAMJI & CO. (PVT) LIMITED	14-Oct-16	NCCPL/CS/533/16	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
507	AZIZ DAWOOD SECURITIES (PVT) LIMITED	13-Oct-16	NCCPL/CS/528/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
508	ESCORTS CAPITAL LIMITED	13-Oct-16	NCCPL/CS/525/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
509	OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED	13-Oct-16	NCCPL/CS/526/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
510	PAK MEEZAN SECURITIES (PVT) LIMITED	13-Oct-16	NCCPL/CS/527/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
511	STOCKS VISION (PVT) LIMITED	13-Oct-16	NCCPL/CS/529/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
512	PROSPERITY SECURITIES (SMC-PVT) LIMITED	7-Oct-16	NCCPL/CS/523/16	Termination under Regulation 18.1.1(a) & 18.1.1(b) of NCCPL Regulations, 2015 On account of notice issued by SECP
513	STAR SECURITIES (PVT) LIMITED	6-Oct-16	NCCPL/CS/519/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
514	BEAMING INVESTMENT & SECURITIES (PVT) LTD	30-Sep-16	NCCPL/CS/509/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
515	MBJ SECURITIES (PVT) LIMITED	30-Sep-16	NCCPL/CS/508/16	Termination under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
516	FAITH SECURITIES (PVT) LIMITED	26-Sep-16	NCCPL/CS/484/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
517	TAHA SECURITIES (PVT) LIMITED	21-Sep-16	NCCPL/CS/470/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
518	PACE INVESTMENT AND SECURITIES (PVT) LIMITED	7-Sep-16	NCCPL/CS/446/16	Revocation of Clearing Member Pursuant to settlement of money obligation
519	PACE INVESTMENT AND SECURITIES (PVT) LIMITED	6-Sep-16	NCCPL/CS/445/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
520	AKHBANI SECURITIES (SMC-PVT) LIMITED	6-Sep-16	NCCPL/CS/443/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
521	GHORYS SECURITIES (PVT) LIMITED	1-Sep-16	NCCPL/CS/435/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
522	SNM SECURITIES (PVT) LTD.	31-Aug-16	NCCPL/CS/430/16	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
523	AB EQUITIES (PRIVATE) LIMITED	26-Aug-16	NCCPL/CS/428/16	Revocation of Clearing Member Pursuant to action taken by CDC
524	STABLE SECURITIES (PVT) LIMITED	26-Aug-16	NCCPL/CS/426/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
525	A.H.K.D. SECURITIES (PVT) LTD.	26-Aug-16	NCCPL/CS/425/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
526	MASHHADI SECURITIES (PVT) LIMITED	26-Aug-16	NCCPL/CS/424/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
527	QASIM MAHMOOD SECURITIES (SMC-PVT) LIMITED	26-Aug-16	NCCPL/CS/427/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
528	QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	26-Aug-16	NCCPL/CS/423/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
529	SMB SECURITIS (PVT) LIMITED	26-Aug-16	NCCPL/CS/422/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
530	Y.S STOCKS (PVT) LIMITED	19-Aug-16	NCCPL/CS/414/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
531	SAIMA QAISER SECURITIES (PVT) LIMITED	17-Aug-16	NCCPL/CS/411/16	Revocation of Clearing Member Pursuant to settlement of money obligation
532	SAIMA QAISER SECURITIES (PVT) LIMITED	17-Aug-16	NCCPL/CS/410/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
533	CASSIM INVESTMENTS (PRIVATE) LIMITED	12-Aug-16	NCCPL/CS/399/16	Revocation of Clearing Member Pursuant to action taken by CDC
534	CASSIM INVESTMENTS (PRIVATE) LIMITED	11-Aug-16	NCCPL/CS/398/16	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
535	H.M.Y SECURITIES (PVT) LIMITED	3-Aug-16	NCCPL/CS/381/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
536	JAN MOHAMMAD A. LATIF NINI & SONS (PVT) LIMITED	28-Jul-16	NCCPL/CS/376/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
537	AMIN TAI SECURITIES (PVT) LIMITED	15-Jul-16	NCCPL/CS/356/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
538	SMART INVESTMENTS CAPITAL MANAGEMENT (PVT) LIMITED	13-Jul-16	NCCPL/CS/349/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
539	ALPHA BETA CAPITAL MARKETS (PVT) LIMITED	13-Jul-16	NCCPL/CS/350/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
540	MALIK SECURITIES (PVT) LIMITED	11-Jul-16	NCCPL/CS/344/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
