

| National Clearing Company of Pakistan Limited Disciplinary actions taken against the TRE Certificate Holders | | | | |
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| S. No | Broker Name | Date | Order/ Notice Reference | Description of Disciplinary action |
| 1 | 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 |
| 2 | 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 |
| 3 | 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 |
| 4 | Progressive Investment Management (Pvt.) Limited | 21-Apr-20 | NCCPL/CRO/166/20 | Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations |
| 5 | 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 |
| 6 | 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 |
| 7 | 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 |
| 8 | 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. |
| 9 | 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. |
| 10 | 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. |
| 11 | 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 |
| 12 | 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 |
| 13 | 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 |
| 14 | Akhai Securities (Pvt) Limited | 17-Mar-20 | NCCPL/CRO/128/20 | Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX |
| 15 | 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 |
| 16 | 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. |
| 17 | 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. |
| 18 | Askari Islamic Income Fund Debt Market Clearing Member | 16-Mar-20 | NCCPL/CS/134/2020 | Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination |
| 19 | Zillion Capital Securities (Pvt) Limited | 13-Mar-20 | NCCPL/CRO/124/20 | Revocation of Restriction of the Clearing Member as Margin Financier pursuant to submission of audited NCB |
| 20 | 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 |
| 21 | 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 |
| 22 | 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 |
| 23 | 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 |
| 24 | 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 |
| 25 | UBLFML Ac. UBL Capital Protected Fund III | 11-Feb-20 | NCCPL/CS/176/2020 | Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination |
| 26 | AMCAP Securities (Pvt) Limited | 11-Feb-20 | NCCPL/CS/175/2020 | Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX |
| 27 | Azee Securities (Pvt) Limited | 10-Feb-20 | NCCPL/CRO/90/20 | Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation |
| 28 | 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 |
| 29 | 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 |
| 30 | Pak Oman Asset Management Company Limited- Askari Islamic Asset Allocation Fund | 21-Jan-20 | NCCPL/CS/68/2020 | Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination |
| 31 | 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 |
| 32 | 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 |
| 33 | Golden Arrow Selected Stocks Fund Limited- Debt Market | 31-Dec-19 | NCCPL/CS/483/19 | Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination |
| 34 | 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 |
| 35 | 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 |
| 36 | First Dawood Mutual Fund and 786 Rising Star Fund | 24-Dec-19 | NCCPL/CS/471/19 | Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination |
| 37 | ASDA Securities (Pvt) Limited | 19-Dec-19 | NCCPL/CRO/209/19 | Revocation of Restriction of the Clearing Member pursuant to submission of audited NCB |
| 38 | IAK Securities (Pvt.) Ltd | 18-Dec-19 | NCCPL/CS/462/19 | Auditor Appointment in process |
| 39 | Golden Arrow Selected Stock Fund Limited | 13-Dec-19 | NCCPL/CS/460/19 | Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination |
| 40 | 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 |
| 41 | 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 |
| 42 | 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 |
| 43 | 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 |
| 44 | 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 |
| 45 | 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 |
| 46 | 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 |
| 47 | 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 |
| 48 | 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 |
| 49 | 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 |

| 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 |
| 50 | 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 |
| 51 | Pak Oman Asset Management- Askari Equity fund | 31-Oct-19 | NCCPL/CS/396/19 | Termination of access to NCC system for Non Broker Clearing Member Account ID:13813 |
| 52 | 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 |
| 53 | Azee Securities (Pvt.) Limited | 22-Oct-19 | NCCPL/CRO/188/19 | Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation |
| 54 | 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 |
| 55 | 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 |
| 56 | 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 |
| 57 | 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 |
| 58 | 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 |
| 59 | Memon Securities (Pvt.) Limited | 24-Sep-19 | NCCPL/CRO/135/19 | Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations |
| 60 | 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 |
| 61 | 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 |
| 62 | 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 |
| 63 | 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 |
| 64 | 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. |
| 65 | We Financial Services Limited | 16-Sep-19 | NCCPL/CRO/131/19 | Revocation of restriction of Clearing Member on account of notice issued by SECP |
| 66 | 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 |
