			Disciplinary actions taken	against the TRE Certificate Holders
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) Limites	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		Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB
13	Al-Haq Securities Pvt. Ltd Akhai Securities (Pvt) Limited	17-Mar-20 17-Mar-20	NCCPL/CRO/131/20 NCCPL/CRO/128/20	Revocation of Restriction of the Clearing Member as Trading Financier pursuant to submission of audited NCB Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
14 15	JSK Securities (Pvt) Limited JSK Securities Ltd	17-Mar-20 17-Mar-20		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	ASDA Securities (Pvt) Limited			Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations,
16		17-Mar-20	NCCPL/CRO/127/20	2015. Restriction of access to services as wargin Financier under Rule 11(1a) of the Rules and Regulations and 76.2.4 of NCCPL Regulations, 2015. Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations,
17	Amer Securities (Pvt.) Limited	17-Mar-20	NCCPL/CRO/130/20	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 Amer Securities (Pvt.) Limited	13-Mar-20 13-Mar-20		Revocation of Restriction of the Clearing Member as Margin Financier pursuant to submission of audited NCB
20 21	R.A Securities (Pvt.) Limited	9-Mar-20	NCCPL/CS/105/2020	Revocation of Restriction of the Clearing Member as Margin Financier pursuant to submission of audited NCB 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/103/2020 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(t) & 18.3 of NCCFL 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/76/2020	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/75/2020	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 Assset 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 NCCPL/CRO/216/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 and penalty
	Dawood Equities Limited	27-Dec-19		imposed
35 36	Dattoo Securities (Pvt) Limited First Dawood Mutual Fund and 786 Rising Star Fund	27-Dec-19 24-Dec-19		Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
37	ASDA Securities (Pvt) Limited	19-Dec-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 Securties Pvt Ltd	22-Nov-19	NCCPL/CRO/197/19	Regulations 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 49	MSD Capital Equities (Pvt) Ltd Xpert Securities (Pvt.) Limited	18-Nov-19 18-Nov-19		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	- port account of the control	10 13		The state of the s

	5l N	5.1.	0.1. (8) 11. 0.1	Production of Printed Production
S. No	-	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 52	Pak Oman Asset Management- Askari Equity fund Azee Securities (Pvt.) Limited	31-Oct-19 22-Oct-19	NCCPL/CS/396/19 NCCPL/CRO/187/19	Termination of access to NCC system for Non Broker Clearing Member Account ID:13813 Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
53	Azee Securities (Pvt.) Limited Azee Securities (Pvt.) Limited	22-Oct-19 22-Oct-19	NCCPL/CRO/187/19 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
				Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection
55	Gul Dhami Securities (Pvt.) Limited	4-Oct-19	NCCPL/CRO/140/19	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
				Termination as Trading Financier and Margin Financier under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self
63	Elixir Securities (Pvt) Limited	17-Sep-19	NCCPL/CS/318/19	Termination Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations,
64	Asda Securities (Pvt.) Limited	17-Sep-19	NCCPL/CRO/127/19	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- Hogani Securities And Investment Corporation Limited	29-Jul-19	NCCPL/CS/271/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
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 warming issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under joint inspection
79	Shajarpak Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/96/19	Warrhing sisted under Regulation 14.1.1 or NCCPL Regulations, 2015 on account or inspection conducted under Joint Inspection
80	MAAN Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/98/19	Warning issued and in regulation 14.1.1 or recent negalations, 2013 on account or inspection conducted under some inspection Warning issued under negalation 14.1.1 or recent negalations, 2013 on account or inspection conducted under some inspection
81	Shaffi Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/97/19	Descriptions .
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 or iviargin rinancier and rinancee accounts under negulation 18.1.1(i) & 18.5 or NCCPL negulations, 2015 on account or sen
96	AZEE SECURITIES PRIVATE LIMITED	31-May-19	NCCPL/CRO/86/19	Grading Street and the regulation 14.5 or NCCPL regulations, 2015 on account or delaute or money obligation, including imposition of
97	ASA STOCKS PRIVATE LIMITED	23-May-19	NCCPL/CRO/75/19	Warming issued unfoet Regulation 14.1.1 or incore regulations, 2013 on account or inspection conducted under Joint inspection
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 warming issued under Regulation 14.1.1 or NCCPL Regulations, 2015 on account of implection conducted under Joint Inspection
99	ALFA ADHI SECURITIES PRIVATE LIMITED	21-May-19	NCCPL/CRO/71/19	ywarning issued under Regulation 14.1.1 of INCCPL Regulations, 2015 on account of inspection conducted under Joint inspection
100	MILLENIUM BROKERAGE PRIVATE LIMITED	21-May-19	NCCPL/CRO/72/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
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

10	S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
10.05 PRINTED SECURITS (PARTITIS DEPT.) MINTED 7.7 May 19.05 MINCRY, PRINTED 7.7 May 19.05 MIN	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
The Content of Content to content or content or performance in the program segretation, 2015	107				
19 Yes-App. 19 NCOP/CROSS Tementation of Toology Features (Part Institute (Part Instit	108	FORTUNE SECURITIES LIMITED	7-May-19	NCCPL/CRO/60/19	Warning issued under Regulation 14.3 and 14.6 of NCCPI Regulations, 2015 on account of matter pertaining to submission of NCB
131 SECURITIS (PVT) LAMITID	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
13.2 DEL CAPITAL DETTED 1.7 (#p. 12) 1.7 (#	110	Y.H SECURITIES PRIVATE LIMITED	25-Apr-19	NCCPL/CS/158/19	Termination of Trading Financee ID under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
13 DAGAMAL ALEMENT 1.5 Apr. 1.5 Ap	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
15 RAM SEQUENCE PVILLIMITED 5. Apr. 13 NCCUL/CORD./ 199 NCCUL-CORD. 199	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
