

**Enforcement Actions Taken by Pakistan Stock Exchange Limited (PSX)
For The Period Starting From May 01, 2016 Till May 31, 2019**

| 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 | 108 | Azee Securities Private Limited | Switching-off of trading terminals | - | 9-May-19 | ACTIVE |
| 2 | 57 | First Capital Equities Limited | Switching-off of trading terminals | - | 16-May-19 | ACTIVE |
| 3 | 61 | Abbasi Securities (Pvt.) Ltd. | The Brokerage House was Warned | - | 30-Apr-19 | ACTIVE |
| 4 | 88 | Fawad Yusuf Securities (Private) Limited | The Brokerage House was PENALIZED and WARNED | Rs. 50,000/- | 30-Apr-19 | ACTIVE |
| 5 | 16 | DIM Securities (Pvt.) Ltd. | The Brokerage House was Warned | - | 24-Apr-19 | ACTIVE |
| 6 | 107 | Seven Star Securities (Private) Limited | The Brokerage House was Warned | - | 18-Apr-19 | ACTIVE |
| 7 | 481 | Riaz Ahmed Securities (Private) Limited | The Brokerage House was Warned | - | 18-Apr-19 | ACTIVE |
| 8 | 204 | A.N Equities (Pvt) Ltd. | The Brokerage House was PENALIZED and WARNED | Rs. 50,000/- | 16-Apr-19 | ACTIVE |
| 9 | 490 | Raha Equities (Pvt) Limited | The Brokerage House was Warned | - | 15-Apr-19 | ACTIVE |
| 10 | 339 | Khawaja Securities (Pvt.) Limited | The Brokerage House was Warned | - | 8-Apr-19 | ACTIVE |
| 11 | 158 | Royal Securities (Private) Limited | The Brokerage House was Warned | - | 8-Apr-19 | ACTIVE |
| 12 | 523 | Falqi Capital Private Limited | The Brokerage House was Warned | - | 5-Apr-19 | ACTIVE |
| 13 | 55 | Shajar Capital Pakistan Private Limited | The Brokerage House was Warned | - | 3-Apr-19 | ACTIVE |
| 14 | 221 | Millennium Brokerage (Private) Limited | The Brokerage House was PENALIZED and WARNED | Rs. 691,500/- | 3-Apr-19 | ACTIVE |
| 15 | 266 | Shafi Securities (Pvt) Ltd | The Brokerage House was Warned | - | 2-Apr-19 | ACTIVE |
| 16 | 120 | Aifalah Securities (Private) Limited | The Brokerage House was Warned | - | 2-Apr-19 | ACTIVE |
| 17 | 140 | M.M. Securities (Private) Limited | The Brokerage House was Warned | - | 2-Apr-19 | ACTIVE |
| 18 | 150 | Aslani Securities Limited | The Brokerage House was Warned | - | 2-Apr-19 | ACTIVE |
| 19 | 466 | Unex Securities (Private) Limited | The Brokerage House was Warned | - | 2-Apr-19 | ACTIVE |
| 20 | 223 | Maan Securities (Pvt.) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 40,000/- | 27-Mar-19 | ACTIVE |
| 21 | 42 | ICON Capital Management (Pvt) Ltd. | The Brokerage House was WARNED | - | 27-Mar-19 | ACTIVE |
| 22 | 10 | Sakamala Capital Sec. (Pvt.) Ltd. | The Brokerage House was WARNED | - | 27-Mar-19 | ACTIVE |
| 23 | 100 | Elvir Securities Pak. (Pvt.) Ltd. | The Brokerage House was Advised | - | 20-Mar-19 | ACTIVE |
| 24 | 176 | Muhammad Salim Kasmani Securities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 50,000/- | 18-Mar-19 | ACTIVE |
| 25 | 102 | Growth Securities (Pvt.) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 20,000/- | 18-Mar-19 | ACTIVE |
| 26 | 91 | Intermarket Securities Limited | The Brokerage House was WARNED | - | 18-Mar-19 | ACTIVE |
| 27 | 284 | ASA Stocks Private Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 533,500/- | 1-Mar-19 | ACTIVE |
| 28 | 229 | Fairway Securities Private Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 995,000/- | 1-Mar-19 | ACTIVE |
| 29 | 267 | Biomilal Securities (Pvt.) Limited | The Brokerage House was WARNED | - | 1-Mar-19 | ACTIVE |
| 30 | 179 | Continental Capital Management (Pvt.) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 20,000/- | 1-Mar-19 | ACTIVE |
| 31 | 46 | Fortune Securities Limited | The Brokerage House was Advised | - | 26-Feb-19 | ACTIVE |