| 67 | 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. |
| 68 | 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. |
| 69 | 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 |
| 70 | 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 |
| 71 | 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 |
| 72 | 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 |
| 73 | 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 |
| 74 | Al- Hoqani 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 |
| 75 | 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 |
| 76 | 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 |
| 77 | 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 |
| 78 | 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 |
| 79 | 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 |
| 80 | 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 |
| 81 | 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 |
| 82 | Azee Securities (Pvt) Limited | 15-Jul-19 | NCCPL/CRO/104/19 | Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation |
| 83 | 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 |
| 84 | 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 |
| 85 | 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 |
| 86 | 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 |
| 87 | 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 |
| 88 | 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 |
| 89 | 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 |
| 90 | 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 |
| 91 | DAWOOD EQUITIES LIMITED | 26-Jun-19 | NCCPL/CRO/93/19 | Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation |
| 92 | 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 |
| 93 | 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 |
| 94 | RELIANCE SECURITIES LIMITED | 18-Jun-19 | NCCPL/CRO/90/19 | Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX |
| 95 | AZEE SECURITIES PRIVATE LIMITED | 10-Jun-19 | NCCPL/CS/198/19 | Termination of Margin Financier and Finance Accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination |
| 96 | 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 restriction of access to services |
| 97 | 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 |
| 98 | 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 |
| 99 | 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 |
| 100 | MILLENNIUM BROKERAGE PRIVATE LIMITED | 21-May-19 | NCCPL/CRO/72/19 | Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 |
| 101 | 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 |
| 102 | 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 |
| 103 | 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 |
| 104 | AZEE SECURITIES PRIVATE LIMITED | 14-May-19 | NCCPL/CRO/69/19 | Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation |
| 105 | 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 |

| National Clearing Company of Pakistan Limited Disciplinary actions taken against the TRE Certificate Holders | | | | |
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| S. No | Broker Name | Date | Order/ Notice Reference | Description of Disciplinary action |
| 106 | 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 |
| 107 | AZEE SECURITIES PRIVATE LIMITED | 9-May-19 | NCCPL/CRO/67/19 | Revocation of Clearing Member Pursuant to settlement of money obligation |
| 108 | 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 |
| 109 | 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 |
| 110 | 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 |
| 111 | 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 |
| 112 | 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 |
| 113 | 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 |
| 114 | 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 |
| 115 | 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 |
| 116 | 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 |
| 117 | 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 |
| 118 | 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 |
| 119 | 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 |
| 120 | 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 |
| 121 | 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 |
| 122 | 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 |
| 123 | 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 |
| 124 | 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, |
| 125 | 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, |
| 126 | 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, |
| 127 | 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 |
| 128 | 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 |
| 129 | RUC SECURITIES (PVT.) LIMITED | 18-Mar-19 | NCCPL/CRO/40/19 | Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX |
| 130 | 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 |
| 131 | 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 |
| 132 | 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 |
| 133 | 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 |
| 134 | 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 |
| 135 | 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 |
| 136 | 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 |
| 137 | 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 |
| 138 | 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 |
| 139 | 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 |
| 140 | M. SALIM KASMANI SECURITIES (PVT.) LIMITED | 18-Feb-19 | NCCPL/CRO/27/19 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 141 | 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 |
