S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement Actions	Current Status
		Actions taken by Audit,	Inspection, Default and Arbitrage (AIDA) :	(If any)		
1	309	HMC Stocks (Pvt) Ltd.	Brokerage House was ADVISED		31-Aug-21	ACTIVE
2	147	A. I. Securities (Private) Ltd.	Brokerage House was ADVISED		31-Aug-21	ACTIVE
3	196	RAH Securities (Pvt.) Ltd.	Brokerage House was ADVISED		31-Aug-21	ACTIVE
4	196	RAH Securities (Pvt.) Limited	Brokerage House was Warned		20-Aug-21	ACTIVE
5	328	128 Securities (Pvt.) Limited	The Brokerage House was Warned and Penalized	Rs.463,838/-	20-Aug-21	ACTIVE
6	66	Iqbal Usman Kodvavi Securities (Pvt.) Limited	The Brokerage House was Warned		13-Aug-21	ACTIVE
7	25 132	Vector Securities (Pvt.) Limited	The Brokerage House was Warned		13-Aug-21	ACTIVE
8	132	Eleven Star Securities (Pvt.) Limited  GMI Capital Securities (Pvt.) Ltd.	The Brokerage House was Warned		12-Aug-21 12-Aug-21	ACTIVE
10			The Brokerage House was Warned	Rs.1,700,451	12-Aug-21 23-Jul-21	ACTIVE
11	108 328	Azee Securities Private Limited 128 Securities (Pvt) Ltd	The Brokerage House was Penalized and Reprimanded  Brokerage House was WARNED	RS.1,700,451	23-Jul-21 8-Jul-21	ACTIVE ACTIVE
12	47	Zillion Capital Securi. (Pvt.) Ltd	The Brokerage House was WAKNED  The Brokerage House was advised	-	8-Jul-21	ACTIVE
13	126	Nini Securities (Pvt.) Limited	The Brokerage House was advised	1	5-Jul-21	ACTIVE
14	72	TS Securities (Pvt.) Limited	The Brokerage House was Warned		2-Jul-21	ACTIVE
15	204	Backers & Partners (Private) Limited	Brokerage House was WARNED		30-Jun-21	ACTIVE
16	239	Avub Chaudhry Investments (Pvt) Ltd.	Brokerage House was Penalized	Rs. 66,000/-	30-Jun-21	ACTIVE
17	457	AAA Securities (Private) Limited	Brokerage House was VARNED		30-Jun-21	ACTIVE
18	121	Salim Sozer Securities (Pvt.) Ltd.	Brokerage House was ADVISED		28-Jun-21	ACTIVE
19	309	HMC Stocks (Pvt) Ltd.	Brokerage House was Penalized	Rs. 195,000/-	24-Jun-21	ACTIVE
20	147	A. I. Securities (Private) Ltd.	Brokerage House was Penalized	Rs. 40,000/-	23-Jun-21	ACTIVE
21	175	First National Equities Ltd.	Brokerage House was WARNED		23-Jun-21	ACTIVE
22	196	RAH Securities (Pvt.) Ltd.	Brokerage House was Penalized	Rs. 45,000/-	23-Jun-21	ACTIVE
23	347	Amer Securities (Pvt) Ltd	Brokerage House was ADVISED		23-Jun-21	ACTIVE
24	150	Askari Securities Ltd.	Brokerage House was ADVISED		16-Jun-21	ACTIVE
25	323	Adeel & Nadeem Securities (Pvt) Ltd	Brokerage House was WARNED	-	16-Jun-21	ACTIVE
26	122	Muhammad Ashfaq Hussain Securities (Pvt.) Limited	The Brokerage House was advised		8-Jun-21	ACTIVE
27	48	Next Capital Limited	The Brokerage House was advised	-	24-May-21	ACTIVE
28	89	Investment Managers Sec. (Pvt.) Ltd.	The Brokerage House was advised		28-May-21	ACTIVE
29	65	Tariq Vohra Securities (Private) Ltd.	The Brokerage House was advised		28-May-21	ACTIVE
30	122	Muhammad Ashfaq Hussain Securities (Pvt.) Limited	The Brokerage House was advised	-	8-Jun-21 27-May-21	ACTIVE
31	135	Y.H. Securities (Pvt.) Limited	The Brokerage House was advised			ACTIVE
32	37	HH Misbah Securities (Pvt.) Limited	The Brokerage House was advised		6-May-21	ACTIVE
33	23	Khanani Securities Private Limited	The Brokerage House was advised	Rs 50 000/-	30-Apr-21	ACTIVE
35	188	Apex Capital Securities (Pvt.) Limited	The Brokerage House was Penalized and Warned	K\$.50,000/-	30-Apr-21	ACTIVE
36	491 127	First Street Capital (Pvt) Limited H.M Idrees H. Adam	The Brokerage House was advised		29-Apr-21 29-Apr-21	ACTIVE ACTIVE
37	173	Spectrum Securities Limited	The Brokerage House was advised The Brokerage House was Warned	-	29-Apr-21 20-Apr-21	ACTIVE
38	121	Salim Sozer Securities (Pvt.) Limited.	The Brokerage House was Warned  The Brokerage House was Warned	1	20-Apr-21 20-Apr-21	ACTIVE
39	52	N.U.A. Securities (Private) Ltd.	The Brokerage House was Penalized and Warned	Rs.50,000/-	7-Apr-21	ACTIVE
40	153	Creative Capital Securities (Private) Limited	The Brokerage House was advised		6-Apr-21	ACTIVE
41	93	Venus Securities Private Limited	The Brokerage House was advised		6-Apr-21	ACTIVE
42	125	Gazipura Securities & Services (Pvt.) Lt	The Brokerage House was advised		2-Apr-21	ACTIVE
43	84	Mohammad Munir Mohammad Ahmed Khanani Securities Ltd.	The Brokerage House was Penalized and Warned	Rs.100,000/-	26-March-2021	ACTIVE
44	158	ROYAL SECURITIES (PRIVATE) LIMITED	SWITCHING-OFF OF TRADING TERMINALS		26-Jan-21	ACTIVE
45	265	Infinite Securities Ltd.	SWITCHING-OFF OF TRADING TERMINALS		11-Jan-21	TRADING TERMINA SUSPENDED
46	223	Maan Securities (Pvt.) Ltd.	The Brokerage House was PENALIZED and WARNED	Rs.30,000/-	3-Nov-20	ACTIVE
47	256	Progressive Securities (Pvt.) Ltd.	Brokerage House was WARNED		15-Dec-20	ACTIVE
48	284	ASA Stocks (Pvt.) Ltd.	Brokerage House was WARNED		15-Dec-20	ACTIVE
49	339	Khawaja Securities (Pvt.) Ltd.	Brokerage House was WARNED		15-Dec-20	ACTIVE
50	58	Dawood Equities Ltd.	Brokerage House was WARNED		15-Dec-20	ACTIVE
51	179	CONTINENTAL CAPITAL MANAGEMENT (PVT.) LIMITED	SWITCHING-OFF OF TRADING TERMINALS		3-Nov-20	ACTIVE
52	134	Q. AIN KHANANI SECURITIES (PVT.) LIMITED	SWITCHING-OFF OF TRADING TERMINALS		3-Nov-20	ACTIVE
53	122	M. ASHFAQ HUSSAIN SECURITIES (PVT.) LIMITED	SWITCHING-OFF OF TRADING TERMINALS		10-Nov-20	ACTIVE
54 55	193	AKHAI SECURITIES (PVT.) LIMITED - TRE CERTIFICATE	SWITCHING-OFF OF TRADING TERMINALS		10-Nov-20 29-Oct-20	ACTIVE
56	147 294	A.J. Securities (Pvt.) Ltd Yasir Mahmood Securities (Pvt) Ltd	SWITCHING-OFF OF TRADING TERMINALS OF TRE CERTIFICATE HOLDERS OF PSX  Brokerage House was ADVISED	<u> </u>	29-Oct-20 13-Aug-2020	ACTIVE
57	63	Al Habib Capital Markets (Pvt) Ltd.	Brokerage House was ADVISED		4-Aug-20	ACTIVE
58	98	Fairtrade Capital Naixers (PVI) Ltd.	Brokerage House was WARNED		30-Jul-20	ACTIVE
59	19	AKD Securities Ltd.	Brokerage House was ADVISED		21-Jul-20	ACTIVE
60	140	M.M. Securities (Pvt.) Ltd.	Brokerage House was ADVISED		21-Jul-20	ACTIVE
61	116	Patel Securities (Pvt.) Ltd.	Trading Terminals Suspended		14-Jul-20	ACTIVE
62	223	Maan Securities (Pvt.) Limited	Brokerage House was strictly WARNED		30-Jun-20	ACTIVE
63	129	Taurus Securities Limited	Brokerage House was ADVISED	-	8-Jun-20	ACTIVE
	234	Value Stock & Commodities (Pvt.) Limited	The Brokerage house was warned		2-Jun-20	ACTIVE
64		Standard Capital Securities (Pvt.) Ltd.	The Brokerage house was warned		2-Jun-20	ACTIVE
64 65	112	Lakhani Securities (Pvt.) Ltd.	The Brokerage house was advised		15-Jun-20	ACTIVE
64	112				17-Mar-20	ACTIVE
64 65			SWITCHING-OFF OF TRADING TERMINALS OF TRE CERTIFICATE HOLDERS OF PSX		17-Mai-20	
64 65 66	197	Akhai Securities (Pvt.) Ltd. JSK Securities Ltd.	SWITCHING-OFF OF TRADING TERMINALS OF TRE CERTIFICATE HOLDERS OF PSX  SWITCHING-OFF OF TRADING TERMINALS OF TRE CERTIFICATE HOLDERS OF PSX	-	17-Mar-20	ACTIVE
64 65 66 67 68	197 193 497	Akhal Securities (Pvt.) Ltd.  JSK Securities Ltd.  Reliance Securities Limited	SWITCHING-OFF OF TRADING TERMINALS OF TRE CERTIFICATE HOLDERS OF PSX  Suspension of TRE Certificate	-	17-Mar-20 14-Feb-20	APPLIED FOR SURRENDER
64 65 66 67 68 69 70	197 193 497 12 46	Akhal Securities (Prt.) Ltd. ISX Securities Ltd. Reliance Securities Limited Fortune Securities Limited	SWITCHING-OFF OF TRADING TERMINALS OF TRE CERTIFICATE HOLDERS OF PSX  Suspension of TRE Certificate  Brokerage House was WARRED		17-Mar-20 14-Feb-20 12-Feb-20	APPLIED FOR SURRENDER ACTIVE
64 65 66 67 68 69 70	197 193 497 12 46 98	Akhal Securities (Pvt.) 11d.  SK Securities Limited.  Relance Securities Limited Fortume Securities Limited Fortume Securities Limited Fairstande Capital Securities Limited	SWITCHING-OFF OF TRADING TERMINALS OF TRE CERTIFICATE HOLDERS OF PSX  Superation of TRE Certificate  Brokerage House was WARNED  Brokerage House was WARNED		17-Mar-20 14-Feb-20 12-Feb-20 12-Feb-20	APPLIED FOR SURRENDER ACTIVE ACTIVE
64 65 66 67 68 69	197 193 497 12 46 98 15	Akhal Securities (Prt.) Ltd. ISX Securities Ltd. Reliance Securities Limited Fortune Securities Limited	SWITCHING-OFF OF TRADING TERMINALS OF TRE CERTIFICATE HOLDERS OF PSX  Suspension of TRE Certificate  Brokerage House was WARRED		17-Mar-20 14-Feb-20 12-Feb-20	APPLIED FOR SURRENDER ACTIVE ACTIVE ACTIVE NOTICE FOR
64 65 66 67 68 69 70 71 72	197 193 497 12 46 98	Althal Securities (Prt.) 1.td.  JSK Securities (1.td.  Relance Securities Limited  Fortune Securities Limited  Feature Securities Limited  Feature Securities (1.td.)  Feature Securities (1.td.)  Feature Securities (1.td.)	SWITCHING-OFF OF TRADRIG TERMINALS OF THE CERTIFICATE HOLDERS OF PSX  Supersion of TRE Certificate  Brokerage House was WARMED  Brokerage House was WARMED  Brokerage House was WARMED		17-Mar-20 14-Feb-20 12-Feb-20 12-Feb-20 11-Feb-20	APPLIED FOR SURRENDER ACTIVE ACTIVE ACTIVE

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
76	50	Arif Habib Ltd.	Brokerage House was Advised		7-Feb-20	ACTIVE
77	88	Fawad Yusuf Securities (Private) Ltd.	Brokerage House was WARNED		7-Feb-20	ACTIVE
78	155	B & B Securities (Pvt.) Ltd.	Brokerage House was WARNED		7-Feb-20	ACTIVE
79	196	RAH Securities (Pvt.) Ltd.	Brokerage House was WARNED		7-Feb-20	ACTIVE
80	234	Value Stock and Commodities (Pvt) Ltd.	Brokerage House was WARNED		7-Feb-20	ACTIVE
81	72	TS Securities (Private) Ltd.	Brokerage House was WARNED		7-Feb-20	ACTIVE
82	173	Spectrum Sec.Ltd.	Brokerage House was ADVISED		6-Jan-20	ACTIVE
83	275	Rahat Securities Ltd	Brokerage House was WARNED		13-Jan-20	ACTIVE
84	309	HMC Stocks (Pvt) Ltd.	The Brokerage House was PENALIZED and WARNED	Rs.30,000/-	13-Jan-20	ACTIVE
85	481	Riaz Ahmed Securities (Pvt) Ltd.	Brokerage House was WARNED		20-Jan-20	ACTIVE
86	139	Asian Securities Limited	Brokerage House was ADVISED		27-Jan-20	ACTIVE
87	112	Standard Capital Securities (Pvt.) Ltd.	Brokerage House was WARNED		30-Jan-20	ACTIVE
88	124	EFG Hermes Pakistan Limited	Brokerage House was WARNED		30-Jan-20	ACTIVE
89	444	Xpert Securities Limited	SWITCHING-OFF OF TRADING TERMINALS		18-Nov-19	ACTIVE
90	297	MSD Capital Equities (Pvt.) Limited	SWITCHING-OFF OF TRADING TERMINALS		18-Nov-19	ACTIVE
91	25	Vector Securities (Pvt.) Ltd.	Brokerage House was WARNED		22-Oct-19	ACTIVE
92	48	Next Capital Limited	Brokerage House was WARNED		22-Oct-19	ACTIVE
93	52	N.U.A. Securities (Private) Ltd.	Brokerage House was WARNED		29-Oct-19	ACTIVE
94			Brokerage House was ADVISED		29-Oct-19	Voluntary Tradii
	61	Abbasi Securities (Private) Ltd.				Terminal Suspend
95	68	Zafar Securities (Pvt.) Ltd.	Brokerage House was PENALIZED and WARNED	Rs. 100,000/-	29-Oct-19	ACTIVE
96	77	Best Securities (Private) Ltd.	Brokerage House was PENALIZED and WARNED	Rs.20.000/-	28-Oct-19	ACTIVE
97	94	FDM Capital Securities (Pvt.)Ltd	Brokerage House was WARNED	-	24-Oct-19	ACTIVE
98	117	Fikree's Private Limited	Brokerage House was WARNED  Brokerage House was WARNED		24-Oct-19	ACTIVE
99	117	Fikree's Private Limited Salim Sozer Securities (Pvt.) Ltd.	Brokerage House was WARNED  Brokerage House was WARNED		28-Oct-19	ACTIVE
100	148		Brokerage House was WARNED  Brokerage House was WARNED		22-Oct-19	ACTIVE