1.5 1.5	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
1.5 PARADA LUCIUS CAPITES (PMT) LIMITED	-				I= 1.5
1.5	115	/		,, - , -	
185 SAGAMMAN CHAPTA SECURITS PYT LIMITED 28-Mar-19 NCCPV(200/417)	116				Doculations .
1.50	_				Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
The properties of the proper	-	` '			
100 TECNO FUNDAMENTAL (PVT) LIMITED					
122 MARIE MEDICAL SERVICES IMPTID 22-Mar-19 NCCPUPTION/2213 Secontion of Betriction of access to services. Parisant to action taken by PSX and submission of suitlet MCD 124 Mar-19 NCCPUC/03/143 NCCPUC/03/14	_	, ,			
1823 Mail B MCTROPOLITAR I PANCAL SERVICES LIMITED	-				N
1.52 MART-1010 1.5 MART-10 N.CCPL/COR0.1473	-				
1.52 MART-1010 1.5 MART-10 N.CCPL/COR0.1473	-				Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 RESTUCTION OF ACCUSATION OF A SECURITY INTERNAL PROPERTY IN THE PROPERTY OF THE PROPE
1.50 MC 1.60 MC MC MC MC MC MC MC M					
Section Sect	_				
128 M.S. FOCKS (PVT.) LIMITED 18-Mar-19 NCCPL/(CR)/A1/19 Restriction of access to services under Regulation 18.1.10(8.18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PS	-				2015
129 BLUS SECURITS [PVT]. IMITED 18-Mari-19 NCCPL/CRO/A01/9 Retrinstance or access to services under Regulation 18.1.10 8.18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PS	_	, ,			
130 In-IRA ABDUL SATIAR SEQUENTES [PVT]. LIMITED 13-Mar-19 NCCPL/CR0/13/19		, ,			
131 CHARDA STOCK SERVINES (PVT) LIMITED 12-War-19 NCCPL/CR0/34/19 NCCPL/CR		,			
132 GUNDATION SEQURITIES (PVT) ITD 12 Mar-19 NCEPL(SR)/15/19 NCEPL(SR)/	_				Iermination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination S
133 SOUTH ASSIAN SECURITIS (PYT) LTD. 12 MAR-19 NCCPL/CSS/9/13 134 NAYANS SERVIS SECURITIS (PYT) LTD. 135 NAYANS SERVIS SECURITIS (PYT) LTD. 136 NAYANS SERVIS SECURITIS (PYT) LTD. 137 NAYANS SERVIS SECURITIS (PYT) LTD. 138 NAYANS SERVIS SECURITIS (PYT) LTD. 139 NAYANS SECURITIS (PYT) LTD. 131 NAYANS SECURITIS (PYT) LTD. 131 NAYANS SECURITIS (PYT) LTD. 132 SECURITIS (PYT) LTD. 133 NAYANS SECURITIS (PYT) LTD. 134 SECURITIS (PYT) LTD. 135 NACE SECURITIS (PYT) LTD. 136 NACE SECURITIS (PYT) LTD. 137 LZS SECURITIS (PYT) LTD. 138 CASSM AVESTIMATE (PYT) LTD. 139 Feb-19 NCCPL/CRO/37/19 138 CASSM AVESTIMATE (PYT) LTD. 139 Feb-19 NCCPL/CRO/27/19 139 SOUTH ASSMA SECURITIS (PYT) LIMITED 130 Feb-19 NCCPL/CRO/27/19 130 SOUTH ASSMA SECURITIS (PYT) LIMITED 130 Feb-19 NCCPL/CRO/27/19 131 NCCPL/CRO/27/19 132 SOUTH ASSMA SECURITIS (PYT) LIMITED 130 Feb-19 NCCPL/CRO/27/19 133 NOUTH ASSMA SECURITIS (PYT) LIMITED 130 Feb-19 NCCPL/CRO/27/19 130 NCCPL/CRO/27/19 131 NCCPL/CRO/27/19 132 NCCPL/CRO/27/19 133 NCCPL/CRO/27/19 134 HI MINISAN SECURITIS (PYT) LIMITED 130 Feb-19 NCCPL/CRO/27/19 135 NCCPL/CRO/27/19 136 NCCPL/CRO/27/19 137 NCCPL/CRO/27/19 138 NCCPL/CRO/27/19 139 NCCPL/CRO/27/19 139 NCCPL/CRO/27/19 130 NCCPL	-				Desidetions 2015
134 NAYAR SPIEINT SEQUENTES [PYT] LTD					
135 MACPS CRUITES (PYT.) LTD. 21-Feb-19 NCCPV_CRO/321/19 Termination under Regulation 18.1.1 (b) 8.18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX					
136 AMAP SECURITIS [PYT] LTD. 137 / 28 SECURITIS [PYT] LTD. 138 Pish-19 NCCPL/CRO/30/19 Rock (PUCRO/30/19) R	_	1 /			
132 / 128 SECURITES (PYT) I.TD. 19-Feb-19 NCCPV/CS/72/19 Fermination under Regulation and SI-L1(f) 8 1.3 of NCCP Regulations, 2015 On account of Self Termination (SSIM INVESTMENTS (PRIVATE) LIMITED 18-Feb-19 NCCPV/CS/72/19 Fermination under Regulation II.8.1.1(f) 8 1.8 3 of NCCP Regulations, 2015 On account of Self Termination (SSIM INVESTMENTS (PRIVATE) LIMITED 18-Feb-19 NCCPV/CS/72/19 Warning issued on account of inspection conducted under Joint Inspection Regulations, 2015 On account of Inspection Regulations, 2015 On account of Self Termination (SSIM INVESTMENT SECURITIES (PVT.) LIMITED 18-Feb-19 NCCPV/CS/72/19 Warning issued on account of inspection conducted under Joint Inspection Regulations, 2015 On account of Self Termination (SSIM INVESTMENT SECURITIES (PVT.) LIMITED 18-Feb-19 NCCPV/CS/72/19 Warning issued on account of inspection conducted under Joint Inspection Regulations, 2015 On account of Self Termination (SSIM INVESTMENT SECURITIES (PVT.) LIMITED 18-Feb-19 NCCPV/CS/72/19 Warning issued on account of inspection conducted under Joint Inspection Regulations, 2015 On account of Self Termination (SSIM INVESTMENT SECURITIES (PVT.) LIMITED 18-Feb-19 NCCPV/CS/72/19 Warning issued on account of inspection conducted under Joint Inspection Regulations, 2015 On account of Self Termination (SSIM INVESTMENT SECURITIES (PVT.) LIMITED 18-Feb-19 NCCPV/CS/72/19/19 Warning issued on account of inspection conducted under loint Inspection Regulations, 2015 On account of Self Termination under Regulation 18-1.1(i) & 18.3 of NCCP (Regulations, 2015 On account of Self Termination (SSIM INVESTMENT SECURITIES (PVT.) LIMITED 29-Jan-19 NCCPV/CS/72/19/19 Reprivation 18-1.1(i) & 18.3 of NCCP (Regulations, 2015 On account of Self Termination under Regulation 18.1.1(i) & 18.3 of NCCP (Regulations, 2015 On account of Self Termination (SSIM INVESTMENT SECURITIES (PVT.) LIMITED 19-NCCPV/CS/72/19/19 Reprivation 19-NCCPV/CS/72/19/19 Reprivation 19-NCCPV/CS/72/19/19 Reprivation 19-NCCPV/CS/72/19/19 Reprivation 19-NCCPV/CS/72/19/19	_				
138 CASIM INVESTMENTS (PRIVATE) LIMITED 19-Feb-19 NCCPU/CR0/27/19 139 SOUTH ASIAN SECURITES (PRIVATE) LIMITED 18-Feb-19 NCCPU/CR0/27/19 140 M. SALIM KASMANI SECURITES (PVT.) LIMITED 18-Feb-19 NCCPU/CR0/27/19 141 HM MISARA SECURITES (PVT.) LIMITED 18-Feb-19 NCCPU/CR0/27/19 NCCPU/CR0/27/19 Warning issued on account of inspection conducted under Joint inspection Regulations, 2015 Pursuant to action taken by PS. ASIAN SECURITES (PVT.) LIMITED 18-Feb-19 NCCPU/CR0/27/19 NCCPU/CR0/27/19 Warning issued on account of inspection conducted under Joint inspection Regulations, 2015 143 ABASIS 8.CC. (PVT.) LIMITED 18-Feb-19 NCCPU/CR0/27/19 NCCP	_			/- /- /-	
39 SUTH ASIAN SECURITES (PRIVATE) LIMITED 18-Feb-19 NCCPL/CRO/27/19 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PS.	-	` '			