| 142 | GALAXY CAPITAL SECURITIES (PVT.) LIMITED | 18-Feb-19 | NCCPL/CRO/26/19 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 143 | ABBASI & CO. (PVT.) LIMITED | 18-Feb-19 | NCCPL/CRO/23/19 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 144 | NETWORTH SECURITIES LIMITED | 18-Feb-19 | NCCPL/CRO/24/19 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 145 | 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 |
| 146 | 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 |
| 147 | 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 |
| 148 | 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 |
| 149 | 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 |
| 150 | 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 |
| 151 | SOUTH ASIAN SECURITIES (PRIVATE) LIMITED | 4-Jan-19 | NCCPL/CRO/8/19 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 152 | SAIMA QAISER SECURITIES (PVT.) LIMITED | 4-Jan-19 | NCCPL/CRO/6/19 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 153 | ABM SECURITIES (PVT.) LIMITED | 4-Jan-19 | NCCPL/CRO/7/19 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 154 | 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 |
| 155 | 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 |
| 156 | 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 |
| 157 | RUC SECURITIES (PRIVATE) LIMITED | 18-Dec-18 | NCCPL/CRO/225/18 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 158 | FIRST CAPITAL EQUITIES LIMITED | 17-Dec-18 | NCCPL/CRO/220/18 | Warning issued under Regulation 18.1.1(e) of NCCPL Regulations, 2015 on account of matter pertaining to delay in payment of money |
| 159 | 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 |
| 160 | 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 |
| 161 | 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 |
| 162 | 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 |
| 163 | TARIQ SAYED SECURITIES (PVT) LIMITED | 28-Nov-18 | NCCPL/CRO/217/18 | Revocation of Clearing Member On account of notice issued by SECP |
| 164 | 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 |
| 165 | AM CHAUDHRY SECURITIES (PVT.) LIMITED | 19-Nov-18 | NCCPL/CRO/206/18 | Revocation of Clearing Member On account of notice issued by SECP |
| 166 | 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 |
| 167 | ARIF LATIF SECURITIES (PVT.) LIMITED | 9-Nov-18 | NCCPL/CRO/195/18 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 168 | RIAZ AHMED SECURITIES (PVT.) LIMITED | 9-Nov-18 | NCCPL/CRO/193/18 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |

| National Clearing Company of Pakistan Limited Disciplinary actions taken against the TRE Certificate Holders | | | | |
|---|--|-----------|-------------------------|---|
| S. No | Broker Name | Date | Order/ Notice Reference | Description of Disciplinary action |
| 169 | TRUST SECURITIES & BROKERAGE (PVT.) LIMITED | 9-Nov-18 | NCCPL/CRO/194/18 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 170 | 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 |
| 171 | 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 |
| 172 | BABA EQUITIES (PVT.) LIMITED | 29-Oct-18 | NCCPL/CRO/187/18 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 173 | 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 |
| 174 | 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 |
| 175 | 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 |
| 176 | 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 |
| 177 | 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 |
| 178 | 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 |
| 179 | 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 |
| 180 | XPRT SECURITIES (PRIVATE) LIMITED | 16-Oct-18 | NCCPL/CRO/181/18 | Warning issued under Regulation 14.3 of NCCPL Regulations, 2015 On account of matter pertaining to submission of NCB |
| 181 | AZEE SECURITIES | 16-Oct-18 | NCCPL/CRO/182/18 | Warning issued under Regulation 18.1.1(e) of NCCPL Regulations, 2015 On account of matter pertaining to delay in payment of money |
| 182 | MARKET 786 (PVT.) LIMITED | 15-Oct-18 | NCCPL/CRO/179/18 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 183 | CAMCO (PVT.) LIMITED | 12-Oct-18 | NCCPL/CRO/178/18 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 184 | FIRST CAPITAL EQUITIES LIMITED | 9-Oct-18 | NCCPL/CRO/176/18 | Revocation of Clearing Member Pursuant to settlement of money obligation |
| 185 | INA SECURITIES (PVT) LTD | 9-Oct-18 | NCCPL/CRO/177/18 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 186 | 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 |
| 187 | MGM SECURITIES (PVT.) LIMITED | 4-Oct-18 | NCCPL/CRO/170/18 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 188 | 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 |
| 189 | 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 |
| 190 | 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 |
| 191 | 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 |
| 192 | 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 |
| 193 | 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 |
| 194 | PROGRESSIVE INV. MANAGEMENT (PVT) LTD. | 18-Sep-18 | NCCPL/CRO/160/18 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 195 | XPRT SECURITIES (PRIVATE) LIMITED | 18-Sep-18 | NCCPL/CRO/156/18 | Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX |
| 196 | MSD CAPITAL EQUITIES (PVT) LTD. | 18-Sep-18 | NCCPL/CRO/161/18 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 197 | APEX CAPITAL SECURITIES (PVT) LIMITED | 18-Sep-18 | NCCPL/CRO/164/18 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 198 | 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 |
| 199 | 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 |
| 200 | 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 |
| 201 | WONAMINAD MONIR WOHAMINAD WONAMINAD SECURITIES (PVT.) LIMITED | 12-Sep-18 | NCCPL/CRO/153/18 | Warning issued on account of matters forwarded by the Commission |
| 202 | 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 |