100		Oriental Securities (Private) Ltd			18-Oct-19	ACTIVE ACTIVE
101	150	Askari Securities Ltd.	Brokerage House was ADVISED		18-Oct-19 24-Oct-19	
	162	Aba Ali Habib Securities(Pvt.) Ltd.	Brokerage House was WARNED			ACTIVE
103	166	Topline Securities Limited.	Brokerage House was WARNED		28-Oct-19	ACTIVE
104	173	Spectrum Sec.Ltd.	Brokerage House was WARNED		21-Oct-19	ACTIVE
105	221	Millennium Brokerage ( Pvt.) Limited	Brokerage House was WARNED		24-Oct-19	ACTIVE
106	224	K & I Global Capital (Pvt.) Ltd.	Brokerage House was WARNED		24-Oct-19	ACTIVE
107	251	MND Investment (Pvt) Ltd	Brokerage House was WARNED		25-Oct-19	ACTIVE
108	265	Infinite Securities Ltd.	Brokerage House was WARNED		24-Oct-19	TRADING TERMIN SUSPENDED
109	275	Rahat Securities Ltd.	Brokerage House was WARNED		24-Oct-19	ACTIVE
110	309	HMC Stocks (Pvt) Ltd.	Brokerage House was WARNED		25-Oct-19	ACTIVE
111	311		Brokerage House was WARNED		28-Oct-19	ACTIVE
112	311	Abbasi & Company (Pvt) Ltd. 128 Securities (Pvt) Ltd			28-Oct-19	ACTIVE
113			Brokerage House was ADVISED Brokerage House was WARNED		28-Oct-19	
	330	Muhammad Amer Riaz Securities (Pvt) Ltd	Brokerage House was WAKNED			ACTIVE
114	346	Strongman Securities (Pvt) Ltd	Brokerage House was WARNED		22-Oct-19	ACTIVE
115	347	Amer Securities (Pvt) Ltd	Brokerage House was PENALIZED and WARNED	Rs.20,000/-	25-Oct-19	ACTIVE
	347 350	Amer Securities (Pvt) Ltd Guirez Securities (Pvt) Ltd		Rs.20,000/-		ACTIVE ACTIVE TRADING TERMIN
115 116 117	347 350	Amer's Securities (Pref. Ltd. Guirez Securities (Pref.) Ltd.  PERVEZ AHMED CAPITAL (PRIVATE) LIMITED	Brokerage House was PERALIZED and WARNED Brokerage House was WARNED SWITCHING-OFF OF TRADING TERMINALS	Rs.20,000/-	25-Oct-19 21-Oct-19 7-Oct-19	ACTIVE ACTIVE TRADING TERMIN SUSPENDED
115 116 117	347 350 189 62	Amer Securities (Pvd) Ltd  Louise Securities (Pvd) Ltd  Perviz America (Pvd) Ltd  Perviz America (Provint) Limited  We Financial Services Limited	Brokerage House was PRINALIZED and WARNED Brokerage House was WARNED SWITCHING-OFF OF TRADING TERMINALS Switching-off of trading terminals	Rs.20,000/-	25-0ct-19 21-0ct-19 7-0ct-19 11-5ep-19	ACTIVE ACTIVE TRADING TERMIN SUSPENDED ACTIVE
115 116 117 118 119	347 350 189 62 490	Amer's Securities (Pref. Ltd. Guirez Securities (Pref.) Ltd. PERVEZ AHMED CAPITAL (PRIVATE) LIMITED	Brokerage House was FEMALTID and WARNED  Brokerage House was VANNED  SWITCHING-OFF OF TRADINGS TERMINALS  SWITCHING-OFF OF Trading Terminals  Switching-off of trading terminals  Switching-off of trading terminals	Rs.20,000/-	25-Oct-19 21-Oct-19 7-Oct-19 11-Sep-19 16-Sep-19	ACTIVE ACTIVE TRADING TERMIN SUSPENDED ACTIVE ACTIVE
115 116 117	347 350 189 62	Amer Securities (Pvd) Ltd  Louise Securities (Pvd) Ltd  Perviz America (Pvd) Ltd  Perviz America (Provint) Limited  We Financial Services Limited	Brokerage House was PRINALIZED and WARNED Brokerage House was WARNED SWITCHING-OFF OF TRADING TERMINALS Switching-off of trading terminals	Rs.20,000/-	25-0ct-19 21-0ct-19 7-0ct-19 11-5ep-19	ACTIVE ACTIVE TRADING TERMIN SUSPENDED ACTIVE ACTIVE ACTIVE
115 116 117 118 119 120	347 350 189 62 490 485	Amer Sourities (Pri) tid  Guires Securities (Pri) tid  PRIVIZ AMMID CAPITAL (PRIVATE) LIMITED  WE FIRANCE Service Limited  ANA Equation (Film)	Brokerge House was PENALIZED and WARNED Brokerge House was WARNED SWITCHING-OFF OF TRADNO TERMINALS SWITCHING-OFF OF TRADNO TERMINALS Switching-off of trading terminals	Rs.20,000/-	25-Oct-19 21-Oct-19 7-Oct-19 11-Sep-19 16-Sep-19	ACTIVE ACTIVE TRADING TERMIN SUSPENDED ACTIVE ACTIVE ACTIVE APPLIED FOR SURRENDER
115 116 117 118 119 120	347 350 189 62 490 485	Amer Securities (Pd) US Glinder Securities (Pd) US Glinder Securities (Pd) US PADUZ AMMID CAPITA, (PRIVATS) LIMITED NOT Financial Securities Limited Securities (Pd) Limited Manage Ferhald Securities (Pd) Limited MA Securities (Private) Limited	Brokerge House was PERALIZED and WARNED Brokerge House was WARNED SWITCHING-OFF OF TRADRIG TERMINALS SWITCHING-OFF OF TRADRIG TERMINALS Switching-off of trading terminals Switching-off of trading terminals Switching-off of trading terminals		25-Oct-19 21-Oct-19 7-Oct-19 11-Sep-19 16-Sep-19 19-Sep-19	ACTIVE ACTIVE TRADING TERMIN SUSPENDED ACTIVE ACTIVE ACTIVE APPLIED FOR SURRENDER APPLIED FOR
115 116 117 118 119 120 121	347 350 189 62 490 485 237	Anner Securities (Pri) Ltd  Gulrez Securities (Pri) Ltd  Gulrez Securities (Pri) Ltd  PEPUZ AMMED CAPITAL (PRIVATS) LIMITED  WIT Financial Services United  BABA Equines (Pri) Limited  BABA Securities (Pri) Limited  And Securities (Private) Limited  Reliance Securities Limited	Brokerage House was PENALIZED and WARRING Brokerage House was WARRING SWITCHING-OFF OF TRADING TERMINALS		25-Oct-19 21-Oct-19 7-Oct-19 11-Sep-19 16-Sep-19 19-Sep-19 16-Jul-19	ACTIVE ACTIVE TRADING TERMIN SUSPENDED ACTIVE ACTIVE ACTIVE ACTIVE APPLIED FOR SURRENDER APPLIED FOR SURRENDER
115 116 117 118 119 120 121 122	347 350 189 62 490 485 237	Amer Securities (PH) US  Gliefer Securities (PH) US  AMERICA SERVICE (PH) US  WE POINCE SERVICE (PH) US  WE POINCE SERVICE US  MARK Spales (PH) United  Reliance Securities (Imited  Orecode Spales United	Brokerage Howards was PERALIZED and WARRING Brokerage Howard was WARRING SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS Switching-off of trazing terminals		25-Oct-19 21-Oct-19 7-Oct-19 11-Sep-19 16-Sep-19 19-Sep-19 16-Jul-19 18-Jun-19 26-Jun-19	ACTIVE ACTIVE ACTIVE TRADING TERMIN SUSPENDED ACTIVE ACTIVE ACTIVE APPLIED FOR SURRENDER APPLIED FOR SURRENDER APPLIED FOR APPLIED FOR APPLIED FOR ACTIVE
115 116 117 118 119 120	347 350 189 62 490 485 237	Anner Securities (Pri) Ltd  Gulrez Securities (Pri) Ltd  Gulrez Securities (Pri) Ltd  PEPUZ AMMED CAPITAL (PRIVATS) LIMITED  WIT Financial Services United  BABA Equines (Pri) Limited  BABA Securities (Pri) Limited  And Securities (Private) Limited  Reliance Securities Limited	Brokerage House was PENALIZED and WARRING Brokerage House was WARRING SWITCHING-OFF OF TRADING TERMINALS		25-Oct-19 21-Oct-19 7-Oct-19 11-Sep-19 16-Sep-19 19-Sep-19 16-Jul-19	ACTIVE ACTIVE ACTIVE TRADING TERMIN SUSPENDED ACTIVE ACTIVE ACTIVE APPLIED FOR SURRENDER APPLIED FOR SURRENDER ACTIVE ACTIVE ACTIVE
115 116 117 118 119 120 121 122	347 350 189 62 490 485 237	Amer Securities (Phyl 15d Gelinet Securities (Phyl 15d Gelinet Securities (Phyl 15d PARVIZ AMMED CAPITAL (PROVATS) (IMMTED WIST PROMOTED (Phyl 10mTed SARA (Spainer (Spainer (Phyl 10mTed Sara (Spainer (	Brokerage Howards was PERALIZED and WARRING Brokerage Howard was WARRING SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS Switching-off of trazing terminals		25-Oct-19 21-Oct-19 7-Oct-19 11-Sep-19 16-Sep-19 19-Sep-19 16-Jul-19 18-Jun-19 26-Jun-19	ACTIVE ACTIVE ACTIVE TRADING TERMIN SUSPENDED ACTIVE ACTIVE ACTIVE APPLIED FOR SURRENDER APPLIED FOR SURRENDER ACTIVE ACTIVE ACTIVE ACTIVE APPLIED FOR ACTIVE APPLIED FOR
115 116 117 118 119 120 121 122 123 124 125	347 350 189 62 490 485 237 12 58 108	Amer Securios (Pol 104  Genter Securios (Pol 104  PEROEZ AMADO CAPTAL, (PROATS) LIMITED  WE Faces of Services (Immedia  Self Registers (Pol 104)  Asset Securios (Pol 104)  Asset Securios (Pol 104)  Asset Securios (Pol 104)  Tento Captal (Self Levitor)	Brickrage Notes was PERALIZED and WARMAND Brickrage News WARMAND SWITCHING-OFF OF TRADEND TERMINALS SWITCHING-OFF OF TRADEND TERMINALS SALICIONIS off of trading terminals Switching off of trading terminals		25-Oct-19 21-Oct-19 7-Oct-19 11-Sep-19 16-Sep-19 15-Sep-19 16-Jul-19 16-Jul-19 26-Jun-19 26-Jun-19 16-May-19	ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE APPLIED FOR SURRENDER APPLIED FOR SURRENDER ACTIVE
115 116 117 118 119 120 121 122 123 124 125 126	347 350 189 62 490 485 237 12 58 108 57	Amer Securities (PM) LIS  Geliner Securities (PM) LIS  PRIVIZ AMADI CARPTAI (PRIVATS) (IMPTID  WIS Financial Service Limited  AMA Equilies (PM) Limited  MAN Equilies (PM) Limited  MAS Securities (PM) Limited  MAS Securities (PM) Limited  MAS Securities (Imited  MAS Secu	Brokerge House was PENALIZED and WARNED Brokerge House was WARNED SWITCHING-OFF OF TRADING TERMINALS		25-Oct-19 21-Oct-19 21-Oct-19 7-Oct-19 11-Sep-19 16-Sep-19 16-Sep-19 16-Sep-19 18-Sep-19 18-Sep-19 18-Sep-19 18-Sep-19 18-Sep-19 18-Sep-19 26-Sep-19 18-Sep-19 27-Map-19 27-Map-19	ACTIVE ACTIVE TRADING TERMIN SUSPENDED ACTIVE ACTIVE ACTIVE APPLIED FOR SURRENDER APPLIED FOR ACTIVE APPLIED FOR SURRENDER ACTIVE APPLIED FOR SURRENDER ACTIVE APPLIED FOR SURRENDER
115 116 117 118 119 120 121 122 123 124 125 126 127	347 350 189 62 490 485 237 12 58 108 57 148	Amer Securios (PA) 136 Gentre Securios (PA) 136 Gentre Securios (PA) 148 PADUZ AMADO CAPITA, (PROVATS) LAMITO NE Financia Serces Limited Securios Finhed Securios (PA) Limited Mes Securios (PA) Limited Mes Securios (PA) Limited And Securios (PA) Limited And Securios (PA) Limited And Securios (PA) Limited And Securios (PA) Limited Objects (PA) Limited	Brokerage House was PENALIZED and WARMED Brokerage House was WARMED SWITCHING-OFF OF FRADRIG TERMINALS SWITCHING-OFF OF FRADRIG TERMINALS SWITCHING-OFF OF TRADRIG TERMINALS SWITCHING off of Tradrig terminals The Enderge House was Addresd The Brokerage House was Addresd		25 Oct.19 21 Oct.19 7 Oct.19 11 Sep.19 16 Sep.19 18 Sep.19 16 Jul 19 26 Jun 19 26 Jun 19 16 May 19 27 May 19 30 Apr.19	ACTIVE APPLIED FOR SURRENDER APPLIED FOR SURRENDER ACTIVE
115 116 117 118 119 120 121 122 123 124 125 126 127 128	347 350 189 62 490 485 237 12 58 108 57 148 187	Amer Securities (First 154  Monte Securities (First 154  PRINTE AMMED CANTEL (FIRSTATE) (AMTED  WIT Financial Services Limited  AMAR Equities (First 1) Limited  Visions 2 Firstand Securities (First 1) Limited  Miscourities (Firstand 1) Limited	Brokerge House was PENALIZED and WARNED Brokerge House was WARNED SWITCHING-OFF OF TRADING TERMINALS		25-Oct.19 21-Oct.19 21-Oct.19 7-Oct.19 16-Sep.19 16-Sep.19 16-Sep.19 16-Sep.19 16-Sep.19 16-Sep.19 16-Sep.19 16-Sep.19 16-May.19 26-Sun.19 26-Sun.19 26-Sun.19 27-May.19 30-Apr.13	ACTIVE ACTIVE TRADING TERMIN SUSPENDED ACTIVE ACTIVE ACTIVE APPLIED FOR SURRENDER APPLIED FOR ACTIVE APPLIED FOR SURRENDER ACTIVE APPLIED FOR SURRENDER ACTIVE APPLIED FOR SURRENDER
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129	347 350 189 62 490 485 237 12 58 108 57 148 187 153 56	Amer Securios (PA) US  divides Securios (PA) US  divides Securios (PA) US  AMANUE AMANUE AMANUE AMANUE AMANUE  MARINES (PA) CANTA (APRIANTE) LAMITED  MARINES (PA) CANTA (APRIANTE) LAMITED  MARINES (PA) CANTA (APRIANTE)  MARINES (PA) CANTA (PA) CANTA (APRIANTE)  MARINES (PA) CANTA (PA) CANTA (PA) CANTA (PA)  MARINES (PA) CANTA (PA	Brokerage House was PENALIZED and WARMED Brokerage House was WARMED SWITCHING-OFF OF FRADRIG TERMINALS SWITCHING-OFF OF FRADRIG TERMINALS SWITCHING-OFF OF TRADRIG TERMINALS SWITCHING off of Tradrig terminals The Enderge House was Addresd The Brokerage House was Addresd		25 Oct 19 25 Oct 19 7 Oct 19 11 Sep 19 16 Sep	ACTIVE APPLIED FOR SURRENDER APPLIED FOR SURRENDER ACTIVE