140 M. SALIM KASMAN SECURTIES [PVT, LIMITED 18-Feb-19 NCCPL/CRO/27/19 Warning issued on account of inspection conducted under Joint inspection Regulations 14-Feb-19 NCCPL/CRO/25/19 Warning issued on account of inspection conducted under Joint inspection Regulations 14-Feb-19 NCCPL/CRO/25/19 Warning issued on account of inspection conducted under Joint inspection Regulations 14-Feb-19 NCCPL/CRO/23/19 Warning issued on account of inspection conducted under Joint inspection Regulations 14-Feb-19 NCCPL/CRO/23/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations 14-Feb-19 NCCPL/CRO/23/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/24/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/24/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/24/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/24/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/24/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/24/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/24/19 Notice Issued for resolve open observation identified under Inspection Regulations NCCPL/CRO/24/19 Notice Issued for resolve open observation identified under Inspection Conducted under Joint Inspection Regulations NCCPL/CRO/24/19 Notice Issued for resolve open observation identified under Inspection Regulations NCCPL/CRO/24/19 Notice Issued for resolve open observation identified under Inspection Regulations NCCPL/CRO/24/19 Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB NCCPL/CRO/24/19 Revocation of Clearing Member Pursuant to action taken by PSX NCCPL/CRO/24/19 NCCPL/C					
Hit MISBAH SECURITIES (PVT.) LIMITED 18-Feb-19 NCCPU/CRO/75/19 Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations 142 ABABAS & CO. (PVT.) LIMITED 18-Feb-19 NCCPU/CRO/26/19 Warning issued on account of inspection conducted under joint inspection Regulations Warning issued on account of inspection conducted under joint inspection Regulations NCCPU/CRO/23/19 Warning issued on account of inspection conducted under joint inspection Regulations NCCPU/CRO/23/19 Warning issued on account of inspection conducted under joint inspection Regulations NCCPU/CRO/23/19 NCCP		, ,			
SALANY CAPITAL SECURITIES (PVT, LIMITED 18-Feb-19 NCCPL/CR0/26/19 Warning issued on account of inspection conducted under Joint inspection Regulations	-				
144 ABASI & C.O. (PVT, LIMITED 18-Feb-19 NCCPL/CRO/23/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations 18-Feb-19 NCCPL/CRO/28/19 Note issued to resolve open observation identified under Joint Inspection Regulations, 2015 Part 145 DALAS SCURITIES (PVT, LIMITED 18-Feb-19 NCCPL/CRO/28/19 Note issued to resolve open observation identified under Joint Inspection Regulations, 2015 Part 147 HIAMC STROKES (PVT, LIMITED 29-Jan-19 NCCPL/CRO/28/19 Note issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 On account of Self Termination under Regulations, 2015 Under Inspection Regulations, 2015 On account of Self Termination under Regulations, 2015 Under Inspection Regulations, 2015 Under I	-				
144 NETWORTH SECURITIES LIMITED 18-Feb-19 NCCPL/CRO/24/19 NCCPL/CRO/14/19 NCCPL/CRO/14/	-				
DALAL SECURITIES (PVT.) LIMITED 18-Feb-19 NCCPL/CRO/28/19 Termination under Regulation identified under inspection conducted under Joint Inspection Regulations, 2015 APRIL 19 NCCPL/CRO/219/19 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination	-				
146 RF EQUITY (PYT) 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					
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 22-Jan-19 NCCPL/CRO/12/19 Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX SIDENITES (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 SIDENITES (PVT) LIMITED 4-Jan-19 NCCPL/CRO/13/19 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 SIDENITES (PVT) LIMITED 4-Jan-19 NCCPL/CRO/6/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/7/19 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 On account of self Termination NCCPL/CRO/25/18 NCCPL/CRO/25/18 NCCPL/CRO/225/18 NCCPL/CRO/225/18 NCCPL/CRO/225/18 NCCPL/CRO/225/18 NCCPL/CRO/221/18 NCCPL/CRO/221/18 NCCPL/CRO/221/18 NCCPL/CRO/221/18 NCCPL/CRO/221/18 NCCPL/CRO/221/18 NCCPL/CRO/222/18	-	, ,			
148 K.H.S. SECURITIES (PVT.) LIMITED. 12-Jan-19 NCCPL/CRO/14/19 Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB 14-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 15-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 15-Jan-19 NCCPL/CRO/8/19 Revocation of Clearing Member Pursuant to action taken by PSX 15-Jan-19 NCCPL/CRO/8/19 Revocation of Clearing Member Pursuant to action taken by PSX 15-Jan-19 NCCPL/CRO/6/19 Revocation of Clearing Member Pursuant to action taken by PSX 15-Jan-19 NCCPL/CRO/6/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations 15-Jan-19 NCCPL/CRO/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations 15-Jan-19 NCCPL/CRO/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations 15-Jan-19 NCCPL/CRO/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations 15-Jan-19 NCCPL/CRO/19 Notice issued to resolve open observation identified under Inspection Conducted under Joint Inspection Regulations 15-Jan-19 NCCPL/CRO/19 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations 15-Jan-19 NCCPL/CRO/19 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations 15-Jan-19 NCCPL/CRO/19 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations 15-Jan-19 NCCPL/CRO/19 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 15-Jan-19 NCCPL/CRO/19 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 15-Jan-19 NCCPL/CRO/19 Notice issued to resolve o	-				