| 203 | 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 |
| 204 | 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 |
| 205 | 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 |
| 206 | SMAC INVESTMENTS (SMC-PVT) LTD. | 7-Sep-18 | NCCPL/CS/319/18 | Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination |
| 207 | FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED | 31-Aug-18 | NCCPL/CRO/148/18 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 208 | SAIMA QAISER SECURITIES (PVT) LIMITED | 24-Aug-18 | NCCPL/CRO/145/18 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 209 | DJM SECURITIES (PVT.) LIMITED | 20-Aug-18 | NCCPL/CRO/142/18 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 210 | 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 |
| 211 | 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 |
| 212 | 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 |
| 213 | VENUS SECURITIES (PVT.) LIMITED | 15-Aug-18 | NCCPL/CRO/140/18 | Revocation of Clearing Member On account of notice issued by SECP |
| 214 | OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED | 2-Aug-18 | NCCPL/CRO/129/18 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 215 | 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 |
| 216 | YASIR MAHMOOD SECURITIES (PVT.) LIMITED | 26-Jul-18 | NCCPL/CRO/124/18 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 217 | 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 |
| 218 | 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 |
| 219 | 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 |
| 220 | 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 |
| 221 | 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 |
| 222 | AHSAM SECURITIES (PVT.) LIMITED | 24-Jul-18 | NCCPL/CRO/121/18 | Revocation of Clearing Member On account of notice issued by SECP |
| 223 | R.F.J. EQUITY (PRIVATE) LIMITED | 24-Jul-18 | NCCPL/CRO/122/18 | Revocation of Clearing Member On account of notice issued by SECP |
| 224 | SMAC INVESTMENTS (SMC-PVT) LTD. | 19-Jul-18 | NCCPL/CRO/108/18 | Revocation of Clearing Member On account of notice issued by SECP |
| 225 | GROWTH SECURITIES (PVT.) LIMITED COMMISSION | 17-Jul-18 | NCCPL/CRO/90/18 | Warning issued on account of matters forwarded by the Commission |
| 226 | 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 |
| 227 | 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 |
| 228 | 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 |
| 229 | 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 |
| 230 | IQBAL USMAN KODAVI 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 |
| 231 | 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 |

| 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 |
| 232 | INTERACTIVE SECURITIES (PVT.) LIMITED | 16-Jul-18 | NCCPL/CRO/93/18 | Revocation of Clearing Member On account of notice issued by SECP |
| 233 | PEARL BROKERAGE PRIVATE LIMITED | 6-Jul-18 | NCCPL/CS/266/18 | Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination |
| 234 | FAIR DEAL SECURITIES (PVT) LTD. | 5-Jul-18 | NCCPL/CS/262/18 | Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination |
| 235 | SAL SECURITIES (PVT.) LIMITED | 3-Jul-18 | NCCPL/CRO/86/18 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 236 | 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 |
| 237 | ASA STOCKS (PVT.) LIMITED | 29-Jun-18 | NCCPL/CRO/85/18 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 238 | KP SECURITIES (PRIVATE) LIMITED | 28-Jun-18 | NCCPL/CRO/84/18 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 239 | AWT INVESTMENT LIMITED | 27-Jun-18 | NCCPL/CS/242/18 | Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination |
| 240 | 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 |
| 241 | 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 |
| 242 | 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 |
| 243 | AMCAP SECURITIES (PVT.) LTD. | 19-Jun-18 | NCCPL/CRO/79/18 | Revocation of Clearing Member Pursuant to settlement of money obligation |
| 244 | 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 |
| 245 | 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 |
| 246 | 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 |
| 247 | 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 |
| 248 | 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 |
| 249 | DAWOOD EQUITIES LIMITED - COMMISSION | 8-Jun-18 | NCCPL/CRO/73/18 | Warning issued on account of matters forwarded by the Commission |
| 250 | 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 |
| 251 | 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 |
| 252 | 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 |
| 253 | 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 |
| 254 | 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 |
| 255 | 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 |
| 256 | 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 |
| 257 | 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 |
| 258 | JAHAANZAIB 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 |
| 259 | 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 |
| 260 | 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 |
| 261 | MANNOO CAPITAL (PVT.) LIMITED | 20-Apr-18 | NCCPL/CRO/48/18 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 262 | 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 |
| 263 | 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 |
| 264 | 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 |
| 265 | 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 |
| 266 | 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 |
| 267 | 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 |
| 268 | SHAFFI SECURITIES (PVT) LIMITED | 19-Mar-18 | NCCPL/CRO/43/18 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 269 | 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 |