| 32 | 297 | MSD Capital Equities (Pvt) Ltd. | The Brokerage House was WARNED | - | 26-Feb-19 | ACTIVE |
| 33 | 28 | Ghani Osman Securities (Pvt.) Ltd. | The Brokerage House was WARNED | - | 20-Feb-19 | ACTIVE |
| 34 | 143 | Saao Capital (Private) Ltd | The Brokerage House was WARNED | - | 20-Feb-19 | ACTIVE |
| 35 | 517 | South Asian Securities (Pvt.) Ltd. | Switching-off of trading terminals | - | 18-Feb-19 | NOTICE FOR SURRENDER |
| 36 | 224 | K & I Global Capital (Private.) Limited. | The Brokerage House was Warned | - | 22-Jan-19 | ACTIVE |
| 37 | 275 | Rahat Securities Limited | The Brokerage House was Warned | - | 22-Jan-19 | ACTIVE |
| 38 | 332 | Trust Securities & Brokerage Limited. | The Brokerage House was Warned | - | 22-Jan-19 | ACTIVE |
| 39 | 337 | A B M Securities (Private) Limited | The Brokerage House was Warned | - | 22-Jan-19 | ACTIVE |
| 40 | 290 | K.H.S. Securities (Private) Limited | Suspension of Trading Terminals | - | 16-Jan-19 | ACTIVE |
| 41 | 309 | HMC Stocks (Private) Limited. | Suspension of Trading Terminals | - | 16-Jan-19 | ACTIVE |
| 42 | 12 | Reliance Securities Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 430,000/- | 14-Jan-19 | ACTIVE |
| 43 | 239 | Ayub Chaudhry Investments (Private) Limited. | The Brokerage House was Warned | - | 14-Dec-18 | ACTIVE |
| 44 | 261 | M.F. Stocks (Private) Limited. | The Brokerage House was Warned | - | 14-Dec-18 | TRADING TERMINALS SUSPENDED |
| 45 | 288 | Javed Iqbal Securities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 20,000/- | 14-Dec-18 | ACTIVE |
| 46 | 420 | Progressive Inves. Management (Private) Limited. | The Brokerage House was Warned | - | 14-Dec-18 | ACTIVE |
| 47 | 497 | JOK Securities Limited | The Brokerage House was Warned | - | 14-Dec-18 | ACTIVE |
| 48 | 256 | Progressive Securities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 30,000/- | 13-Dec-18 | ACTIVE |
| 49 | 297 | MSD Capital Equities (Private) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 80,000/- | 13-Dec-18 | ACTIVE |
| 50 | 36 | Time Securities (Private.) Limited. | The Brokerage House was Warned | - | 12-Dec-18 | ACTIVE |
| 51 | 143 | Saao Capital (Private) Limited. | The Brokerage House was Warned | - | 10-Dec-18 | ACTIVE |
| 52 | 211 | Share Center (Private) Limited | The Brokerage House was Warned | - | 10-Dec-18 | ACTIVE |
| 53 | 294 | Yasir Mahmood Securities (Private) Limited | The Brokerage House was Warned | - | 10-Dec-18 | ACTIVE |
| 54 | 350 | Gulrez Securities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 20,000/- | 10-Dec-18 | ACTIVE |
| 55 | 28 | Ghani Osman Securities (Private.) Limited. | The Brokerage House was Warned | - | 7-Dec-18 | ACTIVE |
| 56 | 35 | Surmawala Securities (Private) Limited. | The Brokerage House was Warned | - | 6-Dec-18 | ACTIVE |
| 57 | 62 | WE Financial Services Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 140,000/- | 22-Nov-18 | ACTIVE |
| 58 | 124 | ETG Hermes Pakistan Limited | The Brokerage House was Warned | - | 22-Nov-18 | ACTIVE |
| 59 | 101 | Market 786 (Private) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 40,000/- | 22-Nov-18 | ACTIVE |
| 60 | 432 | Spinner Equities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 115,845/- | 19-Nov-18 | ACTIVE |
| 61 | 208 | RUC Securities (Private.) Limited. | Switching-off of trading terminals | - | 16-Nov-18 | TRADING TERMINALS SUSPENDED |
| 62 | 296 | MGM Securities (Private) Limited | The Brokerage House was Warned | - | 15-Nov-18 | ACTIVE |
| 63 | 48 | Next Capital Limited | The Brokerage House was Warned | - | 14-Nov-18 | ACTIVE |