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 PS: 151 SOUTH ASIAN SECURITIES (PRIVATE) LIMITED 152 SAIMA QAISER SECURITIES (PVT.) LIMITED 153 SAIMA QAISER SECURITIES (PVT.) LIMITED 154 Jan-19 NCCPL/CRO/6/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations 153 ABM SECURITIES (PVT.) LIMITED 154 Jan-19 NCCPL/CRO/6/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations 154 FDM CAPITAL SECURITIES (PVT.) LIMITED 155 SAL SECURITIES (PVT.) LIMITED 156 OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED 157 BRUS SECURITIES (PVT.) LIMITED 158 FIRST CAPITAL EQUITIES (PVT.) LIMITED 159 OPTIMUS CAPITAL MANAGEMENT (PRIVATE) LIMITED 169 OPTIMUS CAPITAL MANAGEMENT (PVT.) LIMITED 17-Dec-18 NCCPL/CRO/221/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations 159 OPTIMUS CAPITAL MANAGEMENT (PVT.) LIMITED 17-Dec-18 NCCPL/CRO/221/18 NCCPL/CRO/221/18 Notice issued to resolve open observation identified under Inspection of Self Termination 157 GPTIMUS CAPITAL MANAGEMENT (PVT.) LIMITED 158 FIRST CAPITAL EQUITIES (PVT.) LIMITED 159 OPTIMUS CAPITAL MANAGEMENT (PVT.) LIMITED 160 DATE of the Capital Management (PVT.) LIMITED 17-Dec-18 NCCPL/CRO/221/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 160 EFG HERMES PAKISTAN LIMITED 161 DATE of the Capital Management (PVT.) LIMITED 162 DATE of the Capital Management (PVT.) LIMITED 163 DATE of the Capital Management (PVT.) LIMITED 164 DATE of the Capital Management (PVT.) LIMITED 165 DATE of the Capital Management (PVT.) LIMITED 165 DATE of the Capital Management (PVT.) LIMITED 166 DATE of the Capital Management (PVT.) LIMITED 167 DATE of the Capital Management (PVT.) LIMITED 168 DATE of the Capital Management (PVT.) LIMITED 17-Dec-18 NCCPL/CRO/223/18 Notice issu	_	, ,			
150 HMC STOCKS (PVT) LTD 16-Jan-19 16-Jan-19 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 PS: SOUTH ASIAN SECURITIES (PNT.) LIMITED 4-Jan-19 NCCPL/CRO/6/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations SECURITIES (PVT.) LIMITED 4-Jan-19 NCCPL/CRO/7/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations SAL 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 SAL SECURITIES (PVT.) LIMITED 13-Dec-18 NCCPL/CRO/1/19 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED 18-Dec-18 NCCPL/CRO/225/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination NCCPL/CRO/225/18 FIRST CAPITAL EQUITIES LIMITED 17-Dec-18 NCCPL/CRO/225/18 NCCPL/CRO/222/18 NOTICE SECURITIES (PWT.) LIMITED 17-Dec-18 NCCPL/CRO/222/18 NOTICE SISSUED OF REGULATION SECURITIES (PWT.) LIMITED 17-Dec-18 NCCPL/CRO/222/18 NOTICE SISSUED OF REGULATION SECURITIES (PWT.) LIMITED 17-Dec-18 NCCPL/CRO/222/18 NOTICE SISSUED OF REGULATION SECURITIES (PWT.) LIMITED 18-Dec-18 NCCPL/CRO/222/18 NOTICE SISSUED OF REGULATION SECURITIES (PWT.) LIMITED 19-Nov-18 NCCPL/CRO/222/18 NOTICE SISSUED OF REGULATION SECURITIES (PWT.) LIMITED 19-Nov-18 NCCPL/CRO/222/18 NOTICE SISSUED OF REGULATION SECURITIES (PWT.) LIMITED 19-Nov-18 NCCPL/CRO/223/18 NCCPL/CRO/223/18 NOTICE SISSUED OF REGULATION SECURITIES (PWT.) LIMITED 19-Nov-18 NCCPL/CRO/223/18 NCCPL/CRO/223/18 NCCPL/CRO/223/18 NCCPL/CRO/223/18 NCCPL/CR	_				Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
SOUTH ASIAN SECURITIES (PRIVATE) LIMITED 4-Jan-19 NCCPL/CRO/6/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/6/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/6/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/7/19 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 NCCPL/CRO/1/19 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 NCCPL/CRO/1/19	150	, ,			Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
AJAN AGAISER SECURITIES (PVT.) LIMITED 4-Jan-19 NCCPL/CRO/7/19 Warning issued on account of Inspection conducted under Joint Inspection Regulations 153 ABM SECURITIES (PVT.) LIMITED 4-Jan-19 NCCPL/CRO/7/19 Notice issued to resolve open observation identified under Inspection Regulations, 2015 154 FDM CAPITAL SECURITIES (PVT.) LIMITED 11-Jan-19 NCCPL/CS/485/18 NCCPL/CS/485/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination 155 SAL SECURITIES (PVT.) LIMITED 128-Dec-18 NCCPL/CS/478/18 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 Warning issued on account of Inspection conducted under Joint Inspection Regulations, 2015 156 DMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED 18-Dec-18 NCCPL/CRO/225/18 NCCPL/CRO/225/18 NCCPL/CRO/225/18 NCCPL/CRO/225/18 NOTICE SECURITIES (PRIVATE) LIMITED 19-Dec-18 NCCPL/CRO/225/18 NCCPL/CRO/225/18 NOTICE SUBJECT OF THE AGAINGTON CONTROL OF THE AGAINGT CO	-				
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 SAL SECURITIES (PVT.) LIMITED 31-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/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 Warring Issued under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 158 FIRST CAPITAL EQUITIES LIMITED 17-Dec-18 NCCPL/CRO/221/18 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 162 DIYANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED 17-Dec-18 NCCPL/CRO/223/18 N	152	, ,	4-Jan-19	NCCPL/CRO/6/19	
154 FDM CAPITAL SECURITIES (PVT.) LIMITED 1Jan-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 1.8.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination 156 OMNI CAPITAL MANAGEMENT (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 NCCPL/CRO/221/18 NOCPL/CRO/221/18 NOCPL/CRO/221/18 NOCPL/CRO/222/18 NOTICE ISSUED OF PRIVATE (LIMITED) 18-Dec-18 NCCPL/CRO/222/18 NOTICE ISSUED OF PRIVATE (LIMITED) 19-Dec-18 NCCPL/CRO/222/18 NOTICE ISSUED OF PRIVATE (LIMITED) 14-Dec-18 NCCPL/CRO/223/18 NOTICE ISSUED OF PRIVATE (LIMITED) 14-Dec-18 NCCPL/CRO/223/18 NOTICE ISSUED OF PRIVATE (LIMITED) 15-DIVANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED 16-DIVANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED 16-DIVANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED 17-Dec-18 NCCPL/CRO/223/18 NCCPL/CRO/223/1					
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 18-Dec-18 NCCPL/CS/478/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 17-Dec-18 NCCPL/CRO/225/18 Revocation of Clearing Member Pursuant to action taken by PSX 157 RUS SECURITIES (PRIVATE) LIMITED 158 FIRST CAPITAL EQUITIES LIMITED 159 OPTIMUS CAPITAL MANAGEMENT (PVT.) LIMITED 160 FAIR TRADE CAPITAL SECURITIES (PVT.) LIMITED 17-Dec-18 NCCPL/CRO/221/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 161 EFG HERMES PAKISTAN LIMITED 162 DIYANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED 163 TARIQ SAYEED SECURITES (PVT.) LIMITED 164 Dec-18 NCCPL/CRO/222/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 165 MCCPL/CRO/221/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 165 MCCPL/CRO/221/18 NCCPL/CRO/221/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 166 SHER CAPITAL EQUITIES (PVT.) LIMITED 167 SHER CAPITAL EQUITIES (PVT.) LIMITED 168 NCCPL/CRO/221/18 NCCPL/CRO	154	FDM CAPITAL SECURITIES (PVT.) LIMITED	1-Jan-19	NCCPL/CRO/1/19	