| 270 | 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 |
| 271 | 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 |
| 272 | 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 |
| 273 | 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 |
| 274 | 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 |
| 275 | 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 |
| 276 | 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 |
| 277 | 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 |
| 278 | 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 |
| 279 | 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 |
| 280 | 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 |
| 281 | 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 |
| 282 | 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 |
| 283 | 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 |
| 284 | 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 |
| 285 | RELANCE SECURITIES LIMITED | 22-Jan-18 | NCCPL/CRO/6/18 | Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 |
| 286 | 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 |
| 287 | XPRT SECURITIES (PRIVATE) LIMITED | 18-Jan-18 | NCCPL/CRO/009/18 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 288 | 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 |
| 289 | 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 |
| 290 | PEARL BROKERAGE (PVT) LIMITED | 1-Jan-18 | NCCPL/CRO/002/18 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 291 | PEARL BROKERAGE (PVT.) LIMITED - COMMISSION | 27-Dec-17 | NCCPL/CRO/321/17 | Warning issued on account of matters forwarded by the Commission |
| 292 | 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 |
| 293 | 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 |
| 294 | XPRT 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 |

| 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 |
| 295 | K.H.S. SECURITIES (PVT.) LIMITED | 19-Dec-17 | NCCPL/CRO/311/17 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 296 | 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 |
| 297 | 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 |
| 298 | 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 |
| 299 | 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 |
| 300 | 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 |
| 301 | 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 |
| 302 | 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 |
| 303 | 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 |
| 304 | 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 |
| 305 | 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 |
| 306 | 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 |
| 307 | 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 |
| 308 | EQUITY MASTER SECURITIES (PVT.) LIMITED | 28-Nov-17 | NCCPL/CRO/286/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 309 | 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 |
| 310 | 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 |
| 311 | 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 |
| 312 | 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 |
| 313 | 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 |
| 314 | DIN CAPITAL LTD. | 23-Nov-17 | NCCPL/CRO/290/17 | Revocation of Clearing Member On account of notice issued by SECP |
| 315 | 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 |
| 316 | 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 |
| 317 | MILLENNIUM 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 |
| 318 | 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 |
| 319 | 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 |
| 320 | 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 |
| 321 | 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 |
| 322 | 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 |
| 323 | 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 |
| 324 | 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 |
| 325 | 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 |
| 326 | 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 |
| 327 | 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 |
| 328 | 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 |
| 329 | 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 |
| 330 | 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 |
| 331 | ADAM SECURITIES LIMITED | 13-Oct-17 | NCCPL/CRO/261/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 332 | NETWORTH SECURITIES LIMITED | 13-Oct-17 | NCCPL/CRO/253/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 333 | 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 |
| 334 | BAWA SECURITIES(PVT.) LIMITED | 13-Oct-17 | NCCPL/CRO/259/17 | Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 |
| 335 | 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 |
| 336 | 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 |
| 337 | 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 |
| 338 | 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 |
| 339 | 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 |
| 340 | 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 |
| 341 | 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 |
| 342 | 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 |
| 343 | FIRST ZEIVA (PVT.) LTD. | 22-Sep-17 | NCCPL/CRO/243/17 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 344 | 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 |
| 345 | 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 |
| 346 | 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 |
| 347 | 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 |
| 348 | 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 |
| 349 | 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 |
