

**Enforcement Actions Taken by Pakistan Stock Exchange Limited (PSX)  
For The Period Starting From September 01, 2018 Till August 30, 2021**

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
Actions Taken by Audit, Inspection, Default and Arbitrage (AIDA) :						
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 Kodwari Securities (Pvt.) Limited	The Brokerage House was Warned	-	13-Aug-21	ACTIVE
7	25	Vector Securities (Pvt.) Limited	The Brokerage House was Warned	-	13-Aug-21	ACTIVE
8	132	Eleven Star Securities (Pvt.) Limited	The Brokerage House was Warned	-	12-Aug-21	ACTIVE
9	131	GMI Capital Securities (Pvt.) Ltd.	The Brokerage House was Warned	-	12-Aug-21	ACTIVE
10	108	Azee Securities Private Limited	The Brokerage House was Penalized and Reprimanded	Rs.1,700,451	23-Jul-21	ACTIVE
11	328	128 Securities (Pvt) Ltd	Brokerage House was WARNED	-	8-Jul-21	ACTIVE
12	47	Zillon Capital Securi. (Pvt.) Ltd	The Brokerage House was advised	-	8-Jul-21	ACTIVE
13	126	Nini Securities (Pvt.) Limited	The Brokerage House was advised	-	5-Jul-21	ACTIVE
14	72	TS Securities (Pvt.) Limited	The Brokerage House was Warned	-	2-Jul-21	ACTIVE
15	204	Barkies & Partners (Private) Limited	Brokerage House was WARNED	-	30-Jun-21	ACTIVE
16	239	Ayub Chaudhry Investments (Pvt) Ltd.	Brokerage House was Penalized	Rs. 66,000/-	30-Jun-21	ACTIVE
17	457	AAA Securities (Private) Limited	Brokerage House was WARNED	-	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. 43,000/-	23-Jun-21	ACTIVE
23	347	Amer Securities (Pvt) Ltd	Brokerage House was ADVISED	-	23-Jun-21	ACTIVE
24	150	Akbari Securities Ltd.	Brokerage House was ADVISED	-	16-Jun-21	ACTIVE
25	323	Adnan & 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	Tania 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	ACTIVE
31	135	V.H. Securities (Pvt.) Limited	The Brokerage House was advised	-	27-May-21	ACTIVE
32	37	IAH Mobash Securities (Pvt.) Limited	The Brokerage House was advised	-	6-May-21	ACTIVE
33	23	Rhansani Securities Private Limited	The Brokerage House was advised	-	30-Apr-21	ACTIVE
34	188	Apex Capital Securities (Pvt.) Limited	The Brokerage House was Penalized and Warned	Rs.50,000/-	30-Apr-21	ACTIVE
35	491	First Street Capital (Pvt) Limited	The Brokerage House was advised	-	29-Apr-21	ACTIVE
36	127	M.M. Adnan H. Adnan	The Brokerage House was advised	-	29-Apr-21	ACTIVE
37	173	Spectrum Securities Limited	The Brokerage House was Warned	-	20-Apr-21	ACTIVE
38	121	Salim Sozer Securities (Pvt.) Limited	The Brokerage House was Warned	-	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	Gaspura Securities & Services (Pvt.) Lt.	The Brokerage House was advised	-	2-Apr-21	ACTIVE
43	84	Muhammad Munir Mohammad Ahmed Rhansani Securities Ltd.	The Brokerage House was Penalized and Warned	Rs.100,000/-	24-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 TERMINALS 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	Rhansani Securities (Pvt) Ltd.	Brokerage House was WARNED	-	15-Dec-20	ACTIVE
50	58	Diamond Equities Ltd.	Brokerage House was WARNED	-	15-Dec-20	ACTIVE
51	179	CENTINENTAL 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	193	AKHAJ SECURITIES (PVT.) LIMITED - THE CERTIFICATE	SWITCHING-OFF OF TRADING TERMINALS	-	10-Nov-20	ACTIVE
55	147	A.I. Securities (Pvt.) Ltd.	SWITCHING-OFF OF TRADING TERMINALS OF THE CERTIFICATE HOLDERS OF PSX	-	29-Oct-20	ACTIVE
56	284	Yasir Mahmood Securities (Pvt) Ltd	Brokerage House was ADVISED	-	13-Aug-2020	ACTIVE
57	63	Al Habib Capital Markets (Pvt) Ltd.	Brokerage House was ADVISED	-	4-Aug-20	ACTIVE
58	98	Fairtrade Capital Secu. (Pvt.) 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	Thane Securities Limited	Brokerage House was ADVISED	-	8-Jun-20	ACTIVE
64	234	Value Stock & Commodities (Pvt.) Limited	The Brokerage house was warned	-	2-Jun-20	ACTIVE