| 64 | 181 | First Equity Modaraba | The Brokerage House was Warned | - | 9-Nov-18 | ACTIVE |
| 65 | 286 | Dossani's Securities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 170,000/- | 5-Nov-18 | ACTIVE |
| 66 | 232 | Arif Latif Securities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 50,000/- | 5-Nov-18 | ACTIVE |
| 67 | 8 | Optimus Capital Management (Private.) Limited. | The Brokerage House was Warned | - | 1-Nov-18 | ACTIVE |
| 68 | 145 | Adam Securities Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 40,000/- | 1-Nov-18 | ACTIVE |
| 69 | 186 | Muhammed Tariq Moti Sec. (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 20,000/- | 1-Nov-18 | ACTIVE |
| 70 | 194 | INA Securities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 120,000/- | 1-Nov-18 | ACTIVE |
| 71 | 24 | ASDA Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 60,000/- | 25-Oct-18 | ACTIVE |
| 72 | 77 | Best Securities (Private) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 40,000/- | 25-Oct-18 | ACTIVE |
| 73 | 121 | Salim Sozer Securities (Private.) Limited. | Switching-off of trading terminals | - | 17-Oct-18 | ACTIVE |
| 74 | 98 | Fairtrade Capital Securities (Private.) Limited. | The Brokerage House was Warned | - | 10-Oct-18 | ACTIVE |
| 75 | 166 | Topline Securities Limited. | The Brokerage House was Warned | - | 10-Oct-18 | ACTIVE |
| 76 | 57 | First Capital Equities Limited. | Switching-off of trading terminals | - | 9-Oct-18 | ACTIVE |
| 77 | 46 | Fortune Securities Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 20,000/- | 25-Sep-18 | ACTIVE |
| 78 | 183 | R.T. Securities (Private.) Limited. | The Brokerage House was Warned | - | 25-Sep-18 | ACTIVE |
| 79 | 6 | Sherman Securities (Private.) Limited. | The Brokerage House was Warned | - | 18-Sep-18 | ACTIVE |
| 80 | 188 | Apex Capital Sec. (Private.) Limited. | Switching-off of trading terminals | - | 18-Sep-18 | ACTIVE |
| 81 | 236 | Techno Fundamental Securities (Private) Limited | The Brokerage House was Warned | - | 18-Sep-18 | ACTIVE |
| 82 | 292 | INA Securities (Private) Limited | Switching-off of trading terminals | - | 18-Sep-18 | ACTIVE |
| 83 | 297 | MSD Capital Equities (Private) Limited. | Switching-off of trading terminals | - | 18-Sep-18 | ACTIVE |
| 84 | 444 | Xpert Securities (Private) Limited. | Switching-off of trading terminals | - | 18-Sep-18 | ACTIVE |
| 85 | 475 | CAMCO (Private) Limited | Switching-off of trading terminals | - | 18-Sep-18 | ACTIVE |
| 86 | 94 | FDM Capital Securities (Private.) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 1,000,000/- | 14-Sep-18 | ACTIVE |
| 87 | 420 | Progressive Inves. Management (Private) Limited. | Restriction on opening of New Clients Account and Sale Side | - | 14-Sep-18 | ACTIVE |
| 88 | 348 | AMCAP Securities (Private) Limited. | Suspension of Trading Terminals | - | 10-Sep-18 | TRADING TERMINALS SUSPENDED |
| 89 | 116 | Patel Securities (Private.) Limited. | The Brokerage House was Warned | - | 10-Sep-18 | ACTIVE |
| 90 | 212 | Horizon Securities Limited. | The Brokerage House was Warned | - | 3-Sep-18 | ACTIVE |
| 91 | 309 | HMC Stocks (Private) Limited. | The Brokerage House was Warned | - | 3-Sep-18 | ACTIVE |
| 92 | 438 | Fair Edge Securities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 100,000/- | 3-Sep-18 | ACTIVE |
| 93 | 231 | Saima Qaiser Securities (Private) Limited | Switching-off of trading terminals | - | 16-Aug-18 | ACTIVE |
| 94 | 288 | Javed Iqbal Securities (Private) Limited | The Brokerage House was Warned | - | 13-Aug-18 | ACTIVE |
| 95 | 346 | Strongman Securities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 150,000/- | 13-Aug-18 | ACTIVE |