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/CR0/222/18 Revocation of Clearing Member Pursuant to action taken by PSX 159 OPTIMUS CAPITAL EQUITIES LIMITED 17-Dec-18 NCCPL/CR0/221/18 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/CR0/222/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 161 EFG HERMES PAKISTAN LIMITED 162 DIVANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED 163 TARIQ SAYEED SECURITIES (PVT.) LIMITED 164 OB-Dec-18 NCCPL/CS/433/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 165 MCCPL/CR0/221/18 Revocation of Clearing Member On account of notice issued by SECP 166 RUC SECURITIES (PVT.) LIMITED 167 NCCPL/CR0/269/18 Revocation of Clearing Member On account of Institute On account of Self Termination 168 NCCPL/CR0/218/18 Revocation of Clearing Member On account of NCCPL Regulations, 2015 On account of Self Termination 169 NCCPL/CR0/218/18 Revocation of Clearing Member On account of NCCPL Regulations, 2015 On account of Self Termination 160 Revocation of Clearing Member On account of Regulations, 2015 On account of Self Termination 161 Revocation of Clearing Member On account of Regulations, 2015 On account of Self Termination 165 RUC SECURITIES (PVT.) LIMITED 166 RUC SECURITIES (PVT.) LIMITED 167 NCCPL/CR0/205/18 Revocation of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Dursuant to action taken by PS	155		31-Dec-18	NCCPL/CS/485/18	
FIRST CAPITAL EQUITIES LIMITED 17-Dec-18 NCCPL/CRO/220/18 NCCPL/CRO/220/18 NCCPL/CRO/221/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 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 16-EFG HERMES PAKISTAN LIMITED 11-Dec-18 NCCPL/CRO/222/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 NCCPL/CRO/222/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 NCCPL/CRO/223/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 NCCPL/CRO/223/18 NCCPL/CRO/213/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination SHER CAPITAL EQUITIES (PVT), LIMITED 28-Nov-18 NCCPL/CRO/223/18 NCCPL	156	OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED	28-Dec-18	NCCPL/CS/478/18	
FIRST CAPITAL EQUITIES LIMITED 17-Dec-18 NCCPL/CRO/220/18 NCCPL/CRO/221/18 NCCPL/CRO/221/18 NCCPL/CRO/221/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 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 NCCPL/CRO/222/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 NCCPL/CRO/222/18 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 NCCPL/CRO/223/18 NCCPL/CRO/223/18 NCCPL/CRO/223/18 NCCPL/CRO/213/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination TARIQ.SAYEED SECURITIES (PVT) LIMITED 28-Nov-18 NCCPL/CRO/213/18 NCCPL/CRO/2248/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CRO/2248/18 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CRO/206/18 Revocation of Clearing Member On account of notice issued by SECP 165 AM CHAUDHRY SECURITIES (PVT), LIMITED 16-Nov-18 NCCPL/CRO/205/18 Revocation of Clearing Member On account of notice issued by SECP 166 RUC SECURITIES (PRIVATE) LIMITED 16-Nov-18 NCCPL/CRO/205/18 Revocation of Clearing Member On account of notice issued by SECP	157	RUC SECURITIES (PRIVATE) LIMITED	18-Dec-18	NCCPL/CRO/225/18	Revocation of Clearing Member Pursuant to action taken by PSX
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 DIYANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED 16-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 SAYEED SECURITIES (PVT) LIMITED 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 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 On account of accion taken by PS:	158	FIRST CAPITAL EQUITIES LIMITED	17-Dec-18	NCCPL/CRO/220/18	warning issued under Regulation 18.1.1(e) of NCCPT Regulations, 2015 on account of matter pertaining to delay in payment of money
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 SAYEED 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) LIMITED 28-Nov-18 NCCPL/CRO/206/18 Revocation of Clearing Member On account 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 On account of self Termination 19-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 PSi	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
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 SAYEED SECURITIES (PVT) LIMITED 28-Nov-18 NCCPL/CR0/217/18 Revocation of Clearing Member On account of notice issued by SECP 164 SHER CAPITAL EQUITIES (PVT) LITD. 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/CR0/206/18 Revocation of Clearing Member On account of notice issued by SECP 166 RUC SECURITIES (PRIVATE) LIMITED 16-Nov-18 NCCPL/CR0/205/18 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSi	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
163 TARIQ SAYEED 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(j) & 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 PS:	161	EFG HERMES PAKISTAN LIMITED	14-Dec-18		Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
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 PS:	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
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 PS:	163	TARIQ SAYEED SECURITIES (PVT) LIMITED	28-Nov-18	NCCPL/CRO/217/18	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 PS	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
167 ARIF LATIF SECURITIES (PVT.) LIMITED 9-Nov-18 NCCPL/CRO/195/18 Warning issued on account of inspection conducted under Joint Inspection Regulations	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		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	168	RIAZ AHMED SECURITIES (PVT.) LIMITED	9-Nov-18	NCCPL/CRO/193/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations

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
	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
	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
	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
	XPERT 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	XPERT SECURITIES (PRIVATE) LIMITED	16-Oct-18	NCCPL/CRO/181/18	Warning issued under Regulation 14.3 of NCCPI Regulations, 2015 On account of matter pertaining to submission of NCB warning issued under Regulation 15.1.1(e) or NCCPI Regulations, 2015 On account or matter pertaining to delay in payment or money