65	112	Standard Capital Securities (Pvt.) Ltd.	The Brokerage house was warned	-	2-Jun-20	ACTIVE
66	197	Lakhami Securities (Pvt.) Ltd.	The Brokerage House was advised	-	15-Jun-20	ACTIVE
67	193	Akhar Securities (Pvt.) Ltd.	SWITCHING-OFF OF TRADING TERMINALS OF THE CERTIFICATE HOLDERS OF PSX	-	17-Mar-20	ACTIVE
68	497	ZSK Securities Ltd.	SWITCHING-OFF OF TRADING TERMINALS OF THE CERTIFICATE HOLDERS OF PSX	-	17-Mar-20	ACTIVE
69	12	Reliance Securities Limited	Suspension of TRE Certificate	-	14-Feb-20	APPLIED FOR SURRENDER
70	46	Fortune Securities Limited	Brokerage House was WARNED	-	12-Feb-20	ACTIVE
71	98	Fairtrade Capital Secu. (Pvt.) Ltd.	Brokerage House was WARNED	-	12-Feb-20	ACTIVE
72	15	Boxx Securities (Pvt.) Ltd.	Brokerage House was WARNED	-	11-Feb-20	ACTIVE
73	42	Icon Capital Management (Pvt) Ltd.	Brokerage House was WARNED	-	11-Feb-20	NOTICE FOR SURRENDER
74	45	Bhayani Securities (Private) Ltd.	Brokerage House was WARNED	-	11-Feb-20	ACTIVE
75	108	Azee Securities Private Limited	SWITCHING-OFF OF TRADING TERMINALS	-	10-Feb-20	ACTIVE

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For The Period Starting From September 01, 2018 Till August 30, 2021**

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	28	Faisal 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	RAH Stocks (Pvt) Ltd.	The Brokerage House was PENALIZED and WARNED	Rs.30,000/-	13-Jan-20	ACTIVE
85	481	Raza 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	CFG Hermes Pakistan Limited	Brokerage House was WARNED	-	30-Jan-20	ACTIVE
89	444	Vigort 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	Vektor Securities (Pvt.) Ltd.	Brokerage House was WARNED	-	24-Oct-19	ACTIVE
92	48	Nest 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	61	Abbas Securities (Private) Ltd.	Brokerage House was ADVISED	-	29-Oct-19	Voluntary Trading Terminal Suspended
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/-	29-Oct-19	ACTIVE
97	94	FCM Capital Securities (Pvt.) Ltd.	Brokerage House was WARNED	-	24-Oct-19	ACTIVE
98	117	Falcon's Private Limited	Brokerage House was WARNED	-	24-Oct-19	ACTIVE
99	121	Solim Sozer Securities (Pvt.) Ltd.	Brokerage House was WARNED	-	29-Oct-19	ACTIVE
100	148	Oriental Securities (Private) Ltd.	Brokerage House was WARNED	-	23-Oct-19	ACTIVE
101	150	Ajman Securities Ltd.	Brokerage House was ADVISED	-	18-Oct-19	ACTIVE
102	162	Alfa Ali Habib Securities(Pvt.) Ltd.	Brokerage House was WARNED	-	24-Oct-19	ACTIVE
103	166	Tagline Securities Limited.	Brokerage House was WARNED	-	28-Oct-19	ACTIVE
104	172	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	B & I Global Capital (Pvt.) Ltd.	Brokerage House was WARNED	-	24-Oct-19	ACTIVE
107	251	MNO Investment (Pvt) Ltd.	Brokerage House was WARNED	-	25-Oct-19	ACTIVE
108	265	Infinite Securities Ltd.	Brokerage House was WARNED	-	24-Oct-19	TRADING TERMINALS SUSPENDED
109	272	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	Abbas & Company (Pvt) Ltd.	Brokerage House was WARNED	-	28-Oct-19	ACTIVE
112	328	128 Securities (Pvt) Ltd.	Brokerage House was ADVISED	-	28-Oct-19	ACTIVE
113	330	Muhammad Amer Ali Securities (Pvt) Ltd.	Brokerage House was WARNED	-	28-Oct-19	ACTIVE
114	346	Strongman Securities (Pvt) Ltd.	Brokerage House was WARNED	-	22-Oct-19	ACTIVE
115	347	Amir Securities (Pvt) Ltd.	Brokerage House was PENALIZED and WARNED	Rs.20,000/-	25-Oct-19	ACTIVE
116	350	Gulrez Securities (Pvt) Ltd.	Brokerage House was WARNED	-	21-Oct-19	ACTIVE
117	189	PERVEZ AHMED CAPITAL (PRIVATE) LIMITED	SWITCHING-OFF OF TRADING TERMINALS	-	7-Oct-19	TRADING TERMINALS SUSPENDED
118	62	WFI Financial Service Limited	Switching-off of trading terminals	-	11-Sep-19	ACTIVE
119	490	BABA Equities (Pvt.) Limited	Switching-off of trading terminals	-	16-Sep-19	ACTIVE
120	485	Hansa Farhad Securities (Pvt.) Limited	Switching-off of trading terminals	-	19-Sep-19	ACTIVE