115 116 117 118 119 120 121 122 123 124 125 126 127 128	347 350 189 62 490 485 237 12 58 108 57 148 187	Amer Securities (First 154  Monte Securities (First 154  PRINTE AMMED CANTEL (FIRSTATE) (AMTED  WIT Financial Services Limited  AMAR Equities (First 1) Limited  Visions 2 Firstand Securities (First 1) Limited  Miscourities (Firstand 1) Limited	Brickrage Hooks was PENALIZED and WARMED Brickrage Howe WARMED Brickrage How WARMED SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS SWITCHING OFF of trading terminals The Brickrage Howe was Addited The Brickrage Howe was Addited The Brickrage House was Addited The Brickrage House was Addited		25-Oct.19 21-Oct.19 21-Oct.19 7-Oct.19 16-Sep.19 16-Sep.19 16-Sep.19 16-Sep.19 16-Sep.19 16-Sep.19 16-Sep.19 16-Sep.19 16-May.19 26-Sun.19 26-Sun.19 26-Sun.19 27-May.19 30-Apr.13	ACTIVE ACTIVE TRADING TERMIN SUSPENDED ACTIVE ACTIVE ACTIVE APPLIED FOR SURRENDER APPLIED FOR SURRENDER ACTIVE
115 116 117 118 119 120 121 122 123 124 125 126 127 127 129 130	347 350 189 62 490 485 237 12 58 108 187 153 56 199 212	Amer Securities (Phys L18  General Securities (Phys L18  PERVIZ AMMDD CAPTEA (PRIVATS) LIMITED  WE Financial Service to Limited  MAR Equation (Phys Limited  MAR Equation (Phys Limited  MAR Securities (Phys Limited  M	Brokerage House was PENALIZED and WARNESS Brokerage House was WARNESS Brokerage House was WARNESS SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS SWITCHING off of trading terminals The Brokerage House was Advised		25 Oct 19 25 Oct 19 7 Oct 19 11 Sep 19 16 Sep	ACTIVE  ACTIVE  TRADING TERMIN SUSPENDED  ACTIVE  ACTIVE  ACTIVE  APPILED FOR SURRENDER  APPILED FOR SURRENDER  ACTIVE
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 131	347 350 189 62 490 485 237 12 58 108 57 148 187 153 56	Amer Securities (Pink) 134  Gentre Securities (Pink) 134  PRIVITE AMMITO CAPTAL (PINKATE) LAWITO  WE Franced Services (Limited  Mark Egalesis (Pink) Limited  Mark Egalesis (Pink) Limited  Mark Egalesis (Pink) Limited  Mit Securities (Pink) Limited  Mit Securities (Pink) Limited  Mit Securities (Pink) Limited  Mit Securities (Pink) Limited  Pink Egalesis Limited  Americ Limited  Pink Egalesis Limited  Pink Egalesis Limited  Pink Egalesis (Limited  Pink Egalesis Limited  Pink Egalesis (Limited  Pink Egalesis (Limit	Brokerage House was PENALIZED and WARNESS Brokerage House was WARNESS Brokerage House was WARNESS SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS SWITCHING off of trading terminals The Brokerage House was Advised		25-Oct-19 21-Oct-19 21-Oct-19 21-Oct-19 11-5-op-19 11-5	ACTIVE  ACTIVE  ACTIVE  TRADING TERMIN SUSPENDED  ACTIVE  ACTIVE  ACTIVE  ACTIVE  APPLIED FOR SURRENDER  ACTIVE
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130	347 350 189 62 490 485 237 12 58 108 187 153 56 199 212	Amer Securities (Phys L18  General Securities (Phys L18  PERVIZ AMMDD CAPTEA (PRIVATS) LIMITED  WE Financial Service to Limited  MAR Equation (Phys Limited  MAR Equation (Phys Limited  MAR Securities (Phys Limited  M	Brickrage Hoose was PERALIZED and WARRING Brickrage Howe WARRING SWITCHING-OF OF TRADING TERMINALS SWITCHING-OF OF TRADING TERMINALS SWITCHING-OF OF TRADING TERMINALS SWITCHING-OF CATURING TERMINALS SWITCHING-OF OF trading terminals Switching-off of trading terminals The Brickrage House was Advised		25 Oct 19 25 Oct 19 7-Oct 19 11-Sep-19 16-Sep-19 18-Sep-19 18-Jun-19 26-Jun-19 26-Jun-19 16-May-19 27-May-19 30-Apr-19 30-Apr-19 30-Apr-19 30-Apr-19 30-Apr-19	ACTIVE  ACTIVE  TRADING TERMIN SUSPENDED  ACTIVE  ACTIVE  ACTIVE  ACTIVE  APPILED FOR SURRENDER  ACTIVE
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133	347 350 189 62 490 485 237 12 58 108 57 148 153 56 199 212 221	Amer Securities (Polit 18  General Securities (Polit 18  PRINCE AMADO CAPPEL, (PRINCE) LAMITIO  WE Excess of Services (Immine Security (Securities) (Politics)  WE Excess of Services (Immine Securities)  WE Excess of Services (Immine Securities)  WE Excess of Services (Immine Securities (Immine Securities (Immine Securities (Immine Securities (Immine)	Brokerage House was PERALIZED and WARNED Brokerage House was WARNED SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS Switching-off of trazing terminals The Brokerage House was Advised		25 Oct 19 21 Oct 19 7 Oct 19 11 Sep 19 16 Sep 19 16 Sep 19 16 July 19 16 July 19 26 Jun 19 26 Jun 19 27 May 19 28 Agr 19 38 Agr 19	ACTIVE  ACTIVE  TRADING TERMIN SUSPENDED  ACTIVE  ACTIVE  ACTIVE  ACTIVE  APPLIED FOR  SURRENDER  ACTIVE
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134	347 350 189 62 490 485 237 12 58 108 108 187 148 187 153 56 199 212 221 228 275	Amer Securities (PM) US  Gentre Securities (PM) US  Gentre Securities (PM) US  ME Francois Services (PM) US  ME Francois Services (Institute  ME Francois Services (Institute  ME Securities (PM) Userset  Me Securities (PM) User	Brokerage House was PENALIZED and WARMED Encharage House was WARMED SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS SANCTIONS of Trading terminals Switching off or Trading terminals The Description of Trading terminals The Brokerage House was Advised		25 Oct 39 21-Oct 39 7-Oct 19 11-Sep 19 16-Sep	ACTIVE ACTIVE TRADING TERMINI SUSPENDED ACTIVE ACTI
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133	347 350 189 62 490 485 237 12 12 58 108 157 133 56 199 212 221 221	Amer Securities (Priot 154  Metre Securities (Priot 154  PERIOT AMARD CAPTAL (PRIOATS) LAMITED  WE FIGURE SECURITIES (United Securities (Priot ) Limited  Man Securities (Priot ) Limited  MA Securities (Priot ) Limited  For Captal Securities (Priot Limited)  For Captal Securities (Priot Limited)  For Captal Securities (Priot Limited)	Brickrage House was PERALIZED and WARMSON Brickrage House was WARMSON Brickrage House was WARMSON SWITCHING-OF OF TRADING TERMINALS SWITCHING-OF OF TRADING TERMINALS SWITCHING OF Grading terminals Switching off of trading terminals The Endown Switching off of Switching off of Terminals The Endown Switching off of Switching off of Terminals The Endown Switching off of Terminals The Endown Switching off of Terminals The Endown Switching of Terminals		25 Oct 19 21 Oct 19 7 Oct 19 11 Sep 19 16 Sep	ACTIVE  ACTIVE  TRADING TERMIN SUSPENDED  ACTIVE  ACTIVE  ACTIVE  ACTIVE  APPLIED FOR  SURRENDER  ACTIVE
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135	347 350 189 62 490 485 237 12 58 108 157 153 56 199 212 221 221 222 225 225 224	Amer Securities (PM) US  Gentre Securities (PM) US  Gentre Securities (PM) US  ME Francois Services (PM) US  ME Francois Services (Institute  ME Francois Services (Institute  ME Securities (PM) Userset  Me Securities (PM) User	Brokerage House was PENALIZED and WARNING Brokerage House was WARNING SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS Switching off of trading terminals The Brokerage House was Advised		25 Oct 39 21-Oct 39 7-Oct 19 11-Sep 19 16-Sep	ACTIVE ACTIVE TRADING TERMINI SUSPENDED ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE APPUED FOR ACTIVE
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135 135 136	347 350 189 62 690 485 58 108 108 157 148 157 148 157 122 227 221 228 225 228 237	Amer Securities (Polit 158  Gentre Securities (Polit 158  SERVICE AMMITO CAPITAL (PROMITE) LAMITED  WE FIGURE SERVICE (SERVICE)  WE FIGURE SERVICE (SERVICE)  WE FIGURE SERVICE (SERVICE)  WE FIGURE SERVICE (SERVICE)  WE SERVICE SERVICE (SERVICE)  FIRST CAPITAL SERVICE (SERVICE)  FIRST SERVICE SERVICE SERVICE (SERVICE)  FIRST SERVICE S	Brickrage Notes was PERALIZED and WARMED Brickrage Noise was WARMED Brickrage Noise was WARMED SWITCHING-OFF OF TRADING TERMINALS SMITCHING-OFF OF TRADING TERMINALS SMITCHING off of trading terminals The Brickrage Noise was Advised		25 Oct 19 25 Oct 19 7 Oct 19 11 5 690 19 11 5 690 19 16 5 690 19 1	ACTIVE ACTIVE TRADING TEAMING SUSPENDED ACTIVE ACTI
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135 136 137 137 138	347 350 1189 62 490 485 237 12 58 108 57 148 159 127 129 129 129 129 129 129 129 129 129 129	Amer Securities (Private) LIMITED  MERICA SECURITIES (PRIVATE) (MANTED  MERICA SECURITIES (MANTED  MERICA	Brokerage House was PENALIZED and WARNING Brokerage House was WARNING SWITCHING OFF OF TRADING TERMINALS  The Brokerage House was Advised		25 Oct 19 21 Oct 19 7 Oct 19 11 Sep 19 16 Sep 19 17 Oct 19 18 Sep	ACTIVE ACTIVE TRADING TERMINI SUSPENDED ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE APPLID FOR ACTIVE APPLID FOR ACTIVE
115 116 117 118 119 120 121 122 123 124 125 126 127 128 130 131 132 133 134 135 136 137 138 139	347 350 189 62 490 485 237 12 58 108 57 148 187 199 212 221 228 275 294 311 410 438	Amer Securios (Pol 1) Id  Gentre Securios (Pol 1) Id  FORMEZ AMARIO CAPITAL (PROATE) LAMITO  WE Excess of Services (Imbine  SEAR) Aguides (Pol Lomine)  Hander Services (Pol Lomine)  Hander Services (Pol Lomine)  Hander Services (Pol Lomine)  Hander Services (Pol Lomine)  Mariones Services (Pol Lomine)  Assistances Services (Pol Lomine)  Assistances Services (Pol Lomine)  Assistances (Pol Lomine)  Control Copius (Pol Lomine)  Control Copius (Services (Pol Lomine)  Control Copius Services (Pol Lomine)  Control Copius Services (Pol Lomine)  Hander (Pol Lomine)  Mariones (Pol Lomine)  Assistances (Pol Lomine)  Mariones (Pol Lomine)  Mariones (Pol Lomine)  Mariones (Pol Lomine)  Assistances (Pol Lomine)  Mariones (Pol Lomine)  Mariones (Pol Lomine)  Assistances (Pol	Brickrage Nose was PENALIZED and WARMED Enclarage Nose was WARMED SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS SINCIPLING off of trading terminals Switching off of trading terminals The Brickrage Notes was Advised The Brickrage Not		25 Oct 19 21 Sep 19 21 Sep 19 21 Sep 19 22 Sep 19 23 Sep 19 24 Sep 19 25 Sep 19 25 Sep 19 26 Sep 19 27 Sep 19 28 Sep	ACTIVE  ACTIVE  TRADING TERMINI SUSPENDED TERMINI ACTIVE  ACTIVE  ACTIVE  ACTIVE  ACTIVE  APPULD FOR  SURRENDER  SURRENDER  ACTIVE  AC
115 116 117 118 119 120 121 122 123 124 125 126 127 128 130 131 132 133 134 135 136 137 138 138 139 140	347 350 1189 62 490 485 237 12 58 108 57 148 155 199 221 222 228 275 294 410 410 438 448	Amer Securities (Prior) Ltd  Well Securities (Prior) Ltd  PRIORIZ AMMITO CANTAL (PRIORITY) LIMITED  WEI Francas (Invest Limited  Mark Egypties (Priority) Limited  Mark Egypties Limited  Priorities (Egypties Limited  Mark Egypties (Priority) Limited  Mark Egypties (Priority) Limited  Mark Egypties (Priority) Limited  Mark Egypties (Limited Limited  Mark Egypties (Limited Limited  Mark Egypties (Limited Limited  Mark Egypties (Limited Priority) Limited  Albeit & Company (Priority) Limited  Albeit & Company (Priority) Limited  Parks Egypties (Priority) Limited	Brickrage House was PERALIZED and WARMSON Brickrage House was WARMSON Brickrage House was WARMSON SWITCHING-OF OF TRADING TERMINALS SMITCHING-OF OF TRADING TERMINALS SMITCHING off of trading terminals The Endown Smitching off of Smitching off of the Smitching of the Smitchi		25 Oct 39 21 Oct 19 22 Oct 19 23 Oct 19 24 Oct 19 25 Oct	ACTIVE  ACTIVE  TRADING TEMMIN  ACTIVE  ACTIVE