| 350 | 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 |
| 351 | 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 |
| 352 | 128 SECURITIES (PVT) LTD. | 9-Aug-17 | NCCPL/CRO/226/17 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 353 | 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 |
| 354 | 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 |
| 355 | 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 |
| 356 | AZEE SECURITIES | 25-Jul-17 | NCCPL/CRO/213/17 | Warning issued under Regulation 18.1.1(e) of NCCPL Regulations, 2015 On account of matter pertaining to delay in payment of money |
| 357 | DAWOOD EQUITIES LIMITED | 25-Jul-17 | NCCPL/CRO/214/17 | Warning issued under Regulation 18.1.1(e) of NCCPL Regulations, 2015 On account of matter pertaining to delay in payment of money |

| 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 |
| 358 | AMCAP SECURITIES (PVT.) LTD. | 24-Jul-17 | NCCPL/CRO/212/17 | Restoration of Clearing Member Pursuant to action taken by PSX |
| 359 | 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 |
| 360 | 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 |
| 361 | 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 |
| 362 | AZEE SECURITIES (PRIVATE) LIMITED. | 22-Jun-17 | NCCPL/CRO/200/17 | Revocation of Clearing Member Pursuant to settlement of money obligation |
| 363 | 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 |
| 364 | 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 |
| 365 | SPINZER EQUITIES (PVT.) LIMITED | 19-Jun-17 | NCCPL/CRO/140/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 366 | 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 |
| 367 | 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 |
| 368 | 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 |
| 369 | 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 |
| 370 | 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 |
| 371 | 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 |
| 372 | 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 |
| 373 | 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 |
| 374 | 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 |
| 375 | 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 |
| 376 | DAWOOD EQUITIES LTD. | 5-Jun-17 | NCCPL/CRO/188/17 | Revocation of Clearing Member Pursuant to settlement of money obligation |
| 377 | 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 |
| 378 | 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 |
| 379 | 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 |
| 380 | 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 |
| 381 | 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 |
| 382 | 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 |
| 383 | 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 |
| 384 | 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 |
| 385 | 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 |
| 386 | 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 |
| 387 | 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 |
| 388 | 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 |
| 389 | 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 |
| 390 | 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 |
| 391 | 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 |
| 392 | 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 |
| 393 | 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 |
| 394 | 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 |
| 395 | 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 |
| 396 | 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 |
| 397 | 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 |
| 398 | 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 |
| 399 | 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 |
| 400 | 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 |
| 401 | 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 |
| 402 | 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 |
| 403 | 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 |
| 404 | 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 |
| 405 | 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 |
| 406 | 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 |
| 407 | 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 |
| 408 | 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 |
| 409 | 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 |
| 410 | 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 |
| 411 | 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 |
| 412 | 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 |
| 413 | 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 |
| 414 | 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 |
| 415 | 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 |
| 416 | INFINITE SECURITIES LIMITED | 23-May-17 | NCCPL/CRO/141/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 417 | 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 |
| 418 | 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 |
| 419 | 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 |
| 420 | 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 |

| 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 |
| 421 | 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 |
| 422 | 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 |
| 423 | 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 |
| 424 | MSD CAPITAL EQUITIES (PVT) LTD. | 10-May-17 | NCCPL/CRO/134/17 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 425 | 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 |
| 426 | TARIQ SAYEED SECURITIES (PVT) LIMITED | 8-May-17 | NCCPL/CRO/132/17 | Revocation of Clearing Member Pursuant to action taken by CDC & PSX |
| 427 | 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 |