121	237	JAK Securities (Private ) Limited	Switching-off of trading terminals	-	16-Jul-19	APPLIED FOR SURRENDER
122	12	Reliance Securities Limited	Switching-off of trading terminals	-	18-Jun-19	APPLIED FOR SURRENDER
123	58	Shereef Securities Limited	Switching-off of trading terminals	-	26-Jun-19	ACTIVE
124	108	Aene Securities Private Limited	Switching-off of trading terminals	-	26-Jun-19	ACTIVE
125	57	First Capital Equities Limited	Switching-off of trading terminals	-	16-May-19	APPLIED FOR SURRENDER
126	148	Oriental Securities (Private) Limited	The Brokerage House was ADVISED	-	27-May-19	ACTIVE
127	187	SAZ Capital Securities (Private) Limited	The Brokerage House was ADVISED	-	30-Apr-19	ACTIVE
128	153	Orative Capital Securities (Private) Limited	The Brokerage House was ADVISED	-	30-Apr-19	ACTIVE
129	56	Nest Capital (Private) Limited	The Brokerage House was ADVISED	-	30-Apr-19	ACTIVE
130	199	Insight Securities (Private) Limited	The Brokerage House was ADVISED	-	30-Apr-19	ACTIVE
131	212	Horizon Securities Limited	The Brokerage House was ADVISED	-	8-May-19	ACTIVE
132	221	Millennium Brokerage (Private) Limited	The Brokerage House was ADVISED	-	8-May-19	ACTIVE
133	228	Al-Haq Securities (Private) Limited	The Brokerage House was ADVISED	-	8-May-19	ACTIVE
134	275	Rahat Securities Limited	The Brokerage House was ADVISED	-	8-May-19	ACTIVE
135	294	Yasir Mahmood Securities (Private) Limited	The Brokerage House was ADVISED	-	8-May-19	ACTIVE
136	311	Abbas & Company (Private) Limited	The Brokerage House was ADVISED	-	8-May-19	ACTIVE
137	410	Fahad Latif Khan Securities (Private) Limited	The Brokerage House was ADVISED	-	9-May-19	ACTIVE
138	438	Fair Edge Securities(Private) Limited	The Brokerage House was ADVISED	-	9-May-19	ACTIVE
139	478	Pasha Securities (Private) Limited	The Brokerage House was ADVISED	-	3-May-19	ACTIVE
140	482	New Peak Securities(Private) Limited	The Brokerage House was ADVISED	-	3-May-19	ACTIVE
141	523	Falki Capital (Private) Limited	The Brokerage House was ADVISED	-	3-May-19	ACTIVE
142	61	Abbas Securities (Pvt) Ltd.	The Brokerage House was Warned	-	30-Apr-19	Voluntary Trading Terminal Suspended
143	88	Faisal Yusuf Securities (Private) Limited	The Brokerage House was PENALIZED and WARNED	Rs.50,000/-	30-Apr-19	ACTIVE
144	18	OHM Securities (Pvt.) Ltd.	The Brokerage House was Warned	-	24-Apr-19	ACTIVE
145	107	Artem Star Securities (Private) Limited	The Brokerage House was Warned	-	18-Apr-19	ACTIVE
146	481	Raza Ahmed Securities (Private) Limited	The Brokerage House was Warned	-	18-Apr-19	ACTIVE
147	204	A.N Equities (Pvt) Ltd.	The Brokerage House was PENALIZED and WARNED	Rs.50,000/-	16-Apr-19	ACTIVE
148	490	Baba Equities (Pvt) Limited.	The Brokerage House was Warned	-	15-Apr-19	ACTIVE
149	335	Etawab Securities (Pvt.) Ltd.	The Brokerage House was Warned	-	8-Apr-19	ACTIVE

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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	523	Falis Capital Private Limited	The Brokerage House was Warned	-	8-Apr-19	ACTIVE
152	55	Shagar Capital Pakistan Private Limited	The Brokerage House was Warned	-	9-Apr-19	ACTIVE
153	221	Millennium Brokerage (Private) Limited	The Brokerage House was PENALIZED and WARNED	Rs.691,500/-	9-Apr-19	ACTIVE
154	266	Shaffi Securities (Pvt.) Ltd.	The Brokerage House was Warned	-	2-Apr-19	ACTIVE
155	129	adfaah 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	Mean Securities (Pvt.) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	27-Mar-19	ACTIVE
160	42	CCO Capital Management (Pvt.) Ltd.	The Brokerage House was WARNED	-	27-Mar-19	NOTICE FOR SURRENDER
161	10	Sakawala Capital Sec.(Pvt.) Ltd.	The Brokerage House was WARNED	-	27-Mar-19	ACTIVE
162	100	Elvir Securities Pak. (Pvt.) Ltd.	The Brokerage House was Advised	-	20-Mar-19	APPLIED FOR SURRENDER