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135 137 138 139 140	347 350 62 69 690 485 237 12 58 108 57 148 187 199 212 221 228 275 294 311 410 438	Amer Securios (Pol 1) Id  Gentre Securios (Pol 1) Id  FORMEZ AMARIO CAPITAL (PROATE) LAMITO  WE Excess of Services (Imbine  SEAR) Aguides (Pol Lomine)  Hander Services (Pol Lomine)  Hander Services (Pol Lomine)  Hander Services (Pol Lomine)  Hander Services (Pol Lomine)  Mariones Services (Pol Lomine)  Assistances Services (Pol Lomine)  Assistances Services (Pol Lomine)  Assistances (Pol Lomine)  Control Copius (Pol Lomine)  Control Copius (Services (Pol Lomine)  Control Copius Services (Pol Lomine)  Control Copius Services (Pol Lomine)  Hander (Pol Lomine)  Mariones (Pol Lomine)  Assistances (Pol Lomine)  Mariones (Pol Lomine)  Mariones (Pol Lomine)  Mariones (Pol Lomine)  Assistances (Pol Lomine)  Mariones (Pol Lomine)  Mariones (Pol Lomine)  Assistances (Pol	Brickrage Nose was PENALIZED and WARMED Enclarage Nose was WARMED SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS SINCIPLING off of trading terminals Switching off of trading terminals The Brickrage Notes was Advised The Brickrage Not		25 Oct 19 21 Sep 19 21 Sep 19 21 Sep 19 22 Sep 19 23 Sep 19 24 Sep 19 25 Sep 19 25 Sep 19 26 Sep 19 27 Sep 19 28 Sep	ACTIVE ACTIVE TRADUNG TERMINOTE ACTIVE ACTIV
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135 136 137 138	\$477 \$50 62 460 465 237 12 58 108 57 148 151 151 152 221 221 222 223 246 275 247 247 247 247 247 247 247 247	Amer Securities (Priot 104  More Securities (Priot 104  Mo	Brickrage Hoose was PRIAMIZED and WARMED Brickrage Hoose was WARMED SWITCHING-OF OF TRADING TERMINALS SWITCHING-OF OF TRADING TERMINALS SWITCHING-OF OF TRADING TERMINALS SWITCHING off of trading terminals The Brickrage Hoose was Advised		25 Oct 19 25 Oct 19 7 Oct 19 15 Sep	ACTIVE  ACTIVE  TRADING TEMMIN  ACTIVE  ACTIVE
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 131 133 134 135 137 138 139 139 131 131 131 131 131 131 131 131	\$477 \$50 62 640 640 645 58 108 58 108 57 148 149 141 151 152 162 163 164 165 165 165 165 165 165 165 165	Amer Securities (Privat I)  American Securities (Privat I)  AMERICAN CONTAL (PRIVATI) LIMITED  WE France of Services (Insteed  Mark Egypties (Private) Limited  Privat Egypties (Insteed Insteed  Mark Egypties (Private) Limited  Albasia & Company (Private) Limited  Privat Edypties (Egypties (Private) Limited  Privat Egypties (Egypties (Private) Limited  Albasia & Company (Private) Limited	Brickrage Notes was PRIVALIZED and WARMSON Entokarpas Noise was WARMSON SWITCHING-OFF OF TRADENG TERMINALS Switching-off of trading terminals The Endocarpe House was Advised The Endocarpe House was Advised The Wardson Switching-off of Switching The Switching-Off Switc		25 Oct 19 25 Oct 19 7 Oct 19 15 Sep 19 15 Sep 19 15 Sep 19 16 Sep	ACTIVE ACTIVE TRADING TERMING
115 116 117 118 119 120 121 122 123 124 125 126 127 128 130 131 131 133 134 135 137 138 139 140 141	\$477 \$50 \$159 \$60 \$60 \$60 \$60 \$60 \$60 \$60 \$60	Amer Securities (Priot 104  Micros Securities (Priot 104  PRIOTZ AMARTO CARPTAL (PRIOATS) LIMITED  WEI FIREARD CARPTAL (PRIOATS) LIMITED  WEI FIREARD SECURITIES (PRIOATS) LIMITED  WEI FIREARD SECURITIES (PRIOATS) LIMITED  MINISTRA PRIOA SECURITIES (PRIOATS) LIMITED  MINISTRA PRIOA SECURITIES (PRIOATS) LIMITED  MINISTRA SECURITIES (PRIVATE) LIMITED  MINISTRA SECURITIES (PRIVATE) LIMITED  MINISTRA SECURITIES (PRIVATE) LIMITED  MINISTRA	Brickrage House was PENALIZED and WARNED Brickrage House was WARNED SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS SWITCHING off of trading terminals The Endorse Switching off of trading terminals Switching off of trading terminals The Endorse Switching of the		25 Oct 19 21 Oct 19 7 Oct 19 7 Oct 19 11 5 500 19 16 500	ACTIVE ACTIVE TRADING TERMIN SUSPENDING ACTIVE ACTI
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135 136 137 138 139 140 141	347 350 350 62 63 690 485 12 12 13 108 57 148 157 148 157 148 157 148 147 149 212 221 228 275 241 241 248 258 269 278 278 278 278 278 278 278 278	Amer Securities (Priot 104  Amer Securities (Priot 104  SERVICE AMAND CAPTAL (PRIOATS) LAWITO  WILL ELECTRONIC SERVICE (STATE )  WILL ELECTRONIC SERVICE SERVICE (STATE )  WILL ELECTRONIC SERVICE SERVI	Brickrage Nose was PENALIZED and WARMED Enclarage Nose was WARMED SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS SINCIPLING off of trading terminals Switching off of trading terminals The Bricking Note on the Advised The Bricking Note was Advised The Bricking Note was Advised The Bricking Note was Advised The Bricking Note on Warded The Bricking Note was Advised The Robert Note Note Note Note Note Note Note Not		25 - Oct - 19 21 - Oct - 19 7 - Oct - 19 15 - Sep - 19 15 - Sep - 19 15 - Sep - 19 16 - Sep - 19 26 - Sep - 19 26 - Sep - 19 26 - Sep - 19 27 - May - 19 28 - Sep - 19 28 - Sep - 19 29 - Sep - 19 20 - Sep - 19 30	ACTIVE  RACING TEAMING THE ACTIVE A
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 131 131 132 133 134 135 137 138 139 140 141 142	\$47 \$50 60 60 60 60 60 60 60 60 60 6	Amer Securities (Private) Limited  PRIVATE AMMATIC CAPITAL (PRIVATE) LIMITED  WE Financial Services Limited  AMARI Egalesia (Private) Limited  Maria Capital Capital Capital Capital Capital  Maria Capital Capital Capital  Maria Capital Capital  Maria Capital Capital  Maria Cap	Brickrage Hooks was PERMILIED and WARMED  Brickrage Hooks was WARMED  SWITCHING-OF OF TRADING TERMINALS  SWITCHING-OF OF TRADING TERMINALS  SWITCHING OF OF TRADING TERMINALS  SWITCHING OFF OF TRADING TERMINALS  THE WARMEN OFF OFF OFF OFF OFF OFF OFF OFF OFF OF		25 Oct - 19 25 Oct - 19 7 Oct - 19 15 Sep - 19 16 Sep - 19	ACTIVE ACTIVE TRADING TERMINOTER ACTIVE
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 131 132 133 134 135 136 137 140 141 142	347 350 350 62 63 69 685 237 148 57 148 187 197 148 197 197 221 228 228 227 228 465 237 66 67 68 69 69 69 69 69 69 69 69 69 69	Amer Securities (Priot 154  Chiefer Securities (Priot 154  Chi	Brokerage Nose was PENALIZED and WARMED Enclarage Nose was WARMED SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS SANCTIONS of Trading terminals Switching off of Trading terminals The Declarage Notes of Trading terminals The Brokerage Notes was Advised The Brokerage No		25 Oct 19 21 Oct 19 7 Oct 19 11 Sep 19 11 Sep 19 15 Sep 19 15 Sep 19 16 Sep	ACTIVE ACTIVE TRADING TERMING
115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135 136 137 138 139 140 141	\$47 \$50 60 60 60 60 60 60 60 60 60 6	Amer Securities (Private) Limited  PRIVATE AMMATIC CAPITAL (PRIVATE) LIMITED  WE Financial Services Limited  AMARI Egalesia (Private) Limited  Maria Capital Capital Capital Capital Capital  Maria Capital Capital Capital  Maria Capital Capital  Maria Capital Capital  Maria Cap	Brickrage Hooks was PERMILIED and WARMED  Brickrage Hooks was WARMED  SWITCHING-OF OF TRADING TERMINALS  SWITCHING-OF OF TRADING TERMINALS  SWITCHING OF OF TRADING TERMINALS  SWITCHING OFF OF TRADING TERMINALS  THE WARMEN OFF OFF OFF OFF OFF OFF OFF OFF OFF OF		25 Oct - 19 25 Oct - 19 7 Oct - 19 15 Sep - 19 16 Sep - 19	ACTIVE ACTIVE TRADING TERMINOTER ACTIVE

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
150	158	Royal Securities (Private) Limited	The Brokerage House was Warned		8-Apr-19	ACTIVE
151 152	523 55	Falki Capital Private Limited	The Brokerage House was Warned The Brokerage House was Warned		5-Apr-19 3-Apr-19	ACTIVE ACTIVE
153	221	Shajar Capital Pakistan Private Limited Millennium Brokerage (Private)Emited	The Brokerage House was PENALIZED and WARNED	Rs.691.500/-	3-Apr-19	ACTIVE
154	266	Shaffi Securities (Pvt) Ltd	The Brokerage House was Warned		2-Apr-19	ACTIVE
155	120	Alfalah Securities (Private) Limited	The Brokerage House was Warned		2-Apr-19	ACTIVE
156	140	M.M. Securities (Private) Limited	The Brokerage House was Warned		2-Apr-19	ACTIVE
157	150	Askari Securities Limited	The Brokerage House was Warned		2-Apr-19	ACTIVE
158	466	Unex Securities (Private) Limited	The Brokerage House was Warned		2-Apr-19	APPLIED FOR SURRENDER
159	223	Maan Securities (Private) Limited  Maan Securities (Pvt.) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40.000/-	27-Mar-19	ACTIVE
	42					NOTICE FOR
160		ICON Capital Management (Pvt) Ltd.	The Brokerage House was WARNED		27-Mar-19	SURRENDER
161	10	Sakarwala Capital Sec.(Pvt.) Ltd	The Brokerage House was WARNED		27-Mar-19	ACTIVE
162	100		The Brokerage House was Advised		20-Mar-19	APPLIED FOR
163	176	Elixir Securities Pak. (Pvt.) Ltd.		Rs 50 000/-	18-Mar-19	SURRENDER
164	102	Muhammad Salim Kasmani Securities (Private)Bimited  Growth Securities (Pvt.) Limited	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	18-Mar-19 18-Mar-19	ACTIVE ACTIVE
165	91	Intermarket Securities Limited	The Brokerage House was Warned and Prinsing a Perianty was imposed	12.20,000)	18-Mar-19	ACTIVE
166	284	ASA Stocks Private Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 533,500/-	1-Mar-19	ACTIVE
167	229	Fairway Securities Private Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 995,000/-	1-Mar-19	ACTIVE
168	267	Bismillah Securities (Pvt.) Limited	The Brokerage House was WARNED		1-Mar-19	ACTIVE
169	179	Continental Capital Management (Pvt.) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 20,000/-	1-Mar-19	ACTIVE
170	46	Fortune Securities Limited	The Brokerage House was Advised	1 .	26-Feb-19	ACTIVE
171	297 28	MSD Capital Equities (Pvt) Ltd. Ghani Osman Securities (Pvt.) Ltd.	The Brokerage House was WARNED The Brokerage House was WARNED	+-:-	26-Feb-19 20-Feb-19	ACTIVE
173	143	Saao Capital (Private) Ltd.	The Brokerage House was WARNED		20-Feb-19	ACTIVE ACTIVE
				<del>                                     </del>		SURRENDERED /
174	517	South Asian Securities (Pvt.) Ltd.	Switching-off of trading terminals		18-Feb-19	RELINQUISHED
175	224	K & I Global Capital (Private.) Limited.	The Brokerage House was Warned		22-Jan-19	ACTIVE
176	275	Rahat Securities Limited	The Brokerage House was Warned		22-Jan-19	ACTIVE
177	332	Trust Securities & Brokerage Limited.	The Brokerage House was Warned		22-Jan-19	ACTIVE
178	337	A B M Securities (Private) Limited	The Brokerage House was Warned		22-Jan-19	ACTIVE
179	290	K.H.S. Securities (Private) Limited	Suspension of Trading Terminals		16-Jan-19	ACTIVE
180	309	HMC Stocks (Private) Limited.	Suspension of Trading Terminals		16-Jan-19	ACTIVE APPLIED FOR
181	12	Reliance Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.430,000/-	14-Jan-19	SURRENDER
182	239	Avub Chaudhry Investments (Private) Limited.	The Brokerage House was Warned		14-Dec-18	ACTIVE
						APPLIED FOR
183	261	M.F. Stocks (Private) Limited.	The Brokerage House was Warned		14-Dec-18	SURRENDER
184	288	Javed Iqbal Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	14-Dec-18	ACTIVE
185	420	Progressive Inves. Management (Private) Limited.	The Brokerage House was Warned		14-Dec-18	ACTIVE
186	497	JSK Securities Limited	The Brokerage House was Warned		14-Dec-18	ACTIVE