| 96 | 54 | Bawa Securities (Private.) Limited. | The Brokerage House was Warned | - | 8-Aug-18 | ACTIVE |
| 97 | 234 | Value Stock and Commodities (Private) Limited. | The Brokerage House was Warned | - | 31-Jul-18 | ACTIVE |
| 98 | 228 | Al-Haq Securities (Private.) Limited. | The Brokerage House was Warned | - | 27-Jul-18 | ACTIVE |
| 99 | 251 | MIND Investment (Private) Limited | The Brokerage House was Warned | - | 27-Jul-18 | ACTIVE |
| 100 | 265 | Infinite Securities Limited. | The Brokerage House was Warned | - | 27-Jul-18 | ACTIVE |
| 101 | 290 | K.H.S. Securities (Private) Limited | The Brokerage House was Warned | - | 27-Jul-18 | ACTIVE |
| 102 | 6 | Sherman Securities (Private.) Limited. | The Brokerage House was Advised | - | 20-Jul-18 | ACTIVE |
| 103 | 94 | FDM Capital Securities (Private.) Limited | The Brokerage House was Advised | - | 20-Jul-18 | ACTIVE |
| 104 | 120 | Aifalah Securities (Private.) Limited. | The Brokerage House was Advised | - | 20-Jul-18 | ACTIVE |
| 105 | 410 | Zahid Latif Khan Securities (Private.) Limited. | The Brokerage House was Warned | - | 20-Jul-18 | ACTIVE |
| 106 | 442 | General Investment & Sec | The Brokerage House was Warned | - | 20-Jul-18 | ACTIVE |
| 107 | 478 | Pasha Securities (Private) Limited | The Brokerage House was Warned | - | 20-Jul-18 | ACTIVE |
| 108 | 485 | Hameez Farhad Securities (Private) Limited. | The Brokerage House was Warned | - | 20-Jul-18 | ACTIVE |
| 109 | 491 | First Street Capital (Private) Limited. | The Brokerage House was Warned | - | 20-Jul-18 | ACTIVE |

**Enforcement Actions Taken by Pakistan Stock Exchange Limited (PSX)
For The Period Starting From May 01, 2016 Till May 31, 2019**

| S. No. | TREC No. | Name of TREC Holder | Disciplinary Actions | Amount of Penalty (If any) | Date of Enforcement Actions | Current Status |
|--------|----------|--|--|----------------------------|-----------------------------|-----------------------------|
| 110 | 44 | IGI Finex Securities Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.150,000/- | 13-Jul-18 | ACTIVE |
| 111 | 420 | Progressive Inves. Management (Private) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 170,000/- | 13-Jul-18 | ACTIVE |
| 112 | 98 | Fairtrade Capital Securities (Private.) Limited. | The Brokerage House was Warned and Penalized and Restriction On Opening of New Clients' Account was Imposed | Rs.300,000/- | 22-Jun-18 | ACTIVE |
| 113 | 112 | Standard Capital Securities (Private.) Limited. | The Brokerage House was Advised | - | 22-Jun-18 | ACTIVE |
| 114 | 19 | AKD Securities Limited. | The Brokerage House was Advised | - | 20-Jun-18 | ACTIVE |
| 115 | 44 | IGI Finex Securities Limited | The Brokerage House was Advised | - | 20-Jun-18 | ACTIVE |
| 116 | 50 | Arif Habib Limited. | The Brokerage House was Advised | - | 20-Jun-18 | ACTIVE |
| 117 | 129 | Taurus Securities Limited | The Brokerage House was Advised | - | 20-Jun-18 | ACTIVE |
| 118 | 150 | Aksofi Securities Limited. | The Brokerage House was Advised | - | 20-Jun-18 | ACTIVE |
| 119 | 284 | ASA Stocks (Private) Limited. | Switching-off of trading terminals | - | 20-Jun-18 | ACTIVE |
| 120 | 508 | KP Securities (Private) Limited | Switching-off of trading terminals | - | 20-Jun-18 | ACTIVE |
| 121 | 348 | AMCAP Securities (Private) Limited | Switching-off of trading terminals | - | 19-Jun-18 | TRADING TERMINALS SUSPENDED |
| 122 | 63 | AL Habib Capital Markets (Private.) Limited. | The Brokerage House was Advised | - | 14-Jun-18 | ACTIVE |
| 123 | 116 | Patel Securities (Private.) Limited. | The Brokerage House was Warned | - | 12-Jun-18 | ACTIVE |