163	176	Muhammad Salim Farooqi Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/-	18-Mar-19	ACTIVE
164	102	Growth Securities (Pvt.) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	18-Mar-19	ACTIVE
165	91	Intermarket Securities Limited	The Brokerage House was WARNED	-	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	Farway 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	48	Fortune Securities Limited	The Brokerage House was Advised	-	28-Feb-19	ACTIVE
171	297	MGO Capital Equities (Pvt) Ltd.	The Brokerage House was WARNED	-	26-Feb-19	ACTIVE
172	28	Ghani Osman Securities (Pvt.) Ltd.	The Brokerage House was WARNED	-	20-Feb-19	ACTIVE
173	143	Sano Capital (Private) Ltd.	The Brokerage House was WARNED	-	20-Feb-19	ACTIVE
174	517	South Asian Securities (Pvt.) Ltd.	Switching off of trading terminals	-	18-Feb-19	SURRENDERED / 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	332	A B M Securities (Private) Limited	The Brokerage House was Warned	-	22-Jan-19	ACTIVE
179	290	K.N.S. Securities (Private) Limited	Suspension of Trading Terminals	-	16-Jan-19	ACTIVE
180	309	MMC Stocks (Private) Limited.	Suspension of Trading Terminals	-	16-Jan-19	ACTIVE
181	12	Reliance Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.430,000/-	14-Jan-19	APPLIED FOR SURRENDER
182	239	Ayub Chaudhry Investments (Private) Limited.	The Brokerage House was Warned	-	14-Dec-18	ACTIVE
183	261	M.F. Stocks (Private) Limited.	The Brokerage House was Warned	-	14-Dec-18	APPLIED FOR 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 Invest. Management (Private) Limited.	The Brokerage House was Warned	-	14-Dec-18	ACTIVE
186	497	ZIK Securities Limited	The Brokerage House was Warned	-	14-Dec-18	ACTIVE
187	256	Progressive Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/-	13-Dec-18	ACTIVE
188	297	MGO Capital Equities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.80,000/-	13-Dec-18	ACTIVE
189	36	Time Securities (Private.) Limited.	The Brokerage House was Warned	-	12-Dec-18	ACTIVE
190	143	Sano Capital (Private) Limited.	The Brokerage House was Warned	-	10-Dec-18	ACTIVE
191	211	Share Center (Private) Limited	The Brokerage House was Warned	-	10-Dec-18	SURRENDERED / RELINQUISHED
192	294	Yasir Mahmood Securities (Private) Limited	The Brokerage House was Warned	-	10-Dec-18	ACTIVE
193	350	Gulzar 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.	The Brokerage House was Warned	-	7-Dec-18	ACTIVE
195	35	Sarmawala Securities (Private) Limited.	The Brokerage House was Warned	-	6-Dec-18	ACTIVE
196	62	WE Financial Services Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.140,000/-	22-Nov-18	ACTIVE
197	124	EPG Hermes Pakistan Limited	The Brokerage House was Warned	-	22-Nov-18	ACTIVE
198	193	Mixnet 786 (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	22-Nov-18	ACTIVE
199	432	Sponsor 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	-	14-Nov-18	ACTIVE
203	181	Pvt Equity Mediariva	The Brokerage House was Warned	-	9-Nov-18	ACTIVE
204	286	Goodwin's Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.170,000/-	7-Nov-18	ACTIVE
205	232	Aarif Lutf Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/-	5-Nov-18	ACTIVE
206	8	Diplimus Capital Management (Private.) Limited	The Brokerage House was Warned	-	1-Nov-18	ACTIVE
207	145	Adom Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	1-Nov-18	ACTIVE
208	186	Muhammed Tariq Moti Sec. (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 20,000/-	1-Nov-18	ACTIVE
209	194	MRA Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.120,000/-	1-Nov-18	ACTIVE
210	24	ASQA Securities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.60,000/-	25-Oct-18	ACTIVE
211	77	Best Securities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	25-Oct-18	ACTIVE
212	121	Salim Saeed Securities (Private.) Limited	Switching off of trading terminals	-	17-Oct-18	ACTIVE