181	AZEE SECURITIES	16-Oct-18	NCCPL/CRO/182/18	ablication .
	MARKET 786 (PVT.) LIMITED	15-Oct-18	NCCPL/CRO/179/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
	CAMCO (PVT.) LIMITED	12-Oct-18	NCCPL/CRO/178/18	Revocation of Clearing Member Pursuant to action taken by PSX
	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
	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
	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
190 191	B&B SECURITIES(PVT.) LIMITED APEX CAPITAL SECURITIES (PVT) LIMITED	4-Oct-18 18-Sep-18	NCCPL/CRO/169/18 NCCPL/CRO/157/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
191	CAMCO (PVT.) LIMITED	18-Sep-18	NCCPL/CRO/157/18 NCCPL/CRO/165/18	
193	INA SECURITIES (PVT) LTD	18-Sep-18	NCCPL/CRO/163/18 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 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
193	PROGRESSIVE INV. MANAGEMENT (PVT) LTD.	18-Sep-18	NCCPL/CRO/158/18 NCCPL/CRO/160/18	Revocation of Clearing Member Pursuant to action taken by CDC
194	XPERT SECURITIES (PRIVATE) LIMITED	18-Sep-18	NCCPL/CRO/156/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	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	INIOHAIVINIAD INIONIK INIOHAIVINIAD	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
	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
	FALKI CAPITAL (PVT.) LIMITED	26-Jul-18	NCCPL/CRO/126/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
	GULREZ SECURITIES (PVT.) LIMITED	26-Jul-18	NCCPL/CRO/128/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
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
	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 KODVAVI SECURITIES (PVT.) LIMITED	17-Jul-18 17-Jul-18	NCCPL/CRO/89/18 NCCPL/CRO/91/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
231	SEVEN STAR SECURITIES (PVT.) LIMITED			

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
48	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
49	DAWOOD EQUITIES LIMITED - COMMISSION	8-Jun-18	NCCPL/CRO/73/18	Warning issued on account of matters forwarded by the Commission
50	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
51	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	JAHANZAIB SECURITIES (PVT) LIMITED	17-May-18	NCCPL/CS/196/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
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
168	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 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 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 22-Jan-18	NCCPL/CRO/10/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
285	RELIANCE SECURITIES LIMITED	22-Jan-18	NCCPL/CRO/10/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
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 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
287			NCCPL/CRO/009/18	
	XPERT SECURITIES (PRIVATE) LIMITED	18-Jan-18 4-Jan-18	NCCPL/CRO/009/18 NCCPL/CS/08/18	Revocation of Clearing Member Pursuant to action taken by CDC Termination under Regulation 18 1 1/i) 8 18 3 of NCCUL Regulations 2015 On account of Self-Termination
288	FIRST ZEIVA (PVT.) LTD.			Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
289	MILLENIUM 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
		27-Dec-17	NCCPL/CRO/321/17	Warning issued on account of matters forwarded by the Commission
291	PEARL BROKERAGE (PVT.) LIMITED - COMMISSION		NICON ICCO ICCO ICC	
291 292 293	PEARL BROKERAGE (PVT.) LIMITED - COMMISSION PEARL BROKERAGE (PVT.) LIMITED ADEEL ZAFAR SECURITIES (PVT.) LTD.	26-Dec-17 21-Dec-17	NCCPL/CRO/321/17 NCCPL/CS/510/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination

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
	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
	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 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
314	DIN CAPITAL LTD.	23-Nov-17	NCCPL/CRO/294/17 NCCPL/CRO/290/17	Revocation of Clearing Member On account of notice issued by SECP
314	DIN CAPITAL LTD.	23-NOV-17 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
	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	MILLENIUM SECURITIES AND INVESTMENT (PVT) LIMITED	7-Nov-17	NCCPL/CRO/281/17	Restriction of access to services under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
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
	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 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	23-Aug-17 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
350	PACE INVESTMENT AND SECURITIES (PVT) LIMITED	15-Aug-17	NCCPL/CS/299/17 NCCPL/CS/292/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
351		9-Aug-17	NCCPL/CS/292/17 NCCPL/CRO/226/17	
	128 SECURITIES (PVT) LTD.			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 Twanning issued under Regulation 16.1.1(e) or NCCPT Regulations, 2015 On account of market percanning to delay in payment or money
356	AZEE SECURITIES	25-Jul-17	NCCPL/CRO/213/17	Wanting issued under Regulation 16.1.1(e) or NeCPT Regulations, 2013 on account or matter pertaining to delay in payment or money
357	DAWOOD EQUITIES LIMITED	25-Jul-17	NCCPL/CRO/214/17	- blisseties

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
374	AB EQUITIES (PVI) 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/162/17 NCCPL/CRO/161/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
400	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
401	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
402		29-May-17 29-May-17	NCCPL/CRO/159/17	
403	ZM CAPITAL (PVT) LIMITED	29-May-17 29-May-17	NCCPL/CRO/159/17 NCCPL/CRO/180/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
	MY SECURITIES (PVT) LIMITED			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	JAMSHAID AND HASAN SECURITIES (PVT.) LIMITED	23-May-17	NCCPL/CRO/143/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
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
ت	- 1	- /		

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	IVIOHAIVIIVIAD IVIOINI IVIOHAIVIIVIAD AHIVIED KHAIVAIVI SECOKITIES (PVT.)	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
	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
	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
	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
	AMER SECURITIES (PVT.) LIMITED	3-Mar-17	NCCPL/CRO/50/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
	ARIF HABIB LIMITED	3-Mar-17	NCCPL/CRO/48/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
	GENERAL INVESTMENT & SECURITIES (PVT.) LIMITED	3-Mar-17	NCCPL/CRO/49/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
	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
	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
	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
	UNIVERSAL EQUITES (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
	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
	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
	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
	SUNRISE CAPITAL (PRIVATE) LIMITED	30-Jan-17	NCCPL/CS/52/17	Suspension under Regulation 18.1.1(t) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
	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
	AWJ SECURITIES (PVT) LIMITED	30-Jan-17	NCCPL/CRO/13/17 NCCPL/CRO/17/17	Suspension under Regulation 18.1.1('c) of NCCPL Regulations, 2015 Pursuant to action taken by CDC
	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. 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
	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 default of money obligation