541	INVEST FORUM (SMC-PVT) LIMITED	30-Jun-16	NCCPL/CS/329/16	Restriction of access to services under Regulation of NCCPL Regulations, 2015 Pursuant to action taken by PSX
542	INFINITE SECURITIES LIMITED	22-Jun-16	NCCPL/CS/309/16	Revocation of Clearing Member Pursuant to settlement of money obligation
543	CONCEPT SECURITIES (PVT) LIMITED	22-Jun-16	NCCPL/CS/306/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
544	INFINITE SECURITIES LIMITED	22-Jun-16	NCCPL/CS/308/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
545	STOCK STREET (PVT) LIMITED	14-Jun-16	NCCPL/CS/295/16	Termination under Regulation 18.1.1(c) of NCCPL Regulations, 2015 Pursuant to action taken by CDC
546	PLATINUM CAPITAL MANAGEMENT (PVT) LIMITED	14-Jun-16	NCCPL/CS/299/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
547	NIZAM SECURITIES (PVT) LIMITED	9-Jun-16	NCCPL/CS/291/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
548	KHAWAJA SECURITIES (PVT.) LIMITED	1-Jun-16	NCCPL/CS/284/16	Revocation of Clearing Member Pursuant to settlement of money obligation
549	KHAWAJA SECURITIES (PVT.) LIMITED	1-Jun-16	NCCPL/CS/282/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
550	SWITCH SECURITIES (PVT) LIMITED	31-May-16	NCCPL/CS/279/16	Suspension under Regulation of NCCPL Regulations, 2015 Pursuant to action taken by PSX
551	SHEHZAD CHAMDIA SECURITIES (PVT) LIMITED	27-May-16	NCCPL/CS/264/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
552	MIKON SECURITIES (PVT) LIMITED	27-May-16	NCCPL/CS/275/16	Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
553	DUGAN SECURITIES (PVT) LIMITED	24-May-16	NCCPL/CS/247/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
554	SOHAIL RAZA MOOSANI (SMC-PVT) LIMITED	24-May-16	NCCPL/CS/244/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
555	MIAN MUHAMMAD AKRAM SECURITIES (PVT) LIMITED	17-May-16	NCCPL/CS/233/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
556	MUHAMMAD BASHIR KAMNANI SECURITIES (PVT) LIMITED	17-May-16	NCCPL/CS/232/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
557	STOCK STREET (PVT) LIMITED	2-May-16	NCCPL/CS/203/16	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
558	MUNAF SATTAR SECURITIES (PVT) LIMITED	2-May-16	NCCPL/CS/201/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination

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
559	PAK MEEZAN SECURITIES (PVT) LIMITED	29-Apr-16	NCCPL/CS/200/16	Revocation of Clearing Member Pursuant to action taken by CDC
560	H.R SECURITIES AND BROKERAGE (PVT) LIMITED	8-Apr-16	NCCPL/CS/119/16	Termination under Regulation 18.1.1(c) of NCCPL Regulations, 2015 Pursuant to action taken by CDC
561	AL ASAR SECURITIES (PVT) LIMITED	8-Apr-16	NCCPL/CS/118/16	Termination under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
562	AKD ANALYTICS (PVT) LIMITED	6-Apr-16	NCCPL/CS/116/16	Revocation of Clearing Member Pursuant to action taken by CDC
563	QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	25-Mar-16	NCCPL/CS/92/16	Revocation of Clearing Member Pursuant to action taken by PSX
564	QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	16-Mar-16	NCCPL/CS/86/16	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
565	A.H.K.D. SECURITIES (PVT) LTD.	4-Mar-16	NCCPL/CS/72/16	Revocation of Clearing Member Pursuant to action taken by CDC
566	CMA SECURITIES (PVT.) LIMITED	3-Mar-16	NCCPL/CS/70/16	Revocation of Clearing Member Pursuant to action taken by PSX
567	CMA SECURITIES (PVT.) LIMITED	3-Mar-16	NCCPL/CS/68/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
568	TARIQ SAYEED SECURITIES (PVT) LIMITED	2-Mar-16	NCCPL/CS/65/16	Revocation of Clearing Member Pursuant to action taken by CDC
569	ELIXIR SECURITIES PAKISTAN (PVT.) LTD.	25-Feb-16	NCCPL/CS/61/16	Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
570	ELIXIR SECURITIES PAKISTAN (PVT.) LTD.	24-Feb-16	NCCPL/CS/63/16	Revocation of Clearing Member Pursuant to action taken by CDC
571	SAIMA QAISER SECURITIES (PVT) LIMITED	22-Jan-16	NCCPL/CS/35/16	Revocation of Clearing Member Pursuant to action taken by CDC
572	JCR CAPITAL SECURITIES (PVT) LTD.	13-Jan-16	NCCPL/CS/19/16	Revocation of Clearing Member Pursuant to action taken by CDC
573	SAFE SECURITIES (PVT) LIMITED	6-Jan-16	NCCPL/CS/604/16	Termination under Regulation 18.1.1(i) of NCCPL Regulations, 2015 On account of Self Termination

Updated till June 30, 2020