213	98	Fairtrade Capital Securities (Private.) Limited	The Brokerage House was Warned	-	10-Oct-18	ACTIVE
214	166	Todline Securities Limited.	The Brokerage House was Warned	-	10-Oct-18	ACTIVE
215	57	First Capital Equities Limited.	Switching off of trading terminals	-	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
217	183	B.T. Securities (Private.) Limited.	The Brokerage House was Warned	-	25-Sep-18	ACTIVE
218	6	Sherman Securities (Private.) Limited.	The Brokerage House was Warned	-	18-Sep-18	ACTIVE
219	188	Apex Capital Sec. (Private) Limited.	Switching off of trading terminals	-	18-Sep-18	ACTIVE
220	236	Techno Fundamental Securities (Private) Limited	The Brokerage House was Warned	-	18-Sep-18	SURRENDERED / RELINQUISHED

**Enforcement Actions Taken by Pakistan Stock Exchange Limited (PSX)  
For The Period Starting From September 01, 2018 Till August 30, 2021**

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
221	292	Reh Securities (Private) Limited	Switching off of trading terminals	-	18-Sep-18	ACTIVE
222	297	KMD Capital Equities (Private) Limited.	Switching off of trading terminals	-	18-Sep-18	ACTIVE
223	444	Sport 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	EDM 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 Invest. 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	-	9-Sep-18	ACTIVE
229	809	KMC Stocks (Private) Limited.	The Brokerage House was Warned	-	9-Sep-18	ACTIVE
230	438	Fair Edge Securities(Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.100,000/-	9-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	Ghorgunan 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-Had Securities (Private.) Limited.	The Brokerage House was Warned	-	27-Jul-18	ACTIVE
237	255	WMO Investments (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	EDM Capital Securities (Private.) Limited	The Brokerage House was Advised	-	20-Jul-18	ACTIVE
242	120	Affairn Securities (Private.) Limited.	The Brokerage House was Advised	-	20-Jul-18	ACTIVE
243	410	Zahid Lutfi 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	KPI Finex Securities Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.150,000/-	13-Jul-18	ACTIVE
249	420	Progressive Invest. Management (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 170,000/-	13-Jul-18	ACTIVE

**Enforcement Actions Taken by Pakistan Stock Exchange Limited (PSX)  
For The Period Starting From September 01, 2018 Till August 30, 2021**

S. No.	TREC No.	Name of TREC holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
<b>Actions taken by Market Surveillance Department (MSD)</b>						
1	169	Pearl Securities Limited	Warned	-	1-Jul-21	ACTIVE
2	169	Pearl Securities Limited	Penalty Imposed	20,000	1-Jul-21	ACTIVE
3	169	Pearl Securities Limited	Penalty Imposed	20,000	1-Jul-21	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	Bhayani Securities (Private) Limited	Warned	-	28-Jun-21	ACTIVE
9	045	Bhayani Securities (Private) Limited	Penalty Imposed	10,000	28-Jun-21	ACTIVE
10	045	Bhayani Securities (Private) Limited	Penalty Imposed	10,000	28-Jun-21	ACTIVE
11	045	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	045	Bhayani Securities (Private) Limited	Penalty Imposed	13,053	28-Jun-21	ACTIVE
15	121	Saimi Solar Securities (Private) Limited	Warned	-	28-Jun-21	ACTIVE
16	121	Saimi Solar Securities (Private) Limited	Warned	-	1-Apr-21	ACTIVE
17	116	Patel Securities (Private) Limited	Warned	-	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	049	Multiline Securities (Pvt.) Ltd.	Penalty Imposed	10,000	6-May-21	ACTIVE
21	049	Multiline Securities (Pvt.) Ltd.	Penalty Imposed	10,000	6-May-21	ACTIVE
22	049	Multiline Securities (Pvt.) Ltd.	Penalty Imposed	10,000	6-May-21	ACTIVE
23	049	Multiline Securities (Pvt.) Ltd.	Penalty Imposed	10,000	6-May-21	ACTIVE