	AM CHAUDHRY SECURITIES (PVT.) LIMITED	13-Jan-17	NCCPL/CS/34/17	Revocation of Clearing Member Pursuant to action taken by CDC
	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 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
	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 9-Jan-17	NCCPL/CS/19/17, NCCPL/CS/22/17,	
466	HAMZA FARHAD SECURITIES (PVT.) LIMITED	9-Jan-17 9-Jan-17	NCCPL/CS/22/17, NCCPL/CS/20/17,	Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations
466	ZAHID LATIF KHAN SECURITIES (PVT.) LIMITED	9-Jan-17 9-Jan-17	NCCPL/CS/20/17, NCCPL/CS/21/17,	
467	HORIZON SECURITIES (PVT.) LIMITED	9-Jan-17 9-Jan-17	NCCPL/CS/21/17, NCCPL/CS/18/17,	Warning issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
	3 7	9-Jan-17 9-Jan-17		
469 470	FIRST STREET CAPITAL (PVT.) LIMITED DIYANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED	9-Jan-17 6-Jan-17	NCCPL/CS/16/17 NCCPL/CS/16/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations Research of Clearing Mombes Burguant to action taken by CDC
470		6-Jan-17 6-Jan-17	NCCPL/CS/16/17 NCCPL/CS/15/17	Revocation of Clearing Member Pursuant to action taken by CDC
	S A SECURITIES (PVT) LIMITED		NCCPL/CS/15/17 NCCPL/CS/06/17	Revocation of Clearing Member Pursuant to action taken by CDC
	ALLIED SECURITIES (PVT.) LIMITED	2-Jan-17 2-Jan-17	NCCPL/CS/06/17 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
	AB EQUITIES (PRIVATE) LIMITED			Restriction of access to services under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
	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
	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
	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
				Revocation of Clearing Member Pursuant to settlement of money obligation
	DAWOOD EQUITIES LTD. DAWOOD EQUITIES LTD.	14-Dec-16 14-Dec-16	NCCPL/CS/725/16 NCCPL/CS/724/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation

Apr	S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
Control (Control (C	484	AM CHAUDHRY SECURITIES (PVT.) LIMITED	7-Dec-16	NCCPL/CS/715/16	Revocation of Clearing Member Pursuant to action taken by PSX
April March Marc	485				
Mathematics	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
Mart Part	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
Math Section	488	INVEST FORUM (SMC-PVT) LIMITED			Revocation of Clearing Member Pursuant to action taken by PSX
Montest Montest (Minister)	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
180 SMY NETHERING PYTILLINTES 1. No. 15 1. No.	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
Mathematics Microstian Service Laboration 1,900-18 MCCV/CS/SE/16 Supercounted regulation 1,310 8.1 k of MCCV, Regulation, 2013 On account of the Termination 1,900-18 MCCV/CS/SE/16 Supercounted regulation 1,310 8.1 k of MCCV, Regulation, 2013 On account of the Termination 1,900-18 MCCV/CS/SE/16 MCCV/CS/S	491	ABID INVESTMENTS (PVT) LIMITED	3-Nov-16		Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
16. Control SCHIMTS (VPI) INTTO					
50 SECONTISE PAY JANTIED 7-60-16 NCDY_CS/SE/16 NCDY_CS/SE/17 Recentation y CET. Recentation of Centering Memory Particular Island Second of Self Immunition 1-60-16 NCDY_CS/SE/17 Recentation of Centering Memory Particular Island Second of Self Immunition 1-60-16 NCDY_CS/SE/17 Recentation of Centering Memory Particular Island Second of Self Immunition 1-60-16 NCDY_CS/SE/17 Recentation of Centering Memory Particular Island Second of Self Immunition 1-60-16 NCDY_CS/SE/17 Recentation of Centering Memory Particular Island Second of Self Immunition 1-60-16 NCDY_CS/SE/17 Recentation 1-10-16					Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
16 16 16 16 16 16 16 16					
For Feb Processor Security Processor Security Processor Security Secur					
56 SECONACO SECURITIS [PY] LIMITO 13-0c-16 NCCP_(55/52/16 Negeritor in 81.10) & 18.1 of IncCP_Registron, 2015 Previous to carbot shee by PX					
500 SOME CAPTRAL LIMITIO					
10.00 MPA CAPTIAL MANAGEMENT (PRIVATE) (MITTO 1.10-1.16 NCCV_CSS2571/8 Supervision under Regulation 18.1.10) & 1.8.5 of IncCV_Establishment (Company of the Company of the Comp		, ,			, , , , , , , , , , , , , , , , , , , ,
30.0 PAR MEZAN SCURITES (PYT) (MITTD 3.0 -1.6 NCPU/CS/237/16 Supposition under Regulation 18.1.10) & 8.1.8 of NCPU Regulations, 2015 Pursuant to action take by PX 303 PROSPRITY SCURITES (SMC-PYT) (MITTD 6.0 -1.6 NCPU/CS/237/16					
30.2 STOCK VISION (PVT) LIMITED		, ,			
503 PROPERTY SECURITES (PMC/PL) IMINTED					
Sea SECURITIS (PYT) LIMITED					
505 BEANNE INVESTMENT & SCURITIS (PVT)LINTED 30-58p-16 NCCPUC/SS09/16 Supervision under Regulation 18.1.1(1) & 18.3 of NCCP. Regulations, 2015 Pursuant to action taken by PSX					
\$6.59 \$6.50 \$6.5					
PACE INVESTMENT AND SCRUMTES [PVT] LIMITED		, ,			
1509 PACE INVESTIMENT AND SECURITIES (PVT) LIMITED		,			
State Securities (Securities (Securities (Securities) MARKANIS (SECURITIES (SECURITI		, ,			
\$131 ABRANT SECURITES (PVT) LIMITED					
131 SAM SECURITES (PYT) LIMITED					
\$13.3 SAM SECURITIS (PYT) LIMITED					
STABLE SCRUPTIS [PRIVATE] LIMITED		1 /			
SAME SECURITIS (PVT) LIMITED					
Section Sect					
12					
SASM MANHMOOD SECURITIES (SMC-PVT) LIMITED 26-Aug-16 NCCPL/CS/427/16 Suspension under Regulation 18.1.1(b) 8.18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX					
JUAILTY ISLAMIC INVESTMENTS AND SECURTIES (PVT) LIMITED 26-Aug-16 NCCPU/CS/423/16 Suspension under Regulation 18.1.1(b) & 8.13 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		1 1			
Securitis (PVT) LIMITED 19-Aug-16 NCCPI/CS/422/16 Suspension under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX					
SSTOCKS [PVT] LIMITED 19-Aug-16 NCCPL/CS/411/16 Termination under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination					
523 SAIMA QAISER SECURITIES (PVT) LIMITED 17-Aug-16 NCCPL/CS/411/16 NCCPL/CS/410/16 NCCPL/CS/410/16 NCCPL/CS/410/16 NCCPL/CS/410/16 NCCPL/CS/410/16 NCCPL/CS/410/16 NCCPL/CS/410/16 NCCPL/CS/499/16 Revocation of Clearing Member Pursuant to settlement of money obligation 328 AIMA QAISER SECURITIES (PVT) LIMITED 11-Aug-16 NCCPL/CS/399/16 Revocation of Clearing Member Pursuant to action taken by CDC 329 CASSIM INVESTMENTS (PRIVATE) LIMITED 11-Aug-16 NCCPL/CS/398/16					
SAJAMA QAJSER SECURITIES [PVT] LIMITED 12-Aug-16 NCCPL/CS/399/16 Restriction of access to services under Regulations, 2015 On account of default of money obligation		,			
ASSIM INVESTMENTS (PRIVATE) LIMITED 11-Aug-16 NCCPL/CS/399/16 NCCPL/CS/399/16 NCCPL/CS/399/16 NCCPL/CS/399/16 NCCPL/CS/399/16 NCCPL/CS/398/16 NCCPL/CS/298/16 NCCPL/CS/298/16 NCCPL/CS/298/16 NCCPL/CS/298/16 NCCPL/CS/					
525 CASSIM INVESTMENTS (PRIVATE) LIMITED 11-Aug-16 NCCPL/CS/338/16 Restriction of access to services under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/336/16 Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/339/16 Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/339/16 Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/339/16					
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 3. Aug-16 NCCPL/CS/386/16 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 3. Aug-16 NCCPL/CS/386/16 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 3. AUG-18 NCCPL/CS/386/16 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 3. AUG-18 NCCPL/CS/386/16 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 3. AUG-18 NCCPL/CS/384/16 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 3. AUG-18 NCCPL/CS/384/16 NCCPL/CS/384/16 Suspension under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 3. AUG-18 NCCPL/CS/384/16 Suspension under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX 3. INVEST FORUM (SMC-PVT) LIMITED 3.					