| 124 | 112 | Eleven Stars Securities (Private.) Limited. | The Brokerage House was Warned | - | 12-Jun-18 | ACTIVE |
| 125 | 457 | AAA Securities (Private) Limited | The Brokerage House was Warned | - | 7-Jun-18 | ACTIVE |
| 126 | 491 | First Street Capital (Private) Limited. | The Brokerage House was Warned | - | 7-Jun-18 | ACTIVE |
| 127 | 68 | Zafar Securities (Private.) Limited. | The Brokerage House was Advised | - | 31-May-18 | ACTIVE |
| 128 | 254 | ShajarPak Securities (Private) Limited | The Brokerage House was Advised | - | 31-May-18 | ACTIVE |
| 129 | 275 | Rahat Securities Limited | The Brokerage House was Advised | - | 31-May-18 | ACTIVE |
| 130 | 22 | BMA Capital Management Limited | The Brokerage House was Advised | - | 24-May-18 | ACTIVE |
| 131 | 48 | New Capital Limited. | The Brokerage House was Advised | - | 24-May-18 | ACTIVE |
| 132 | 88 | Fawad Yusuf Securities (Private) Limited. | The Brokerage House was Advised | - | 24-May-18 | ACTIVE |
| 133 | 91 | Intermarket Securities Limited. | The Brokerage House was Advised | - | 24-May-18 | ACTIVE |
| 134 | 128 | BIPL Securities Limited. | The Brokerage House was Advised | - | 14-May-18 | ACTIVE |
| 135 | 124 | EFG Hermes Pakistan Limited | The Brokerage House was Advised | - | 11-May-18 | ACTIVE |
| 136 | 266 | Shaffi Securities (Private) Limited | Switching-off of trading terminals | - | 16-Mar-18 | ACTIVE |
| 137 | 241 | F.M. Securities (Private) Limited | The Brokerage House was Warned and Penalized and Restriction On Opening of New Clients' Account was Imposed | Rs.1,000,000/- | 9-Mar-18 | TRADING TERMINALS SUSPENDED |
| 138 | 328 | 128 Securities (Private) Limited | The Brokerage House was Warned and Penalized and Restriction On Opening of New Clients' Account was Imposed | Rs.1,000,000/- | 1-Mar-18 | ACTIVE |
| 139 | 423 | Millennium Securities & Investments | The Brokerage House was Warned | - | 23-Feb-18 | TRADING TERMINALS SUSPENDED |
| 140 | 63 | AL Habib Capital Markets (Private.) Limited. | The Brokerage House was Warned | - | 21-Feb-18 | ACTIVE |
| 141 | 57 | First Capital Equities Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.170,000/- | 20-Feb-18 | ACTIVE |
| 142 | 188 | Apex Capital Sec. (Private.) Limited | The Brokerage House was Warned | - | 16-Feb-18 | ACTIVE |
| 143 | 311 | Abbasi & Company (Private) Limited. | The Brokerage House was Warned | - | 30-Jan-18 | ACTIVE |
| 144 | 72 | TS Securities (Private) Limited. | The Brokerage House was Warned | - | 29-Dec-17 | ACTIVE |
| 145 | 444 | Xpert Securities (Private) Limited. | Restriction on Trading in Clients' Account | - | 20-Dec-17 | ACTIVE |
| 146 | 30 | Cedar Capital Private Limited. | The Brokerage House was Warned | - | 18-Dec-17 | ACTIVE |
| 147 | 281 | Shaukat Shafi Securities (Private) Limited | Suspension of Trading Terminals | - | 12-Dec-17 | TRADING TERMINALS SUSPENDED |
| 148 | 300 | AM Chaudhary Securities (Private) Limited | Suspension of Trading Terminals | - | 12-Dec-17 | ACTIVE |
| 149 | 155 | B & B Securities (Private.) Limited. | The Brokerage House was Warned | - | 11-Dec-17 | ACTIVE |
| 150 | 349 | A.S. Securities (Private) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 30,000/- | 11-Dec-17 | TRADING TERMINALS SUSPENDED |
| 151 | 55 | Shajar Capital Pakistan (Private.) Limited | The Brokerage House was Warned | - | 7-Dec-17 | ACTIVE |
| 152 | 63 | AL Habib Capital Markets (Private.) Limited. | The Brokerage House was Warned | - | 7-Dec-17 | ACTIVE |
| 153 | 96 | MSMANIAR FINANCIALS (Private.) Limited. | The Brokerage House was Warned | - | 7-Dec-17 | ACTIVE |