187 188	256 297	Progressive Securities (Private) Limited  MSD Capital Equities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/- Rs.80,000/-	13-Dec-18 13-Dec-18	ACTIVE
189	36	Time Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed  The Brokerage House was Warned	12.00,000)	12-Dec-18	ACTIVE ACTIVE
190	143	Saao Capital (Private) Limited.	The Brokerage House was Warned		10-Dec-18	ACTIVE
191		Share Center (Private) Limited			10-Dec-18	SURRENDERED /
	211		The Brokerage House was Warned			RELINQUISHED
192	294	Yasir Mahmood Securities (Private) Limited	The Brokerage House was Warned		10-Dec-18	ACTIVE
193	350	Gulrez Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	10-Dec-18	ACTIVE
194	28	Ghani Osman Securities (Private.) Limited. Surmawala Securities (Private) Limited.	The Brokerage House was Warned		7-Dec-18 6-Dec-18	ACTIVE
195	35 62	Surmawata Securities (Private) Limited.  WE Financial Services Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs.140.000/-	5-Dec-18 22-Nov-18	ACTIVE ACTIVE
197	124	EFG Hermes Pakistan Limited	The Brokerage House was Warned and Historian Penalty was imposed	13.140,000)	22-Nov-18	ACTIVE
198	191	Market 786 (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	22-Nov-18	ACTIVE
199	432	Spinzer Equities(Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.115,845/-	19-Nov-18	ACTIVE
200	208	RUC Securities (Private.) Limited.	Switching-off of trading terminals	-	16-Nov-18	TRADING TERMINALS SUSPENDED
201	296	MGM Securities (Private) Limited	The Brokerage House was Warned		15-Nov-18	ACTIVE
202	48	Next Capital Limited	The Brokerage House was Warned The Brokerage House was Warned	1	14-Nov-18	ACTIVE
203	181	First Equity Modaraba	The Brokerage House was Warned	1 .	9-Nov-18	ACTIVE
204	286	Dosslani's Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.170,000/-	7-Nov-18	ACTIVE
205	232	Arif Latif Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/-	5-Nov-18	ACTIVE
206	8	Optimus Capital Management (Private.) Limited.	The Brokerage House was Warned		1-Nov-18	ACTIVE
207	145	Adam Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	1-Nov-18	ACTIVE
208 209	186 194	Muhammed Tariq Moti Sec. (Private.) Limited.  MRA Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 20,000/- Rs.120.000/-	1-Nov-18 1-Nov-18	ACTIVE
209	194 24	MRA Securities Limited.  ASDA Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.120,000/- Rs.60,000/-	1-Nov-18 25-Oct-18	ACTIVE ACTIVE
210	77	Best Securities (Private) Limited.	The Brokerage House was Warned and Hinancial Penalty was Imposed  The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	25-Oct-18	ACTIVE
212	121	Salim Sozer Securities (Private.) Limited.	Switching-off of trading terminals	112.40,000)	17-Oct-18	ACTIVE
213	98	Fairtrade Capital Securities (Private.) Limited.	The Brokerage House was Warned	1 .	10-Oct-18	ACTIVE
214	166	Topline Securities Limited.	The Brokerage House was Warned		10-Oct-18	ACTIVE
215	57	First Capital Equities Limited.	Switching-off of trading terminals	1	9-Oct-18	APPLIED FOR
						SURRENDER
216	46	Fortune Securities Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	25-Sep-18	ACTIVE
	183	R.T. Securities (Private.) Limited. Sherman Securities (Private.) Limited.	The Brokerage House was Warned	+ :	25-Sep-18 18-Sep-18	ACTIVE ACTIVE
			The Brokerage House was Warned	1 .	18-Sep-18	
218	6		Cuttables off of tradition translands		19.Cap.19	ACTINE
	6 188 236	Apex Capital Sec. (Private.) Limited.  Techno Fundamental Securities (Private) Limited	Switching-off of trading terminals  The Brokerage House was Warned		18-Sep-18 18-Sep-18	ACTIVE SURRENDERED /

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
221	292	INA Securities (Private) Limited	Switching-off of trading terminals		18-Sep-18	ACTIVE
222	297	MSD Capital Equities (Private) Limited.	Switching-off of trading terminals		18-Sep-18	ACTIVE
223	444	Xpert Securities (Private) Limited.	Switching-off of trading terminals		18-Sep-18	ACTIVE
224	475	CAMCO (Private) Limited	Switching-off of trading terminals		18-Sep-18	ACTIVE
225	94	FDM Capital Securities (Private.)Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.1,000,000/-	14-Sep-18	ACTIVE
226	420	Progressive Inves. Management (Private) Limited.	Restriction on opening of New Clients Account and Sale Side		14-Sep-18	ACTIVE
227	116	Patel Securities (Private.) Limited.	The Brokerage House was Warned		10-Sep-18	ACTIVE
228	212	Horizon Securities Limited.	The Brokerage House was Warned		3-Sep-18	ACTIVE
229	309	HMC Stocks (Private) Limited.	The Brokerage House was Warned		3-Sep-18	ACTIVE
230	438	Fair Edge Securities(Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.100,000/-	3-Sep-18	ACTIVE
231	231	Saima Qaiser Securities (Private) Limited	Switching-off of trading terminals		16-Aug-18	ACTIVE
232	288	Javed Iqbal Securities (Private) Limited	The Brokerage House was Warned		13-Aug-18	ACTIVE
233	346	Strongman Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.150,000/-	13-Aug-18	ACTIVE
234	54	Bawa Securities ( Private. ) Limited.	The Brokerage House was Warned		8-Aug-18	ACTIVE
235	234	Value Stock and Commodities (Private) Limited.	The Brokerage House was Warned		31-Jul-18	ACTIVE
236	228	Al-Haq Securities (Private.) Limited.	The Brokerage House was Warned		27-Jul-18	ACTIVE
237	251	MND Investment (Private) Limited	The Brokerage House was Warned		27-Jul-18	ACTIVE
238	265	Infinite Securities Limited.	The Brokerage House was Warned		27-Jul-18	TRADING TERMINALS SUSPENDED
239	290	K.H.S. Securities (Private) Limited	The Brokerage House was Warned		27-Jul-18	ACTIVE
240	6	Sherman Securities (Private.) Limited.	The Brokerage House was Advised		20-Jul-18	ACTIVE
241	94	FDM Capital Securities (Private.)Limited	The Brokerage House was Advised		20-Jul-18	ACTIVE
242	120	Alfalah Securities (Private.) Limited.	The Brokerage House was Advised		20-Jul-18	ACTIVE
243	410	Zahid Latif Khan Securities (Private.) Limited.	The Brokerage House was Warned		20-Jul-18	ACTIVE
244	442	General Investment & Sec	The Brokerage House was Warned		20-Jul-18	ACTIVE
245	478	Pasha Securities (Private) Limited	The Brokerage House was Warned		20-Jul-18	ACTIVE
246	485	Hamza Farhad Securities (Private) Limited.	The Brokerage House was Warned		20-Jul-18	ACTIVE
247	491	First Street Capital (Private) Limited.	The Brokerage House was Warned		20-Jul-18	ACTIVE
248	44	IGI Finex Securities Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.150,000/-	13-Jul-18	ACTIVE
249	420	Progressive Inves. Management (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 170,000/-	13-Jul-18	ACTIVE

				Amount of		
S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Penalty (If any)	Date of Enforcement Actions	Current Status
			rket Surveillance Department (MSD) :	III anvi		
1 2	169 169	Pearl Securities Limited Pearl Securities Limited	Warned	20,000	1-Jul-21 1-Jul-21	ACTIVE
3	169	Pearl Securities Limited Pearl Securities Limited	Penalty Imposed Penalty Imposed	20,000	1-Jul-21 1-Jul-21	ACTIVE ACTIVE
4	169	Pearl Securities Limited	Penalty Imposed	20,000	1-Jul-21	ACTIVE
5	169	Pearl Securities Limited	Warned	-	1-Jul-21	ACTIVE
6	169	Pearl Securities Limited	Penalty Imposed	18,654	1-Jul-21	ACTIVE
7	045	Bhayani Securities (Private) Limited	Warned	-	28-Jun-21	ACTIVE
8	045 045	Bhayani Securities (Private) Limited Bhayani Securities (Private) Limited	Warned Penalty Imposed	10.000	28-Jun-21 28-Jun-21	ACTIVE ACTIVE
10		Bhayani Securities (Private) Limited	Penalty Imposed	10,000	28-Jun-21	ACTIVE
11		Bhayani Securities (Private) Limited	Penalty Imposed	10,000	28-Jun-21	ACTIVE
12	045	Bhayani Securities (Private) Limited	Warned		28-Jun-21	ACTIVE
13	045	Bhayani Securities (Private) Limited	Penalty Imposed	10,000	28-Jun-21	ACTIVE
14 15	045	Bhayani Securities (Private) Limited	Penalty Imposed	13,053	28-Jun-21 28-Jun-21	ACTIVE
16	121	Bhayani Securities (Private) Limited Salim Sozer Securities (Private) Limited	Warned Warning	- :	28-Jun-21 1-Apr-21	ACTIVE ACTIVE
17	116	Patel Securities (Private) Limited	Warning		2-Apr-21	ACTIVE
18	049	Multiline Securities (Pvt.) Ltd.	Penalty Imposed	10,000	6-May-21	ACTIVE
19	049	Multiline Securities (Pvt.) Ltd.	Penalty Imposed	10,700	6-May-21	ACTIVE
20 21	049	Multiline Securities (Pvt.) Ltd.	Penalty Imposed	10,000	6-May-21	ACTIVE
22	049	Multiline Securities (Pvt.) Ltd. Multiline Securities (Pvt.) Ltd.	Penalty Imposed	10,000	6-May-21 6-May-21	ACTIVE
23	049	Multiline Securities (Pvt.) Ltd. Multiline Securities (Pvt.) Ltd.	Penalty Imposed Penalty Imposed	10,000	6-May-21 6-May-21	ACTIVE ACTIVE
24	049	Multifine Securities (Pvt.) Ltd.	Penalty Imposed	10,000	6-May-21	ACTIVE
25	049	Multiline Securities (Private) Limited	Penalty Imposed	3,280	6-May-21	ACTIVE
26	049	Multiline Securities (Private) Limited	Penalty Imposed	14,615	6-May-21	ACTIVE
27	049	Multiline Securities (Private) Limited	Warning		6-May-21	ACTIVE
28	049	Multifine Securities Limited  Multifine Securities Limited	Penalty Imposed	10,000	6-May-21 6-May-21	ACTIVE
29 30	049	Multiline Securities Limited  Multiline Securities Limited	Penalty Imposed Penalty Imposed	10,000	6-May-21 6-May-21	ACTIVE ACTIVE
31	049	Multiline Securities Limited  Multiline Securities Limited	Penalty Imposed Penalty Imposed	12,520	6-May-21	ACTIVE
32	049	Multiline Securities Limited  Multiline Securities Limited	Penalty Imposed	13,500	6-May-21	ACTIVE
33	116	Patel Securities (Private) Limited	Warning		2-Apr-21	ACTIVE
34		Multiline Securities Limited	Warning		6-May-21	ACTIVE
35	116	Patel Securities (Private) Limited	Warning		2-Apr-21	ACTIVE
36 37	049	Multiline Securities Limited	Warning		6-May-21	ACTIVE
37	049	Multiline Securities Limited Multiline Securities Limited	Warning	13.870	6-May-21 6-May-21	ACTIVE
39	049	Multifine Securities Limited  Multifine Securities Limited	Penalty Imposed Warning	13,870	6-May-21	ACTIVE ACTIVE
40	128	BIPL Securities Limited	Warned		22-Mar-21	ACTIVE
41	145	Adam Securities (Pvt.) Ltd.	Warned		22-Mar-21	ACTIVE
42	145	Adam Securities (Pvt.) Ltd.	Warned		22-Mar-21	ACTIVE
43	162	Aba Ali Habib Securities (Private) Limited	Warned		22-Mar-21	ACTIVE
44 45	102	Growth Securities (Pvt.) Limited  Aba Ali Habib Securities (Private) Limited	Warned		22-Mar-21 22-Mar-21	ACTIVE
45	162 194	Aba Ali Habib Securities (Private) Limited  MRA Securities (Private) Limited	Warned Warned	- :	22-Mar-21 22-Mar-21	ACTIVE ACTIVE
47	145	Adam Securities (Private) Elimed	Warned		22-Mar-21	ACTIVE
48	145	Adam Securities (Pvt.) Ltd.	Advised		22-Mar-21	ACTIVE
49	145	Adam Securities (Pvt.) Ltd.	Advised		22-Mar-21	ACTIVE
50	145	Adam Securities (Pvt.) Ltd.	Warned		22-Mar-21	ACTIVE
51	145	Adam Securities (Pvt.) Ltd.	Warned		22-Mar-21	ACTIVE
52 53	145	Adam Securities (Pvt.) Ltd. Adam Securities (Pvt.) Ltd.	Warned Warned		22-Mar-21 22-Mar-21	ACTIVE ACTIVE
54	102	Growth Securities (Pvt.) Ltd.	Warned	-	22-Mar-21 22-Mar-21	ACTIVE
55	102	Growth Securities (Pvt.) Limited Growth Securities (Pvt.) Limited	Warned		22-Mar-21 22-Mar-21	ACTIVE
56	102	Growth Securities (Pvt.) Limited	Warned		22-Mar-21	ACTIVE
57	102	Growth Securities (Pvt.) Limited	Warned		22-Mar-21	ACTIVE