24	049	Multiline 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	Warned	-	6-May-21	ACTIVE
28	049	Multiline Securities Limited	Penalty Imposed	10,000	6-May-21	ACTIVE
29	049	Multiline Securities Limited	Penalty Imposed	10,000	6-May-21	ACTIVE
30	049	Multiline Securities Limited	Penalty Imposed	10,000	6-May-21	ACTIVE
31	049	Multiline Securities Limited	Penalty Imposed	12,620	6-May-21	ACTIVE
32	049	Multiline Securities Limited	Penalty Imposed	13,600	6-May-21	ACTIVE
33	116	Patel Securities (Private) Limited	Warned	-	2-Apr-21	ACTIVE
34	049	Multiline Securities Limited	Warned	-	6-May-21	ACTIVE
35	116	Patel Securities (Private) Limited	Warned	-	2-Apr-21	ACTIVE
36	049	Multiline Securities Limited	Warned	-	6-May-21	ACTIVE
37	049	Multiline Securities Limited	Warned	-	6-May-21	ACTIVE
38	049	Multiline Securities Limited	Penalty Imposed	13,870	6-May-21	ACTIVE
39	049	Multiline Securities Limited	Warned	-	6-May-21	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	Abu Ali Habib Securities (Private) Limited	Warned	-	22-Mar-21	ACTIVE
44	102	Growth Securities (Pvt.) Limited	Warned	-	22-Mar-21	ACTIVE
45	162	Abu Ali Habib Securities (Private) Limited	Warned	-	22-Mar-21	ACTIVE
46	194	MIRA Securities (Private) Limited	Warned	-	22-Mar-21	ACTIVE
47	145	Adam Securities (Pvt.) Ltd.	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	145	Adam Securities (Pvt.) Ltd.	Warned	-	22-Mar-21	ACTIVE
53	145	Adam Securities (Pvt.) Ltd.	Warned	-	22-Mar-21	ACTIVE
54	102	Growth Securities (Pvt.) Limited	Warned	-	22-Mar-21	ACTIVE
55	102	Growth Securities (Pvt.) Limited	Warned	-	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	MIRA Securities (Private) Limited	Warned	-	22-Mar-21	ACTIVE
59	194	MIRA Securities (Private) Limited	Warned	-	22-Mar-21	ACTIVE
60	194	MIRA Securities (Private) Limited	Warned	-	22-Mar-21	ACTIVE
61	194	MIRA Securities (Private) Limited	Warned	-	22-Mar-21	ACTIVE
62	128	BIPL Securities Limited	Warned	-	22-Mar-21	ACTIVE
63	128	BIPL Securities Limited	Warned	-	22-Mar-21	ACTIVE
64	128	BIPL Securities Limited	Warned	-	22-Mar-21	ACTIVE
65	162	Abu Ali Habib Securities (Private) Limited	Warned	-	22-Mar-21	ACTIVE
66	162	Abu Ali Habib Securities (Private) Limited	Warned	-	22-Mar-21	ACTIVE
67	162	Abu Ali Habib Securities (Private) Limited	Warned	-	22-Mar-21	ACTIVE
68	149	JS Global Capital Limited	Warned	-	22-Mar-21	ACTIVE
69	102	Growth Securities (Pvt.) Limited	Warned	-	22-Mar-21	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	169	Pearl Securities Limited	Warned	-	6-Mar-20	ACTIVE
76	108	Azee Securities (Pvt.) Ltd.	Penalty Imposed along with confiscation of profits	11,140	6-Mar-20	ACTIVE
77	169	Pearl Securities Limited	Warned	-	6-Mar-20	ACTIVE
78	169	Pearl Securities Limited	Warned	-	6-Mar-20	ACTIVE
79	155	B & B Securities (Private) Limited	Advised	-	25-Feb-20	ACTIVE
80	230	Avif Leaf 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	482	New Peak Securities (Private) Limited	Warned	-	15-Nov-19	ACTIVE
84	482	New Peak Securities (Private) Limited	Warned	-	15-Nov-19	ACTIVE
85	068	Zafar Securities (Private) Limited	Warned	-	15-Nov-19	ACTIVE
86	068	Zafar Securities (Private) Limited	Warned	-	15-Nov-19	ACTIVE
87	068	Zafar Securities (Private) Limited	Warned	-	15-Nov-19	ACTIVE

**Enforcement Actions Taken by Pakistan Stock Exchange Limited (PSX)  
For The Period Starting From September 01, 2018 Till August 30, 2021**

S. No.	TREC No.	Name of TREC holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
88	068	Zafar Securities (Private) Limited	Warned	-	15-Nov-19	ACTIVE
89	482	New Peak Securities (Private) Limited	Warned	-	15-Nov-19	ACTIVE
90	482	New Peak Securities (Private) Limited	Warned	-	15-Nov-19	ACTIVE
91	232	Aarif Latif Sec (Pvt) Ltd	Warned	-	15-Nov-19	ACTIVE
92	098	Fairtrade Capital Securities (Private) Limited	Warned	-	4-Oct-19	ACTIVE
93	092	Arayon Securities (Private) Limited	Warned	-	4-Oct-19	ACTIVE