| 154 | 221 | Millennium Brokerage (Private.) Limited | The Brokerage House was Warned | - | 7-Dec-17 | ACTIVE |
| 155 | 254 | ShajarPak Securities (Private) Limited | The Brokerage House was Warned | - | 7-Dec-17 | ACTIVE |
| 156 | 268 | Sethi Securities Private Limited. | The Brokerage House was Warned | - | 7-Dec-17 | ACTIVE |
| 157 | 282 | Salman Majed Securities (Private.) Limited. | The Brokerage House was Warned | - | 7-Dec-17 | ACTIVE |
| 158 | 318 | Asad Mustafa Securities (Private.) Limited. | The Brokerage House was Warned | - | 7-Dec-17 | ACTIVE |
| 159 | 327 | Gul Dhani Securities (Private) Limited | The Brokerage House was Warned | - | 7-Dec-17 | ACTIVE |
| 160 | 331 | Moneyline Securities (Private) Limited | The Brokerage House was Warned | - | 7-Dec-17 | ACTIVE |
| 161 | 423 | Millennium Securities & Investments | The Brokerage House was Warned | - | 7-Dec-17 | TRADING TERMINALS SUSPENDED |
| 162 | 508 | KP Securities (Private) Limited | The Brokerage House was Warned | - | 7-Dec-17 | ACTIVE |
| 163 | 7 | Amanah Investments Limited. | The Brokerage House was Advised | - | 5-Dec-17 | ACTIVE |
| 164 | 11 | ACM Global (Private) Limited. | The Brokerage House was Advised | - | 5-Dec-17 | ACTIVE |
| 165 | 25 | Vector Securities (Private.) Limited. | The Brokerage House was Advised | - | 5-Dec-17 | ACTIVE |
| 166 | 49 | Multiline Securities (Private) Limited. | The Brokerage House was Advised | - | 5-Dec-17 | ACTIVE |
| 167 | 94 | FOM Capital Securities (Private) Limited | The Brokerage House was Advised | - | 5-Dec-17 | ACTIVE |
| 168 | 131 | GMI Capital Securities (Private.) Limited. | The Brokerage House was Warned | - | 5-Dec-17 | ACTIVE |
| 169 | 144 | Dattoo Securities (Private) Limited. | The Brokerage House was Advised | - | 5-Dec-17 | ACTIVE |
| 170 | 45 | Bhayani Securities (Private) Limited. | The Brokerage House was Warned | - | 30-Nov-17 | ACTIVE |
| 171 | 90 | Darson Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.625,000/- | 30-Nov-17 | ACTIVE |
| 172 | 135 | Y.H. Securities (Private) Limited. | The Brokerage House was Warned | - | 30-Nov-17 | ACTIVE |
| 173 | 107 | Seven Star Securities (Private.) Limited. | The Brokerage House was Warned | - | 29-Nov-17 | ACTIVE |
| 174 | 188 | Apex Capital Sec. (Private.) Limited. | The Brokerage House was Warned | - | 29-Nov-17 | ACTIVE |
| 175 | 177 | Din Capital Limited. | Suspension of Trading Terminals | - | 17-Nov-17 | ACTIVE |
| 176 | 497 | JSK Securities Limited | The Brokerage House was Warned | - | 16-Nov-17 | ACTIVE |
| 177 | 142 | Foundation Securities (Private.) Limited. | The Brokerage House was Warned | - | 14-Nov-17 | ACTIVE |
| 178 | 37 | HH Mubash Securities (Private.) Limited. | The Brokerage House was Warned | - | 13-Nov-17 | ACTIVE |
| 179 | 22 | BMA Capital Management Limited | The Brokerage House was Warned | - | 10-Nov-17 | ACTIVE |
| 180 | 129 | Taurus Securities Limited | The Brokerage House was Warned | - | 10-Nov-17 | ACTIVE |
| 181 | 52 | N.U.A. Securities (Private) Limited. | The Brokerage House was Warned | - | 8-Nov-17 | ACTIVE |
| 182 | 162 | Alba Ali Habib Securities(Private.) Limited. | The Brokerage House was Warned | - | 8-Nov-17 | ACTIVE |
| 183 | 183 | R.T. Securities (Private.) Limited. | The Brokerage House was Warned | - | 8-Nov-17 | ACTIVE |
| 184 | 265 | Infinite Securities Limited. | The Brokerage House was Warned | - | 8-Nov-17 | ACTIVE |
| 185 | 288 | Javed Iqbal Securities (Private) Limited | The Brokerage House was Warned | - | 8-Nov-17 | ACTIVE |
| 186 | 432 | Spinner Equities (Private) Limited | The Brokerage House was Warned | - | 8-Nov-17 | ACTIVE |