S27 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		, ,			
AMIN TAI SECURITIES (PVT) LIMITED 15-Jul-16 NCCPL/CS/349/16 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 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 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 13-Jul-16 NCCPL/CS/349/16 Supension under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 13-Jul-16 NCCPL/CS/349/16 NCCPL/CS/329/16 Restriction of access to services under Regulation of NCCPL Regulations, 2015 Pursuant to action taken by PSX NIFINITE SECURITIES (PVT) LIMITED 13-Jul-16 NCCPL/CS/309/16 NCCPL/CS/309/16 Revocation of Clearing Member Pursuant to settlement of money obligation NCCPL/CS/309/16 NCCPL/CS/209/16					
SARAT 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 NCCPL/CS/350/16 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/349/16 NCCPL/CS/249/16 NCCPL/CS/248/16 NCCPL		()			
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 NCCPL/CS/324/16 Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX NCCPL/CS/329/16 NCCPL/CS/299/16 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/299/16 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/299/16 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/299/16 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/299/16 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/284/16					
MALIK SECURITIES (PVT) LIMITED 11-Jul-16 NCCPL/CS/329/16 Restriction of access to services under Regulations, 2015 Pursuant to action taken by PSX NCPL/CS/309/16 Restriction of access to services under Regulation of NCCPL Regulations, 2015 Pursuant to action taken by PSX NEW ST FORUM (SMC-PVT) LIMITED 22-Jun-16 NCCPL/CS/309/16 NCCPL/CS/309/16 Revocation of Clearing Member Pursuant to settlement of money obligation NCPL/CS/309/16 Revocation of Clearing Member Pursuant to settlement of money obligation NCPL/CS/309/16 Suspension under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCPL/CS/309/16 Suspension under Regulation 18.1.1(j) of NCCPL Regulations, 2015 On account of default of money obligation STOCK STREET (PVT) LIMITED 14-Jun-16 NCCPL/CS/295/16 Termination under Regulation 18.1.1(j) of NCCPL Regulations, 2015 On account of Self Termination NCPL/CS/299/16 Termination under Regulation 18.1.1(j) all 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCPL/CS/299/16 Termination under Regulation 18.1.1(j) all 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/299/16 Termination under Regulation 18.1.1(j) all 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/299/16 Termination under Regulation 18.1.1(j) all 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/284/16 NCCPL/CS/284/16 NCCPL/CS/284/16 NCCPL/CS/284/16 NCCPL/CS/284/16 Suspension under Regulation 18.1.1(j) all 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/284/16 NCCPL/CS/284/16 NCCPL/CS/284/16 NCCPL/CS/284/16 Suspension under Regulation 18.1.1(j) all 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/284/16 NCCPL		, ,	13-Jul-16	NCCPL/CS/350/16	
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					
S33 INFINITE SECURITIES LIMITED 22-Jun-16 NCCPL/CS/309/16 Revocation of Clearing Member Pursuant to settlement of money obligation	532	INVEST FORUM (SMC-PVT) LIMITED	30-Jun-16	NCCPL/CS/329/16	
CONCEPT SECURITIES (PVT) LIMITED 22-Jun-16 NCCPL/CS/308/16 Suspension under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 353 INFINITE SECURITIES LIMITED 22-Jun-16 NCCPL/CS/295/16 Termination under Regulation 18.1.1(i) of NCCPL Regulations, 2015 On account of default of money obligation 354 STOCK STREET (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 357 PLATINUM CAPITALL 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 358 NIZAM SECURITIES (PVT) LIMITED 9-Jun-16 NCCPL/CS/299/16 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/299/16 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/284/16 NCC	533			NCCPL/CS/309/16	
STOCK STREET (PVT) LIMITED 14-Jun-16 NCCPL/CS/295/16 Termination under Regulation 18.1.1(1) of NCCPL Regulations, 2015 Pursuant to action taken by CDC 14-Jun-16 NCCPL/CS/299/16 Termination under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/299/16 Termination under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/299/16 Termination under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/284/16 N	534	CONCEPT SECURITIES (PVT) LIMITED	22-Jun-16	NCCPL/CS/306/16	
STOCK STREET (PVT) LIMITED 14-Jun-16 NCCPL/CS/295/16 Termination under Regulation 18.1.1(1) a 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC NCCPL/CS/299/16 Termination under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/299/16 Termination under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination NCCPL/CS/299/16 NCCPL/CS/289/16 NCCPL/CS	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
S38 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	536	STOCK STREET (PVT) LIMITED	14-Jun-16	NCCPL/CS/295/16	
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(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 544 DIGAN SECURITIES (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 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	537	PLATINUM CAPITALL 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
S40 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(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 544 DUGAN SECURITIES (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 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	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
S41 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 433 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 384 DUGAN SECURITIES (PVT) LIMITED 384 NCCPL/CS/247/16 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 385 SOHAIL RAZA MOOSANI (SMC-PVT) LIMITED 284 Nocrea Suspension under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 386 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination	539				Revocation of Clearing Member Pursuant to settlement of money obligation
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(i) & 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	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
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	541	SWITCH SECURITIES (PVT) LIMITED	31-May-16		Suspension under Regulation of NCCPL Regulations, 2015 Pursuant to action taken by PSX
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	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
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	543	MIKON SECURITIES (PVT) LIMITED			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
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	545	SOHAIL RAZA MOOSANI (SMC-PVT) LIMITED			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 Date Order/ Notice Reference Description of Disciplinary action Broker Name 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 2-May-16 548 STOCK STREET (PVT) LIMITED Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX NCCPL/CS/203/16 549 MUNAF SATTAR SECURITIES (PVT) LIMITED Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination 2-May-16 NCCPL/CS/201/16 NCCPL/CS/200/16 550 PAK MEEZAN SECURITIES (PVT) LIMITED 29-Apr-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. SECURITES (PVT) LTD. 4-Mar-16 NCCPL/CS/72/16 Revocation of Clearing Member Pursuant to action taken by CDC NCCPL/CS/70/16 557 CMA SECURITIES (PVT.) LIMITED 3-Mar-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 2-Mar-16 559 TARIQ SAYEED SECURITIES (PVT) LIMITED 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 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 6-Jan-16 NCCPL/CS/604/16 564 SAFE SECURITIES (PVT) LIMITED Termination under Regulation 18.1.1(i) of NCCPL Regulations, 2015 On account of Self Termination

Updated till April 30, 2020