| 428 | 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 |
| 429 | 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 |
| 430 | AL HAQ SECURITIES (PVT.) LIMITED | 24-Mar-17 | NCCPL/CRO/88/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 431 | PEARL SECURITIES LIMITED | 24-Mar-17 | NCCPL/CRO/89/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 432 | ZAFAR SECURITIES (PVT.) LIMITED | 24-Mar-17 | NCCPL/CRO/81/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 433 | 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 |
| 434 | 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 |
| 435 | 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 |
| 436 | MUHAMMAD MUNIR KHAMRANI 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 |
| 437 | 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 |
| 438 | 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 |
| 439 | 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 |
| 440 | 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 |
| 441 | 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 |
| 442 | 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 |
| 443 | AMER SECURITIES (PVT.) LIMITED | 3-Mar-17 | NCCPL/CRO/50/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 444 | ARIF HABIB LIMITED | 3-Mar-17 | NCCPL/CRO/48/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 445 | GENERAL INVESTMENT & SECURITIES (PVT.) LIMITED | 3-Mar-17 | NCCPL/CRO/49/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 446 | GPH SECURITIES (PVT.) LIMITED | 3-Mar-17 | NCCPL/CRO/51/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 447 | KHS SECURITIES (PVT.) LIMITED | 3-Mar-17 | NCCPL/CRO/47/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 448 | 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 |
| 449 | 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 |
| 450 | 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 |
| 451 | 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 |
| 452 | 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 |
| 453 | 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 |
| 454 | 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 |
| 455 | ZAFAR SECURITIES (PVT) LTD. | 30-Jan-17 | NCCPL/CS/16/17 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 456 | 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 |
| 457 | 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 |
| 458 | ZAFAR MOTI CAPITAL SECURITIES (PVT) LTD. | 18-Jan-17 | NCCPL/CS/37/17 | Revocation of Clearing Member Pursuant to settlement of money obligation |
| 459 | 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 |
| 460 | 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 |
| 461 | AM CHAUDHRY SECURITIES (PVT.) LIMITED | 13-Jan-17 | NCCPL/CS/34/17 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 462 | AWJ SECURITIES (PVT) LIMITED | 13-Jan-17 | NCCPL/CS/31/17 | Revocation of Clearing Member Pursuant to settlement of money obligation |
| 463 | 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 |
| 464 | R.T SECURITIES (PVT.) LIMITED | 9-Jan-17 | NCCPL/CS/19/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 465 | CONCORDIA SECURITIES (PVT.) LIMITED | 9-Jan-17 | NCCPL/CS/22/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 466 | HAMZA FARHAD SECURITIES (PVT.) LIMITED | 9-Jan-17 | NCCPL/CS/20/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 467 | ZAHID LATIF KHAN SECURITIES (PVT.) LIMITED | 9-Jan-17 | NCCPL/CS/21/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 468 | 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 |
| 469 | FIRST STREET CAPITAL (PVT.) LIMITED | 9-Jan-17 | NCCPL/CS/16/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 470 | DIYANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED | 6-Jan-17 | NCCPL/CS/16/17 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 471 | S A SECURITIES (PVT) LIMITED | 6-Jan-17 | NCCPL/CS/15/17 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 472 | 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 |
| 473 | 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 |
| 474 | 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 |
| 475 | 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 |
| 476 | 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 |
| 477 | JS GLOBAL CAPITAL LIMITED | 2-Jan-17 | NCCPL/CS/5/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 478 | MND INVESTMENT (PVT.) LIMITED | 2-Jan-17 | NCCPL/CS/3/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 479 | SD MIRZA SECURITIES (PVT.) LIMITED | 2-Jan-17 | NCCPL/CS/4/17 | Warning issued on account of Inspection conducted under Joint Inspection Regulations |
| 480 | DAWOOD EQUITIES LTD. | 20-Dec-16 | NCCPL/CS/738/16 | Revocation of Clearing Member Pursuant to settlement of money obligation |
| 481 | 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 |
| 482 | DAWOOD EQUITIES LTD. | 14-Dec-16 | NCCPL/CS/725/16 | Revocation of Clearing Member Pursuant to settlement of money obligation |
| 483 | 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 |

| 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 |
| 484 | AM CHAUDHRY SECURITIES (PVT.) LIMITED | 7-Dec-16 | NCCPL/CS/715/16 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 485 | 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 |
| 486 | 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 |
| 487 | MALIK SECURITIES (PVT) LIMITED | 28-Nov-16 | NCCPL/CS/696/16 | Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination |
| 488 | INVEST FORUM (SMC-PVT) LIMITED | 17-Nov-16 | NCCPL/CS/681/16 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 489 | 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 |
| 490 | 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 |
| 491 | 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 |
| 492 | 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 |