58	194	MRA Securities (Private) Limited	Warned		22-Mar-21	ACTIVE
59	194	MRA Securities (Private) Limited	Warned	-	22-Mar-21	ACTIVE
60 61	194 194	MRA Securities (Private) Limited MRA Securities (Private) Limited	Warned	- : -	22-Mar-21 22-Mar-21	ACTIVE
62	194	BIPL Securities Limited	Warned Warned	-	22-Mar-21 22-Mar-21	ACTIVE ACTIVE
63	128	BIPL Securities Limited	Warned	-	22-Mar-21	ACTIVE
64	128	BIPL Securities Limited	Warned		22-Mar-21	ACTIVE
65	162	Aba Ali Habib Securities (Private) Limited	Warned	-	22-Mar-21	ACTIVE
66 67	162	Aba Ali Habib Securities (Private) Limited	Warned		22-Mar-21	ACTIVE
67 68	162 149	Aba Ali Habib Securities (Private) Limited	Warned		22-Mar-21	ACTIVE
68 69	149	JS Global Capital Limited Growth Securities (Pvt.) Limited	Warned Warned	- :	22-Mar-21 22-Mar-21	ACTIVE ACTIVE
70	102	Growth Securities (Pvt.) Limited	Warned		22-Mar-21	ACTIVE
71	102	Growth Securities (Pvt.) Limited	Warned		22-Mar-21	ACTIVE
72	145	Adam Securities (Pvt.) Ltd.	Warned	-	22-Mar-21	ACTIVE
73	145	Adam Securities (Pvt.) Ltd.	Warned		22-Mar-21	ACTIVE
74	108	Azee Securities (Pvt.) Ltd.	Penalty Imposed along with confiscation of profits	11,445	6-Mar-20	ACTIVE
75 76	169 108	Pearl Securities Limited Azee Securities (Pvt.) Ltd.	Warned Penalty Imposed along with confiscation of profits	11,140	6-Mar-20 6-Mar-20	ACTIVE ACTIVE
75	108	Azee Securities (Pvt.) Ltd. Pearl Securities Limited	Penalty Imposed along with confiscation of profits  Warned	11,140	6-Mar-20 6-Mar-20	ACTIVE
78	169	Pearl Securities Limited Pearl Securities Limited	Warned	- :	6-Mar-20	ACTIVE
79	155	B & B Securities (Private) Limited	Advised		25-Feb-20	ACTIVE
80	232	Arif Latif Sec (Pvt) Ltd	Warned		15-Nov-19	ACTIVE
81	068	Zafar Securities (Private) Limited	Warned	-	15-Nov-19	ACTIVE
82	350	Gulrez Sec	Warned		15-Nov-19	ACTIVE
83 84		New Peak Securities (Private) Limited	Warned	-	15-Nov-19	ACTIVE
	482 068	New Peak Securities (Private) Limited Zafar Securities (Private) Limited	Warned Warned	1 :	15-Nov-19 15-Nov-19	ACTIVE ACTIVE
85						
85 86	068	Zafar Securities (Private) Limited	Warned		15-Nov-19	ACTIVE

	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
88 89	068 482	Zafar Securities (Private) Limited  New Peak Securities (Private) Limited	Warned Warned		15-Nov-19 15-Nov-19	ACTIVE ACTIVE
90	482	New Peak Securities (Private) Limited	Warned		15-Nov-19	ACTIVE
91 92	232 098	Arif Latif Sec (Pvt) Ltd Fairtrade Capital Securities (Private) Limited	Warned Warned	-	15-Nov-19 4-Oct-19	ACTIVE ACTIVE
93	082	Mayari Securities (Private) Limited	Warned	-	4-Oct-19	ACTIVE
94 95	120 145	Alfalah Securities (Private) Limited  Adam Securities (Pvt.) Ltd.	Stern Warning Warned		29-Jul-19 29-Jul-19	ACTIVE ACTIVE
96	145	Adam Securities (Pvt.) Ltd.	Warned		29-Jul-19	ACTIVE
97 98	145 046	Adam Securities (Pvt.) Ltd. Fortune Securities Limited	Warned Warned	-	29-Jul-19 25-Jul-19	ACTIVE ACTIVE
99	046	Fortune Securities Limited	Warned	- :	25-Jul-19	ACTIVE
100	228 314	Al- Hag Sec Equity Master Sec	Stern Warning Stern Warning	- :	25-Jul-19 25-Jul-19	ACTIVE ACTIVE
102	228	Al- Hag Sec	Confiscation of Profits	2,500	25-Jul-19	ACTIVE
103	149 149	JS Global Capital Limited JS Global Capital Limited	Advice Advice	- :	11-Jul-19 11-Jul-19	ACTIVE ACTIVE
105	191	Market 786 (Private) Limited	Advice		11-Jul-19	ACTIVE
106	018	Ismail Igbal Securities (Pvt.) Limited	Advised		11-Jul-19 10-Jul-19	ACTIVE APPLIED FOR
	012	Reliance Securities Limited	Advised			SURRENDER
108	049	Multiline Securities (Pvt.) Ltd.	Advised		10-Jul-19 10-Jul-19	ACTIVE NOTICE FOR
	042	Icon Capital Management (Private) Limited	Advised			SURRENDER
110 111	142 024	Foundation Securities (Pvt.) Limited ASDA Securities (Private) Limited	Advised Advised	-	10-Jul-19 10-Jul-19	ACTIVE ACTIVE
112	142	Foundation Securities (Pvt.) Limited	Advised		16-Apr-19	ACTIVE
113 114	248 196	Khadim Ali Shah Bukhari Securities (Private) Limited RAH Securities (Private) Limited	Stern Warning Stern Warning	- :	27-Mar-19 27-Mar-19	ACTIVE ACTIVE
115	212	Horizon Securities Limited	Stern Warning		26-Mar-19	ACTIVE
116 117	149 016	JS Global Capital Limited  DJM Securities (Pvt.) Limited	Stern Warning Stern Warning		26-Mar-19 7-Mar-19	ACTIVE ACTIVE
118	094	FDM Capital Securities (Private) Limited	Stern Warning		7-Mar-19	ACTIVE
119 120	144 163	Dattoo Securities (Private) Limited Friendly Securities ( Pvt.) Limited	Stern Warning Confiscation of Profits	214,966	7-Mar-19 7-Mar-19	ACTIVE ACTIVE
121	028	Ghani Osman Securities (Private) Limited	Case Referred to SECP For Review and Necessary Action	. 14,700	26-Feb-19	ACTIVE
122 123	050 058	Arif Habib Limited  Dawood Equities Limited	Case Referred to SECP For Review and Necessary Action Case Referred to SECP For Review and Necessary Action		26-Feb-19 26-Feb-19	ACTIVE ACTIVE
124	166	Topline Securities (Private) Limited	Case Referred to SECP For Review and Necessary Action	-	26-Feb-19	ACTIVE
125 126	001 112	Altaf Adam Securities (Private) Limited Standard Capital Securities (Private) Limited	Advised Advised		19-Feb-19 13-Feb-19	ACTIVE ACTIVE
127	142	Standard Capital Securities (Pvt.) Limited Foundation Securities (Pvt.) Limited	Advised Advised	-	13-Feb-19	ACTIVE
128	022	BMA Capital Management Limited	Advised		13-Feb-19	ACTIVE APPLIED FOR
129	057	First Capital Equities Limited	Advised	-	13-Feb-19	SURRENDER
130 131	204	Backers & Partners (Private) Limited	Stern Warning		1-Feb-19 1-Feb-19	ACTIVE
132	049	ASDA Securities (Private) Limited Multiline Securities (Pvt.) Ltd.	Fine and confisction of Profit along with Stern Warning Stern Warning	30,000	1-Feb-19	ACTIVE ACTIVE
133	018	Ismail Iqbal Securities (Pvt.) Limited	Stern Warning		1-Feb-19 1-Feb-19	ACTIVE
134	036 347	Time Securities (Private) Limited Amer Securities (Pvt.) Ltd.	Cofiscation of Profit along with Stern Warning Stern Warning	13,435	1-Feb-19 1-Feb-19	ACTIVE ACTIVE
136	052	N.U.A. Securities (Private) Limited	Penalty Imposed along with confiscation of profits	10,054	24-Jan-19	ACTIVE
137 138	045 193	Bhayani Securities (Private) Limited Akhai Securities (Pvt.) Limited	Penalty Imposed along with confiscation of profits  Stern Warning	98,350	24-Jan-19 24-Jan-19	ACTIVE ACTIVE
139	023	Khanani Securities (Private) Limited	Penalty Imposed	36,320	24-Jan-19	ACTIVE
140 141	001 044	Altaf Adam Securities (Private) Limited IGI Finex Securities Limited	Penalty Imposed along with confiscation of profits  Advised	52,495	24-Jan-19 23-Jan-19	ACTIVE ACTIVE
142	124	EFG Hermes Pak Ltd				
143			Advised		23-Jan-19	ACTIVE
	006	Sherman Securities (Pvt.) Ltd.	Advised		23-Jan-19	ACTIVE
145	022 090	Sherman Securities (Pvt.) Ltd. BMA Capital Management Limited Darson Securities (Private) Limited	Advised Advised Advised	:	23-Jan-19 23-Jan-19 10-Jan-19	ACTIVE ACTIVE ACTIVE
146	022 090 149	Sherman Securities (Pvt.) Ltd. BMA Capital Management Limited Darson Securities (Private) Limited JS Global Capital Limited JS Global Capital Limited	Advised Advised Advised Advised Advised		23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19	ACTIVE ACTIVE ACTIVE ACTIVE
146 147 148	022 090 149 052 091	Sherman Securities (PA-1 Ltd.  BAAC Capital Management Limited  Darson Securities (Private) Limited  Si Golobal Capital Limited  N.V.A. Securities (Private) Limited  Intermanute Securities (Private) Limited	Advised Advised Advised Advised Advised Advised Strictly Advised Strictly Advised		23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19 4-Jan-19 4-Jan-19	ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE
146 147	022 090 149 052 091	Seeman Socurities (Ps.), 11d.  MAK Cyptial Management Limited  Carron Securities (Private) Limited  15 Global Captal Limited  N.J. Securities (Vinstell Limited)  Internatives (Securities Limited)  Internatives (Securities Limited)  Growth Securities (Limited)	Advised Advised Advised Advised Advised Advised Service Mattered Service Service Mattered Mattered Advised		23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19 4-Jan-19 4-Jan-19 3-Jan-19	ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE
146 147 148 149 150 151	022 090 149 052 091 102 166	Semma Securities (Ph. 2) 156. MAR Captel Menagement United Genron Securities (Privated Limited Schools Captel Limited Schools Captel Limited SLALA Securities (Privated Limited SLALA Securities (Privated Limited SLALA Securities (Privated Limited Schools Securities (Privated Limited Tagles Securities (Privated Limited Tagles Securities (Privated Limited Paris Securities (Privated Limited	Advised Advised Advised Advised Advised Advised Strictly Advised Strictly Advised Strictly Advised Advised Control of the Strictly Advised Advised Control of Profits	4,777	23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19 4-Jan-19 4-Jan-19 3-Jan-19 1-Jan-19 21-Dec-18	ACTIVE
146 147 148 149 150 151 152 153	022 090 149 052 091 102 166	Seman Securities (Po.2.1 Ltd. BAAC Optat Management Imited Durson Securities (Private) Limited Scholar Optat United N.U.A. Securities (Private) Limited N.U.A. Securities (Private) Limited Growth Securities (Private) Limited Growth Securities (Po.1.1 Limited Tipplies Securities (Private) Limited Patel Securities (Private) Limited Patel Securities (Private) Limited	Advised Advised Advised Advised Advised Advised Strictly Advised Strictly Advised Strictly Advised Advised Advised Advised Advised Advised Advised Confiscation of Profits Confiscation of Profits	4,777 56,853	23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19 4-Jan-19 4-Jan-19 3-Jan-19 1-Jan-19 21-Oec-18 21-Oec-18 21-Oec-18	ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE
146 147 148 149 150 151 152 153 154	022 090 149 052 091 102 166 116 159 256 050	Sementa Securities (Pro 1 154  Bank Captul Management immed  Sarrase Securities (Privated Limited  Stroke Securities (Privated Limited  Stroke Securities (Privated Limited  Securities (Privated Limited  Securities (Privated Limited  Convoln Securities (Privated Limited  Toglion Securities (Privated Limited  Part Securities (Privated Limited  Radi Securities (Privated Limited	Advised Advised Advised Advised Advised Strictly Advised Strictly Advised Strictly Advised Strictly Advised Advised Advised Advised Advised Confiscation of Profits Confiscation of Profits Strictly Advised	56,853	23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19 4-Jan-19 4-Jan-19 3-Jan-19 1-Jan-19 12-Dec-18 21-Dec-18 13-Dec-18 13-Dec-18	ACTIVE
146 147 148 149 150 151 152 153	022 090 149 052 091 102 166 116 159 256 050	Semma Securities (Prd.) 11st.  BARA Captal Management Limited  Barcon Securities (Privated Limited)  S Global Captal transporties (Privated Limited)  S Global Captal transporties (Privated Limited)  S Limited (Privated Limited)  S S S Societies (Privated Limited)  And I Suchia Limited  And I Habib Limited  And I Habib Limited	Advised Advised Advised Advised Advised Strictly Advised Strictly Advised Strictly Advised Strictly Advised Advised Advised Advised Advised Confession of Profits Confession of Profits Strictly Advised Strictly Advised	56,853	23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19 4-Jan-19 4-Jan-19 3-Jan-19 1-Jan-19 21-Oec-18 21-Oec-18 21-Oec-18	ACTIVE