| 187 | 177 | Din Capital Limited. | The Brokerage House was Warned and Penalized and Restriction On Opening of New Clients' Account and Trading in House Account was Imposed | Rs.1,000,000/- | 3-Nov-17 | ACTIVE |
| 188 | 281 | Shaukat Shafi Securities (Private) Limited | Switching-off of trading terminals | - | 1-Nov-17 | TRADING TERMINALS SUSPENDED |
| 189 | 290 | K.H.S. Securities (Private) Limited | Switching-off of trading terminals | - | 30-Oct-17 | ACTIVE |
| 190 | 108 | Azee Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.450,000/- | 25-Oct-17 | ACTIVE |
| 191 | 158 | Royal Securities (Private.) Limited. | The Brokerage House was Warned | - | 19-Oct-17 | ACTIVE |
| 192 | 348 | AMCAP Securities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.25,000/- | 19-Oct-17 | TRADING TERMINALS SUSPENDED |
| 193 | 329 | S.D. Mirza Securities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.20,000/- | 5-Oct-17 | ACTIVE |
| 194 | 300 | AM Chaudhary Securities (Private) Limited | Switching-off of trading terminals | - | 20-Sep-17 | ACTIVE |
| 195 | 513 | CMA Securities (Private) Limited. | The Brokerage House was Warned | - | 6-Sep-17 | TRADING TERMINALS SUSPENDED |
| 196 | 98 | Fairtrade Capital Securities (Private.) Limited. | The Brokerage House was Warned | - | 5-Sep-17 | ACTIVE |
| 197 | 6 | Sherman Securities (Private.) Limited. | The Brokerage House was Warned | - | 30-Aug-17 | ACTIVE |
| 198 | 61 | Abbasi Securities (Private) Limited. | The Brokerage House was Warned | - | 23-Aug-17 | ACTIVE |
| 199 | 140 | M. M. Securities (Private.) Limited. | The Brokerage House was Advised | - | 23-Aug-17 | ACTIVE |
| 200 | 38 | A.H.M.Securities (Private.) Limited. | The Brokerage House was Warned | - | 18-Aug-17 | ACTIVE |
| 201 | 51 | H. P. Byramji & Co. (Private.) Limited. | The Brokerage House was Warned | - | 18-Aug-17 | ACTIVE |
| 202 | 89 | Investment Managers Sec. (Private.) Limited. | The Brokerage House was Warned | - | 18-Aug-17 | ACTIVE |
| 203 | 199 | Insight Securities (Private.) Limited. | The Brokerage House was Advised | - | 18-Aug-17 | ACTIVE |
| 204 | 148 | Oriental Securities (Private) Limited | The Brokerage House was Advised | - | 11-Aug-17 | ACTIVE |
| 205 | 328 | 128 Securities (Private) Limited | Switching-off of trading terminals | - | 3-Aug-17 | ACTIVE |
| 206 | 332 | Trust Securities & Brokerage Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.20,000/- | 31-Jul-17 | ACTIVE |
| 207 | 348 | AMCAP Securities (Private) Limited | The Brokerage House was Warned and Penalized and Restriction On Opening of New Clients' Account was Continued | Rs.460,000/- | 21-Jul-17 | TRADING TERMINALS SUSPENDED |
| 208 | 116 | Patel Securities (Private.) Limited. | The Brokerage House was Warned | - | 10-Jul-17 | ACTIVE |
| 209 | 191 | Market 786 (Private) Limited. | The Brokerage House was Warned | - | 10-Jul-17 | ACTIVE |
| 210 | 256 | Progressive Securities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.250,000/- | 10-Jul-17 | ACTIVE |
| 211 | 6 | Sherman Securities (Private.) Limited. | The Brokerage House was Warned | - | 5-Jul-17 | ACTIVE |
| 212 | 24 | ASDA Securities (Private.) Limited. | The Brokerage House was Warned | - | 5-Jul-17 | ACTIVE |
| 213 | 42 | Ikon Capital Management (Private) Limited. | The Brokerage House was Warned | - | 5-Jul-17 | ACTIVE |
| 214 | 56 | Nael Capital (Private.) Limited. | The Brokerage House was Warned | - | 5-Jul-17 | ACTIVE |
| 215 | 61 | Abbasi Securities (Private) Limited. | The Brokerage House was Warned | - | 5-Jul-17 | ACTIVE |