| 493 | 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 |
| 494 | 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 |
| 495 | 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 |
| 496 | H. P. BYRAMJI & CO. (PVT) LIMITED | 18-Oct-16 | NCCPL/CS/547/16 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 497 | 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 |
| 498 | 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 |
| 499 | 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 |
| 500 | 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 |
| 501 | 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 |
| 502 | 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 |
| 503 | 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 |
| 504 | 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 |
| 505 | 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 |
| 506 | 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 |
| 507 | 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 |
| 508 | 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 |
| 509 | PACE INVESTMENT AND SECURITIES (PVT) LIMITED | 7-Sep-16 | NCCPL/CS/446/16 | Revocation of Clearing Member Pursuant to settlement of money obligation |
| 510 | 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 |
| 511 | 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 |
| 512 | 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 |
| 513 | 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 |
| 514 | AB EQUITIES (PRIVATE) LIMITED | 26-Aug-16 | NCCPL/CS/428/16 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 515 | 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 |
| 516 | 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 |
| 517 | 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 |
| 518 | 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 |
| 519 | 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 |
| 520 | 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 |
| 521 | 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 |
| 522 | SAIMA QAISER SECURITIES (PVT) LIMITED | 17-Aug-16 | NCCPL/CS/411/16 | Revocation of Clearing Member Pursuant to settlement of money obligation |
| 523 | 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 |
| 524 | CASSIM INVESTMENTS (PRIVATE) LIMITED | 12-Aug-16 | NCCPL/CS/399/16 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 525 | 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 |
| 526 | 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 |
| 527 | 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 |
| 528 | 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 |
| 529 | 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 |
| 530 | 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 |
| 531 | 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 |
| 532 | 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 |
| 533 | INFINITE SECURITIES LIMITED | 22-Jun-16 | NCCPL/CS/309/16 | Revocation of Clearing Member Pursuant to settlement of money obligation |
| 534 | 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 |
| 535 | 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 |
| 536 | 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 |
| 537 | 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 |
| 538 | 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 |
| 539 | KHAWAJA SECURITIES (PVT.) LIMITED | 1-Jun-16 | NCCPL/CS/284/16 | Revocation of Clearing Member Pursuant to settlement of money obligation |
| 540 | 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 |
| 541 | SWITCH SECURITIES (PVT) LIMITED | 31-May-16 | NCCPL/CS/279/16 | Suspension under Regulation of NCCPL Regulations, 2015 Pursuant to action taken by PSX |
| 542 | 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 |
| 543 | 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 |
| 544 | 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 |
| 545 | 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 |
| 546 | 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 |

| 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 |
| 547 | 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 |
| 548 | 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 |
| 549 | 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 |
| 550 | PAK MEEZAN SECURITIES (PVT) LIMITED | 29-Apr-16 | NCCPL/CS/200/16 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 551 | 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 |
| 552 | 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 |
| 553 | AKD ANALYTICS (PVT) LIMITED | 6-Apr-16 | NCCPL/CS/116/16 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 554 | QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED | 25-Mar-16 | NCCPL/CS/92/16 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 555 | 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 |
| 556 | A.H.K.D. SECURITIES (PVT) LTD. | 4-Mar-16 | NCCPL/CS/72/16 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 557 | CMA SECURITIES (PVT.) LIMITED | 3-Mar-16 | NCCPL/CS/70/16 | Revocation of Clearing Member Pursuant to action taken by PSX |
| 558 | 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 |
| 559 | TARIQ SAYEED SECURITIES (PVT) LIMITED | 2-Mar-16 | NCCPL/CS/65/16 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 560 | 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 |
| 561 | ELIXIR SECURITIES PAKISTAN (PVT.) LTD. | 24-Feb-16 | NCCPL/CS/63/16 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 562 | SAIMA QAISER SECURITIES (PVT) LIMITED | 22-Jan-16 | NCCPL/CS/35/16 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 563 | JCR CAPITAL SECURITIES (PVT) LTD. | 13-Jan-16 | NCCPL/CS/19/16 | Revocation of Clearing Member Pursuant to action taken by CDC |
| 564 | 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 April 30, 2020