146 147 148 149 150 151 152 153 154 155 156 157	022 090 149 052 091 102 166 116 159 050 084 102 145	Semma Securities (Po. 11st  BARA Opptin Management Imined  Darrion Securities (Private) Limited  Total Control Securities (Private) Limited  Total Control Control Control Control  N.U.A. Securities (Private) Limited  Total Control  Securities (Port Limited  Growth Securities (Port Limited  Growth Securities (Port Limited  Facilities Securities (Port Limited  Facilities Securities (Port Limited  Facilities Securities (Port Limited  Facilities (Port Limited  Act Securities (Port Limi	Advised Advised Advised Advised Advised Advised Strictly Advised Strictly Advised Strictly Advised Advised Advised Advised Advised Advised Confection of Profits Confection of P	56,853	23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19 10-Jan-19 4-Jan-19 4-Jan-19 1-Jan-19 21-Dec-18 21-Dec-18 21-Dec-18 13-Dec-18 13-Dec-18 27-Nov-18	ACTIVE
146 147 148 149 150 151 152 153 154 155 156	022 090 149 052 091 102 166 116 159 256 050 084 102 145 120	Sperman Securities (PP-1) 156 MAR Capted Management United Sprince Special Spe	Advised Advised Advised Advised Strictly Advised Strictly Advised Strictly Advised Strictly Advised Advised Advised Advised Advised Advised Confusion of Profits Confusion of Profits Confusion of Profits Strictly Advised Strictl	56,853	23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19 10-Jan-19 4-Jan-19 4-Jan-19 3-Jan-19 1-Jan-19 21-Dec-18 21-Dec-18 21-Dec-18 13-Dec-18 13-Dec-18	ACTIVE
146 147 148 149 150 151 152 153 154 155 156 157 158 159	022 090 149 052 091 102 166 159 256 084 102 145 120 224 187	Semma Securities (Ph. 2) 156 MAR Captal Management United Darrow Securities (Phrosed Limited Schools Captal Language St. Schools Captal Language And Schools Language And Schools Language St. Schools Captal Phrosed Language St. Captal Schools Language St. Captal Schools Language St. Captal Schools Language St. Captal Schools Language St. Schools Captal Phrosed Lang	Advised Advised Advised Advised Advised Advised Strictly Advised Strictly Advised Strictly Advised Strictly Advised Advised Confliction or Profits Confliction or Profits Confliction or Profits Confliction or Profits Strictly Advised Strictly St	56,853	23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19 10-Jan-19 10-Jan-19 10-Jan-19 1-Jan-19 1-Jan	ACTIVE
146 147 148 149 150 151 152 153 154 155 156 157 158 159 160	022 090 149 052 091 102 166 116 159 256 050 084 102 145 120 224 187 062	Sperman Securities (Ph. 11 tst.  Man Captul Management Immed  Sorross Securities (Phristot) Limited  Toglion Securities (Phristot) Limited  Part Securities (Phristot) Limited  Asia Securities (Phristot) Limited  Asia Securities (Phristot) Limited  Mahammad Manier Mahammad Ahammad Shammad Securities (Phristot)  Mahammad Manier Mahammad Ahammad Shammad Securities (Phristot)  Adam Securities (Phrist (Limited)  Adam Securities (Phrist (Limited)  Adam Securities (Phrist (Limited)  Adam Securities (Phrist (Limited)  Socra Securities (Phristot)  Socra Securi	Advised Sentify Advised Mary Mary Advised Mary Mary Mary Mary Mary Mary Mary Mary	56,853	23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19 10-Jan-19 4-Jan-19 4-Jan-19 3-Jan-19 3-Jan-1	ACTIVE
146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163	022 090 149 052 091 102 106 116 116 159 256 050 084 102 145 120 224 187 062 223 091	Sperman Securities (Pro 1 156  Mark Captul Management United  Sprons Securities (Privated Limited  Schools Captul Limited  A.D.A. Securities (Privated Limited  A.D.A. Securities (Privated Limited  A.D.A. Securities (Privated Limited  Convent Securities (Privated Limited  Foreign Securities (Privated Limited  Taglors Securities (Privated) Limited  Faglors Securities (Privated) Limited  Faglors Securities (Privated) Limited  Faglors Securities (Privated) Limited  Faglors Securities (Privated) Limited  And Securities (Privated) Limited  And Securities (Privated) Limited  And Securities (Privated) Limited  And Securities (Privated) Limited  X. & Li Collocal Captul (Privated) Limited  X. & Li Collocal Captul (Privated) Limited  X. & Li Collocal Captul (Privated) Limited  Mana Securities (Privated) Limited	Advised Confusion of Profits Confusion of Profits Confusion of Profits Advised Advised Advised Advised Advised Sern Warring Sern Warring Mern Warring	56,833 11,539 	23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19 10-Jan-19 4-Jan-19 4-Jan-19 3-Jan-19 3-Jan-19 3-Jan-19 3-Jan-19 24-Oec-18 24-Oec-18 24-Oec-18 24-Oec-18 24-Oec-18 24-Oec-18 2-Noo-18 2	ACTIVE
146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162	022 090 149 052 091 102 166 116 1159 256 050 084 102 120 120 120 120 127 187 062 224 187 062 128	Semma Securities (Ph. 2) 156 BAC Optiol Management Unimed Drans Recording Friends Limited St Oblina Capital to Unimed N. M.A. Securities (Phrisabil Limited N. M.A. Securities (Phrisabil Limited South Securities (Phrisabil Limited Geneth Securities (Phrisabil Limited Geneth Securities (Phrisabil Limited Friends (Phrisabil Limited Friends (Phrisabil Limited And Securities (Phrisabil Limited And Securities (Phrisabil Limited And Harbib Limited And Securities (Phrisabil Limited And Securities (Phrisabil Limited And Securities (Phrisabil Limited Add Securities (Phrisabil Limited Add Securities (Phrisabil Limited Add Securities (Phrisabil Limited Securities (Phrisabil Limited Add Securities (Phrisabil Limited	Advised Advised Advised Advised Advised Advised Strictly Advised Strictly Advised Strictly Advised Confescion of Prefits Confescion of Prefits Strictly Advised Strictly Advised Strictly Advised Advised Advised Strictly Advised Strictly Advised Advised Strictly Stric	56,853 11,539 	23-Jan-19 10-Jan-19 10-Jan-19 10-Jan-19 10-Jan-19 4-Jan-19 4-Jan-19 3-Jan-19 2-Loec-18	ACTIVE
146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163 164 165 166	022 090 149 052 091 102 166 116 116 117 084 102 145 120 145 120 145 120 145 120 145 120 146 147 147 147 147 147 147 147 147	Sperman Securities (Ph. 11 ME.  All Capital Management immed  Sarross Securities (Phrosted Limited  Scholac Capital Interpretate (Limited  Scholac Capital Interpretate (Limited  Scholac Capital Interpretate (Limited  Convoln Securities (Phrosted Limited  Fallows Securities (Phrosted Limited  Management (Phrosted Limited  And Interpretate (Phrosted Limited  Securities (Phrosted Limited  Securities (Phrosted Limited  Securities (Phrosted Limited  Securities (Phrosted Limited  Mana Securities (Phrosted Limited  Mana Securities (Phrosted Limited  Mana Securities (Limited  Mana Securities (Limited)  Mana Securities (Limited)  Management (Limited)  Management (Limited)	Advised Advised Advised Advised Advised Advised Advised Survey Advised Survey Advised Survey Advised Advised Survey Advised Mem Warring Survey Advised Survey Advised Advised Advised Survey Advised Survey Advised Advised Advised Survey Advised Survey Advised Survey Advised Advised Survey Advised Survey Advised Survey Advised Advised Survey Advised Survey Sur	56,833 11,539 	23-Jan-19 23-Jan-19 10-Jan-19 10-Jan	ACTIVE
146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163 164 165 166 167	022 039 039 049 052 051 102 166 116 119 256 050 084 102 124 127 062 224 128 061 129 062 129 063 120 120 120 120 120 120 120 120	Sperman Securities (Ph. 2) 156 MAR Captul Minagement United Spring Securities (Phrinated Limited Strong Securities (Phrinated Limited SLUA, Securities (Phrinated Limited SLUA, Securities (Phrinated Limited SLUA, Securities (Phrinated Limited Fagines Securities (Limited Fagines Securities (Limi	Advised Advised Advised Advised Advised Advised Strickly Advised Strickly Advised Strickly Advised Advised Advised Advised Advised Confusion or Profits Confusion or Profits Confusion or Profits Confusion or Profits Strickly Advised Financy Strickly Strick	56,833 11,539 	23-Jan-19 23-Jan-19 10-Jan-19 10-Jan-19 10-Jan-19 4-Jan-19 4-Jan-19 3-Jan-19 3-Jan-19 21-Osc-18	ACTIVE
146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163 164 165 166 167 168 169	022 039 039 049 052 051 100 116 116 116 119 256 050 084 102 145 120 120 120 120 121 120 120 120	Semena Securities (Ph. 2) 156.  Back Opptil Management United  Darson Securities (Phreads) Limited  St. Obdied Opptil to United  N. LA. Securities (Phreads) Limited  N. LA. Securities (Phreads) Limited  Semena Securities (Phreads) Limited  Fall Securities (Phreads) Limited  Fall Securities (Phreads) Limited  Fall Securities (Phreads) Limited  And Securities (Phreads) Limited  Securities (Phreads) Limited  Securities (Phreads) Limited  And Securities (Phreads) Limited	Advised Advised Advised Advised Advised Advised Advised Service Advised Service Advised Service Advised Service Advised Service Advised Advised Confliction of Profits Confliction of Profits Confliction of Profits Service Advised Advised Advised Service S	56,853 11,539 	23-Jan-19 23-Jan-19 10-Jan-19 10-Jan	ACTIVE
146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163 164 165 166 167 168	022 090 149 091 091 102 166 116 116 103 090 084 102 124 127 062 128 091 129 129 129 129 129 129 129 1	Sperman Securities (Ph. 2) 156.  Mack Captul Management United Sprince Securities (Phrinded Limited Finglous Securities (Limited Finglous Securities (Phrinded Limited Finglous Securities (Phri	Advised Confusion or Profits Confusion or Profits Confusion of Profits Advised Penalty imposed Penalty imposed Penalty imposed Advised	5,5853 11,539 	23 - Jan. 19 23 - Jan. 19 23 - Jan. 19 10 - Jan. 19 11 - Jan. 19 11 - Jan. 19 12 - Gec. 18 12 - Gec. 18 13 - Gec. 18 14 - Gec. 18 15 - Gec. 18 16 - Gec. 18 17 - Gec. 18 17 - Gec. 18 18 -	ACTIVE
146 147 148 149 150 151 151 153 154 155 156 157 160 161 161 162 163 164 165 166 167 167 168 169 170	022 039 149 052 091 102 166 116 119 256 050 084 102 145 120 062 124 127 128 129 129 120 120 145 120 145 120 120 120 120 120 120 120 120	Sperman Securities (Ph. 2) 156  Mack Capted Menagement United  Strons Securities (Phrinated Limited  SLAS, Securities (Phrinated Limited  Fagines Securities (Phrinated Limited  Fagines Securities (Phrinated Limited  Fagines Securities (Phrinated Limited  Fagines Securities (Phrinated Limited  And Securities (Phrinated Limited  And Securities (Phrinated Limited  And Industrial Committee)  Securities (Phrinated Limited  And Industrial Committee (Phrinated Limited  And Industrial Committee (Phrinated Limited  And Industrial Committee (Phrinated Limited  K & Li Oldook Captal (Phrinated Limited  K & Li Oldook Captal (Phrinated Limited  Securities (Phrinated Limited)	Advised Advised Advised Advised Advised Advised Stricky Advised Stricky Advised Stricky Advised Confuscation of Profits Confuscation of Profits Confuscation of Profits Stricky Advised Advised Stricky Advised Stricky Advised Stricky Advised Stricky Advised Stricky Strick	56,853 11,539 	23-Jan-19 23-Jan-19 10-Jan-19 10-Jan	ACTIVE