94	120	Alfalah Securities (Private) Limited	Stern Warning	-	29-Jul-19	ACTIVE
95	145	Adam Securities (Pvt.) Ltd.	Warned	-	29-Jul-19	ACTIVE
96	145	Adam Securities (Pvt.) Ltd.	Warned	-	29-Jul-19	ACTIVE
97	145	Adam Securities (Pvt.) Ltd.	Warned	-	29-Jul-19	ACTIVE
98	046	Fortune Securities Limited	Warned	-	25-Jul-19	ACTIVE
99	046	Fortune Securities Limited	Warned	-	25-Jul-19	ACTIVE
100	228	Al-Haq Sec	Stern Warning	-	25-Jul-19	ACTIVE
101	314	Equity Master Sec	Stern Warning	-	25-Jul-19	ACTIVE
102	228	Al-Haq Sec	Confiscation of Profits	2,500	25-Jul-19	ACTIVE
103	149	JS Global Capital Limited	Advice	-	11-Jul-19	ACTIVE
104	145	JS Global Capital Limited	Advice	-	11-Jul-19	ACTIVE
105	191	Market 786 (Private) Limited	Advice	-	11-Jul-19	ACTIVE
106	018	Ismail Iqbal Securities (Pvt.) Limited	Advised	-	11-Jul-19	ACTIVE
107	012	Reliance Securities Limited	Advised	-	10-Jul-19	APPLIED FOR SURRENDER
108	049	Multiline Securities (Pvt.) Ltd.	Advised	-	10-Jul-19	ACTIVE
109	042	Icon Capital Management (Private) Limited	Advised	-	10-Jul-19	NOTICE FOR SURRENDER
110	142	Foundation Securities (Pvt.) Limited	Advised	-	10-Jul-19	ACTIVE
111	024	ASDA Securities (Private) Limited	Advised	-	10-Jul-19	ACTIVE
112	124	Foundation Securities (Pvt.) Limited	Advised	-	10-Apr-19	ACTIVE
113	248	Rhodon Ali Shah Bukhari Securities (Private) Limited	Stern Warning	-	27-Mar-19	ACTIVE
114	196	Rahat Securities (Private) Limited	Stern Warning	-	27-Mar-19	ACTIVE
115	212	Rhodon Securities Limited	Stern Warning	-	26-Mar-19	ACTIVE
116	149	JS Global Capital Limited	Stern Warning	-	26-Mar-19	ACTIVE
117	035	CDM Securities (Pvt.) Limited	Stern Warning	-	7-Mar-19	ACTIVE
118	094	FCM Capital Securities (Private) Limited	Stern Warning	-	7-Mar-19	ACTIVE
119	144	Jarbro Securities (Private) Limited	Stern Warning	-	7-Mar-19	ACTIVE
120	143	Friendly Securities (Pvt.) Limited	Confiscation of Profits	214,966	7-Mar-19	ACTIVE
121	028	Ghani Osman Securities (Private) Limited	Case Referred to SECP For Review and Necessary Action	-	26-Feb-19	ACTIVE
122	050	Aarif Habib Limited	Case Referred to SECP For Review and Necessary Action	-	26-Feb-19	ACTIVE
123	058	Overmarket Equities Limited	Case Referred to SECP For Review and Necessary Action	-	26-Feb-19	ACTIVE
124	166	Topline Securities (Private) Limited	Case Referred to SECP For Review and Necessary Action	-	26-Feb-19	ACTIVE
125	001	Alfah Adam Securities (Private) Limited	Advised	-	19-Feb-19	ACTIVE
126	112	Standard Capital Securities (Private) Limited	Advised	-	11-Feb-19	ACTIVE
127	142	Foundation Securities (Pvt.) Limited	Advised	-	11-Feb-19	ACTIVE
128	022	BMA Capital Management Limited	Advised	-	11-Feb-19	ACTIVE
129	057	First Capital Equities Limited	Advised	-	11-Feb-19	APPLIED FOR SURRENDER
130	204	Backers & Partners (Private) Limited	Stern Warning	-	1-Feb-19	ACTIVE
131	024	ASDA Securities (Private) Limited	Fine and confiscation of Profit along with Stern Warning	80,000	1-Feb-19	ACTIVE
132	049	Multiline Securities (Pvt.) Ltd.	Stern Warning	-	1-Feb-19	ACTIVE
133	018	Ismail Iqbal Securities (Pvt.) Limited	Stern Warning	-	1-Feb-19	ACTIVE
134	036	Time Securities (Private) Limited	Confiscation of Profit along with Stern Warning	13,435	1-Feb-19	ACTIVE
135	347	Amer Securities (Pvt.) Ltd.	Stern Warning	-	1-Feb-19	ACTIVE
136	052	N.U.A. Securities (Private) Limited	Penalty Imposed along with confiscation of profits	90,054	24-Jan-19	ACTIVE
137	045	Bhayan Securities (Private) Limited	Penalty Imposed along with confiscation of profits	98,350	24-Jan-19	ACTIVE
138	193	Akhai Securities (Pvt.) Limited	Stern Warning	-	24-Jan-19	ACTIVE
139	023	Khanani Securities (Private) Limited	Penalty Imposed	36,420	24-Jan-19	ACTIVE
140	001	Alfah Adam Securities (Private) Limited	Penalty Imposed along with confiscation of profits	52,495	24-Jan-19	ACTIVE