146 147 148 149 150 151 152 153 154 155 156 157 158 160 161 162 163 164 165 167 168 170 170 171	022 039 149 052 091 102 166 116 159 256 050 084 102 145 120 122 145 120 122 123 125 126 127 128 129 120 120 121 120 121 120 121 120 121 120 121 120 121 120 121 120 120	Demans Securities (Ph. 11 Mil.  All Captul Management Immed  Sarras Securities (Phrasid Limited  Stroke Securities (Phrasid Limited  Stroke Securities (Phrasid Limited  Stroke Securities (Phrasid Limited  Securities (Phrasid Limited  Forder Securities (Phrasid Limited  Toglius Securities (Phrasid Limited  Forder Securities (Phrasid Limited  And Securities (Phrasid Limited  And Securities (Phrasid Limited  And Forder Securities (Phrasid Limited  And Forder Securities (Phrasid Limited  And Forder Securities (Phrasid Limited  Securities	Advised Advised Advised Advised Advised Advised Bronch Advised  Bronch Advised Conflictation of Profits Conflictation of Profits Conflictation of Profits Advised Strictly Advised Strictly Advised Advised Strictly Advised Advised Strictly Advised Strictly Advised Advised Bron Warring Strictly Advised Advised Advised Advised Bron Warring Strictly Advised Advised Advised Advised Strictly Advised Advised Advised Strictly Advised Advised Strictly Advised Advised Advised Strictly Advised Advised Advised Strictly Advised Advised Advised Strictly Advised Advised Strictly Advised Advi	5,5853 11,539 	23 Jan 19 23 Jan 19 23 Jan 19 10 Jan	ACTIVE
146 147 148 149 150 151 152 153 153 155 156 157 160 161 162 163 164 165 167 168 169 170 171 173	022 039 149 052 052 051 102 166 119 125 160 102 145 102 124 137 062 124 137 062 124 137 062 138 139 149 149 150 169 179 179 189 199 199 199 199 199 199 19	Sperman Securities (Pro 1) 156  Man Captul Management United  Sprons Securities (Privated Limited  Scrool Securities (Privated Limited  A.N.A. Securities (Privated Limited  A.N.A. Securities (Privated Limited  A.N.A. Securities (Privated Limited  A.N.A. Securities (Privated Limited  Foreith Securities (Privated Limited  And Securities (Privated Limited  Securities (Privated Limited  Basic Securities (Privated Limited  Berman Securities (Privated Limited  Berman Securities (Privated Limited  Berman Securities (Privated Limited  Berman Securities (Privated Limited  Associated Securities (Privated Limited  Associated Securities (Privated Limited  Associated Securities (Privated Limited  Associated Securities (Privated Limited	Advised Contexton or Profits Contexton or Profits Contexton or Profits Advised	5,5853 11,539 	23 Jan 19 23 Jan 19 23 Jan 19 23 Jan 19 10 Jan	ACTIVE
146 147 148 149 150 151 152 153 153 155 156 161 162 161 162 166 167 168 169 170 171 177 177 177	022 039 149 039 052 051 150 150 150 150 150 150 150	Semma Securities (Ph. 2) 156  Mac Option Management United  Strons Securities (Phrosel Limited  Schools Coptial Transport Limited  Schools Coptial Transport Limited  Schools Coptial Transport Limited  Schools Coptial Transport Limited  Annual Coptial Securities (Phrosel) Limited  Fagines Securities (Phrosel) Limited  Fagines Securities (Phrosel) Limited  Fall Securities (Phrosel) Limited  Fall Securities (Phrosel) Limited  And Falcols Limited  Securities (Phrosel) Limited  Fall Securities (Phrosel Limited  Fall Securities (Phrosel Limited  Fall Securities (Phrosel Limited  Fall Coptial Securities (Phrosel Limited  Fall Coptial Securities (Phrosel Limited  Fall Coptial Coptial (Phrosel Limited  Fall Coptial Securities (Phrosel Limited  Fall Securiti	Advised Advised Advised Advised Advised Advised Service Advised Service Advised Service Advised Service Advised Service Advised Advised Confusion of Profits Confusion of Profits Confusion of Profits Service Advised Advised Advised Service	5,5853 11,539 	23-Jan-19 23-Jan-19 10-Jan-19 10-Jan	ACTIVE
146 147 148 149 150 151 152 153 153 155 156 161 161 162 163 164 167 168 169 170 177 177	022 039 149 052 052 051 102 166 119 125 160 102 145 102 124 137 062 124 137 062 124 137 062 138 139 149 149 150 169 179 179 189 199 199 199 199 199 199 19	Sperman Securities (Pro 1) 156  Man Captul Management United  Sprons Securities (Privated Limited  Scrool Securities (Privated Limited  A.N.A. Securities (Privated Limited  A.N.A. Securities (Privated Limited  A.N.A. Securities (Privated Limited  A.N.A. Securities (Privated Limited  Foreith Securities (Privated Limited  And Securities (Privated Limited  Securities (Privated Limited  Basic Securities (Privated Limited  Berman Securities (Privated Limited  Berman Securities (Privated Limited  Berman Securities (Privated Limited  Berman Securities (Privated Limited  Associated Securities (Privated Limited  Associated Securities (Privated Limited  Associated Securities (Privated Limited  Associated Securities (Privated Limited	Advised Contexton or Profits Contexton or Profits Contexton or Profits Advised	5,5853 11,539 	23 Jan 19 23 Jan 19 23 Jan 19 10 Jan	ACTIVE
146 147 148 149 150 151 152 153 154 155 157 158 160 161 162 163 164 167 177 177 178	022 090 149 092 091 102 091 110 110 110 110 110 110 110	Sperman Securities (Ph. 2) 136  Mack Opptid Management United  Strons Securities (Phrinate) Limited  St.O.A. Securities (Phrinate) Limited  St.O.A. Securities (Phrinate) Limited  St.O.A. Securities (Phrinate) Limited  St.O.A. Securities (Phrinate) Limited  Foliane Securities (Phrinate) Limited  Foliane Securities (Phrinate) Limited  And Securities (Phrinate) Limited  Anne Securities (Phrinate) Limited  Securities (Phrinate) Limited  Anne Securities (Phrinate) Limited  Securities (Phrinate) Lim	Advised Advised Advised Advised Advised Advised Stricky Advised Stricky Advised Stricky Advised Confuscation of Profits Confuscation of Profits Confuscation of Profits Advised Stricky Stricky Stricky Advised Advised Stricky Advised Stricky Advised Stricky Advised Advised Advised	\$6,853 11,539   \$5,500 12,500 1,050	23 Jan 19 23 Jan 19 23 Jan 19 10 Jan 19 11 Jan 19 12 Jan 19 12 Jan 19 12 Jan 19 13 Jan 19 14 Jan 19 15 Jan 19 15 Jan 19 16 Jan 19 16 Jan 19 17 Jan	ACTIVE
146 147 148 149 150 151 152 153 154 155 157 158 160 161 162 163 164 165 166 167 168 169 170 171 173 174 175 176	022 039 149 039 052 052 051 160 160 160 160 160 160 160 16	Sperman Securities (Ph. 1) 155.  Man Captul Management Immed  Sarras Securities (Phrasid Limited  Sorial Captul Management Immed  Sorial Captul Management Immed  Sorial Captul Management Immed  Sorial Securities (Phrasid Limited  Foreign Securities (Phrasid Limited  Toglius Securities (Phrasid Limited  Fall Securities (Phrasid Limited  Adam Securities (Phrasid Limited  Securities (Phrasid Limited)  Securities (Phrasid Limited  Securities (Phrasid Limited)  Securities (Phrasid Lim	Advised Advised Advised Advised Advised Advised Branch Advised Branch Advised Confliction of Profits Confliction of Profits Confliction of Profits Confliction of Profits Advised Advised Branch Advised Advised Advised Branch Br	\$6,853 11,539   \$5,500 12,500 1,050	23 Jan 19 23 Jan 19 23 Jan 19 10 Jan	ACTIVE
146 147 148 149 150 151 152 153 154 159 155 156 157 158 160 161 162 163 164 167 168 169 170 171 172 173 174 175 176 177 178 178 179 180	022 029 149 052 051 051 150 150 150 150 150 150	Sperman Securities (Pro 1) 155  Mack Captul Management United  Sprons Securities (Privated Limited  Schools Captul England Limited  A.N.A. Securities (Privated Limited  Toglour Securities (Privated) Limited  Taglour Securities (Privated) Limited  And Securities (Privated) Limited  Bernand (Captul Privated) Limited  Bernand Securities (Privated) Limi	Advised Confusion or Profits Confusion of Profits Confusion of Profits Advised	\$6,853 11,539   \$5,500 12,500 1,050	23 Jan 19 23 Jan 19 23 Jan 19 23 Jan 19 10 Jan	ACTIVE
146 147 148 149 150 151 152 153 154 159 150 156 157 160 161 162 163 164 165 167 170 177 177 177 177 177 180	022 092 169 092 169 179 170 170 170 170 170 170 170 170	Sperman Securities (Pro 1) 155.  Man Captul Management immed Sarross Securities (Provided Limende Anders Sarross Securities (Provided Limende Sarross Securitie	Advised Advise	\$4,833 11,339  1,500	23-Jan-19 23-Jan-19 10-Jan-19 10-Jan	ACTIVE
146 147 148 149 159 151 151 153 154 155 156 160 161 162 163 163 164 165 167 168 169 170 177 177 177 177 177 177 178 179 181 179 181 181 182 183	022 022 039 049 041 041 041 166 116 116 116 116 116 127 120 120 120 120 120 120 120 120	Sperman Securities (Pro 1) 156.  Bank Captul Management Immed  Sarras Securities (Privated Limited  Fall Securities (Privated Limited  Admin Securities (Privated Limited  Admin Securities (Privated Limited  Admin Securities (Privated Limited  SEA Caccides (Privated Limited  SEA Cacc	Advised Conflication of Profits Conflication of Profits Conflication of Profits Conflication of Profits Advised Advised Advised Strictly Advised Advised Strictly Advised Advi	M.833 11,539 11,530 11,530 12,500 12,	23 Jan 19 23 Jan 19 23 Jan 19 10 Jan 19 10 Jan 19 10 Jan 19 10 Jan 19 11 Jan	ACTIVE
146 147 148 149 150 151 152 153 154 159 155 156 160 161 161 162 163 166 170 177 178 177 177 178 177 179 180 181 181 182	022 092 109 109 102 1102 1102 1103 1104 1105 1106 1107 1008 1009	Sperman Securities (Ph. 2) 136  Mack Opptid Management United  Strons Securities (Phrinate) Limited  St.O.A. Securities (Phrinate) Limited  St.O.A. Securities (Phrinate) Limited  St.O.A. Securities (Phrinate) Limited  St.O.A. Securities (Phrinate) Limited  Togline Securities (Phrinate) Limited  Fagine Securities (Phrinate) Limited  Part Securities (Phrinate) Limited  And Industrial Limited  And Industrial Limited  And Securities (Phrinate) Limited  And Securities (Phrinate) Limited  And Securities (Phrinate) Limited  And Securities (Phrinate) Limited  And Securities (Phrinate) Limited  Securities (Phrinate) Limi	Advised Advised Advised Advised Advised Advised Advised Stricky Advised Stricky Advised Stricky Advised Stricky Advised Stricky Advised Stricky Advised Stricky Advised Advised Advised Advised Stricky Advised Stricky Advised Stricky Advised Advise	\$4,833 11,339  1,500	23 Jan 19 23 Jan 19 23 Jan 19 10 Jan 19 11 Jan 19 12 Jan 19 12 Jan 19 13 Jan 19 13 Jan 19 14 Jan 19 15 Jan 19 15 Jan 19 16 Jan 19 16 Jan 19 17 Jan 19 18 Jan	ACTIVE
146 147 148 149 149 150 151 151 152 153 154 155 156 156 161 162 163 164 165 166 177 178 178 177 178 178 177 178 180 177 178 180 177 178 180 181 182 183	022 022 039 049 041 041 041 166 116 116 116 116 116 127 120 120 120 120 120 120 120 120	Sperman Securities (Pro 1) 156.  Bank Captul Management Immed  Sarras Securities (Privated Limited  Fall Securities (Privated Limited  Admin Securities (Privated Limited  Admin Securities (Privated Limited  Admin Securities (Privated Limited  SEA Caccides (Privated Limited  SEA Cacc	Advised Conflication of Profits Conflication of Profits Conflication of Profits Conflication of Profits Advised Advised Advised Strictly Advised Advised Strictly Advised Advi	M.833 11,539 11,530 11,530 12,500 12,	23 Jan 19 23 Jan 19 23 Jan 19 10 Jan 19 10 Jan 19 10 Jan 19 10 Jan 19 11 Jan	ACTIVE