141	044	GSI Prime Securities Limited	Advised	-	23-Jan-19	ACTIVE
142	124	EPG Hermes Pak Ltd	Advised	-	23-Jan-19	ACTIVE
143	006	Shorran Securities (Pvt.) Ltd.	Advised	-	23-Jan-19	ACTIVE
144	022	BMA Capital Management Limited	Advised	-	23-Jan-19	ACTIVE
145	090	Garrison Securities (Private) Limited	Advised	-	10-Jan-19	ACTIVE
146	149	JS Global Capital Limited	Advised	-	10-Jan-19	ACTIVE
147	051	N.U.A. Securities (Private) Limited	Strictly Advised	-	4-Jan-19	ACTIVE
148	091	Intermarket Securities Limited	Strictly Advised	-	4-Jan-19	ACTIVE
149	102	Growth Securities (Pvt.) Limited	Advised	-	3-Jan-19	ACTIVE
150	146	Topline Securities (Private) Limited	Advised	-	1-Jan-19	ACTIVE
151	116	Patel Securities (Pvt) Ltd.	Confiscation of Profits	4,777	21-Dec-18	ACTIVE
152	159	hail Securities (Private) Limited	Confiscation of Profits	56,853	21-Dec-18	ACTIVE
153	256	Pragmavision Securities (Private) Limited	Confiscation of Profits	11,539	21-Dec-18	ACTIVE
154	050	Aarif Habib Limited	Strictly Advised	-	13-Dec-18	ACTIVE
155	084	Muhammad Munir Muhammad Ahmed Khanani Securities (Pvt.) Ltd	Strictly Advised	-	13-Dec-18	ACTIVE
156	102	Growth Securities (Pvt.) Limited	Advised	-	27-Nov-18	ACTIVE
157	145	Adam Securities (Pvt.) Ltd.	Stern Warning	-	2-Nov-18	ACTIVE
158	120	Alfalah Securities (Private) Limited	Stern Warning	-	2-Nov-18	ACTIVE
159	224	e & i Global Capital (Private) Limited	Stern Warning	-	2-Nov-18	ACTIVE
160	187	SAC Capital Securities (Pvt.) Ltd.	Stern Warning	-	2-Nov-18	ACTIVE
161	062	WT Financial Services Limited	Stern Warning	-	2-Nov-18	ACTIVE
162	223	Miran Securities (Private) Limited	Penalty Imposed	5,500	1-Nov-18	ACTIVE
163	091	Intermarket Securities Limited	Penalty Imposed	12,500	1-Nov-18	ACTIVE
164	128	BNPL Securities Limited	Penalty Imposed	1,000	1-Nov-18	ACTIVE
165	084	Muhammad Munir Muhammad Ahmed Khanani Securities (Pvt.) Ltd	Advised	-	24-Oct-18	ACTIVE
166	105	Pearl Securities Limited	Stern Warning	-	9-Oct-18	ACTIVE
167	179	Continental Capital Management (Pvt) Ltd.	Stern Warning	-	9-Oct-18	ACTIVE
168	212	Horizon Securities Limited	Stern Warning	-	9-Oct-18	ACTIVE
169	006	Sherman Securities (Pvt.) Ltd.	Stern Warning	-	9-Oct-18	ACTIVE
170	017	Sunmit Capital (Private) Limited	Penalty Imposed	10,000	9-Oct-18	ACTIVE
171	018	Ismail Iqbal Securities (Pvt.) Limited	Penalty Imposed	20,000	5-Oct-18	ACTIVE
172	077	Seed Securities (Private) Limited	Stern Warning	-	5-Oct-18	ACTIVE
173	108	Aene Securities (Pvt.) Ltd.	Stern Warning	-	5-Oct-18	ACTIVE
174	112	Standard Capital Securities (Private) Limited	Strictly Advised	-	25-Sep-18	ACTIVE
175	145	Adam Securities (Pvt.) Ltd.	Strictly Advised	-	25-Sep-18	ACTIVE
176	194	ARSA Securities (Private) Limited	Strictly Advised	-	25-Sep-18	ACTIVE
177	228	Al-Haq Securities (Private) Limited	Advised	-	25-Sep-18	ACTIVE
178	091	Intermarket Securities Limited	Advised	-	25-Sep-18	ACTIVE
179	297	ASCO Capital Equities (Private) Limited	Stern Warning	-	7-Sep-18	ACTIVE
180	267	Bismillah Securities (Private) Limited	Stern Warning	-	7-Sep-18	ACTIVE
181	022	BMA Capital Management Limited	Stern Warning	-	7-Sep-18	ACTIVE
182	045	Bhayan Securities (Private) Limited	Penalty Imposed along with confiscation of profits	12,923	7-Sep-18	ACTIVE
183	008	Continental Capital Management (Pvt.) Ltd.	Stern Warning	-	7-Sep-18	ACTIVE
184	290	E.H.S. Securities (Private) Limited	Stern Warning	-	7-Sep-18	ACTIVE
185	008	Odyssey Capital Management (Pvt.) Ltd.	Stern Warning	-	7-Sep-18	ACTIVE
186	046	Fortune Securities Limited	Penalty Imposed	1,802	30-Aug-18	ACTIVE
187	038	Time Securities (Private) Limited	Stern Warning	-	30-Aug-18	ACTIVE
188	001	Alfah Adam Securities (Private) Limited	Stern Warning	-	30-Aug-18	ACTIVE
189	102	Growth Securities (Pvt.) Limited	Penalty Imposed	10,000	30-Aug-18	ACTIVE
190	046	Fortune Securities Limited	Penalty Imposed	30,000	30-Aug-18	ACTIVE