| 216 | 79 | Irfan Mazhar Securities (Private.) Limited | The Brokerage House was Warned | - | 5-Jul-17 | ACTIVE |
| 217 | 92 | Memon Securities (Private) Limited. | The Brokerage House was Warned | - | 5-Jul-17 | ACTIVE |
| 218 | 120 | Alfalsh Securities (Private.) Limited. | The Brokerage House was Warned | - | 5-Jul-17 | ACTIVE |
| 219 | 144 | Dattoo Securities (Private) Limited. | The Brokerage House was Warned | - | 5-Jul-17 | ACTIVE |
| 220 | 155 | B & B Securities (Private.) Limited. | The Brokerage House was Warned | - | 5-Jul-17 | ACTIVE |
| 221 | 237 | IAK Securities (Private.) Limited. | The Brokerage House was Warned | - | 5-Jul-17 | ACTIVE |
| 222 | 482 | New Peak Securities(Private) Limited | The Brokerage House was Warned | - | 5-Jul-17 | ACTIVE |
| 223 | 98 | Fairtrade Capital Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.30,000/- | 22-Jun-17 | ACTIVE |
| 224 | 108 | Azee Securities (Private.) Limited. | Suspension of Trading Terminals | - | 22-Jun-17 | ACTIVE |
| 225 | 112 | Standard Capital Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.10,000/- | 20-Jun-17 | ACTIVE |

**Enforcement Actions Taken by Pakistan Stock Exchange Limited (PSX)
For The Period Starting From May 01, 2016 Till May 31, 2019**

| S. No. | TREC No. | Name of TREC Holder | Disciplinary Actions | Amount of Penalty (if any) | Date of Enforcement Actions | Current Status |
|--------|----------|--|---|----------------------------|-----------------------------|-----------------------------|
| 226 | 6 | Sherman Securities (Private) Limited. | The Brokerage House was Warned | - | 15-Jun-17 | ACTIVE |
| 227 | 490 | Baba Equities (Private) Limited. | The Brokerage House was Warned | - | 15-Jun-17 | ACTIVE |
| 228 | 513 | CMA Securities (Private) Limited. | The Brokerage House was Warned | - | 15-Jun-17 | TRADING TERMINALS SUSPENDED |
| 229 | 61 | Abbasi Securities (Private) Limited. | The Brokerage House was Warned | - | 12-Jun-17 | ACTIVE |
| 230 | 126 | NINI Securities (Private) Limited. | The Brokerage House was Warned | - | 12-Jun-17 | ACTIVE |
| 231 | 163 | Friendly Securities (Private) Limited. | The Brokerage House was Warned | - | 12-Jun-17 | ACTIVE |
| 232 | 308 | Bridge Securities (Private) Limited | The Brokerage House was Warned | - | 12-Jun-17 | ACTIVE |
| 233 | 350 | Guinez Securities (Private) Limited | The Brokerage House was Warned | - | 12-Jun-17 | ACTIVE |
| 234 | 481 | Riaz Ahmed Securities (Private) Limited. | The Brokerage House was Warned | - | 12-Jun-17 | ACTIVE |
| 235 | 523 | Fahri Capital Private Limited | The Brokerage House was Warned | - | 12-Jun-17 | ACTIVE |
| 236 | 443 | General Investment & Ssc | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.30,000/- | 9-Jun-17 | ACTIVE |
| 237 | 89 | Investment Managers Sec. (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.30,000/- | 8-Jun-17 | ACTIVE |
| 238 | 147 | A. I. Securities (Private) Limited. | The Brokerage House was Warned | - | 8-Jun-17 | ACTIVE |
| 239 | 38 | A.H.M.Securities (Private.) Limited. | The Brokerage House was Warned | - | 7-Jun-17 | ACTIVE |
| 240 | 140 | M. M. Securities (Private.) Limited. | The Brokerage House was Warned | - | 7-Jun-17 | ACTIVE |
| 241 | 199 | Insight Securities (Private.) Limited. | The Brokerage House was Warned | - | 7-Jun-17 | ACTIVE |
| 242 | 51 | H. P. Biryani & Co. (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.30,000/- | 5-Jun-17 | ACTIVE |
| 243 | 58 | Dawood Equities Limited. | Suspension of Trading Terminals | - | 5-Jun-17 | ACTIVE |
| 244 | 187 | SAZ Capital Securities (Private) Limited | The Brokerage House was Warned | - | 2-Jun-17 | ACTIVE |
| 245 | 339 | Khawaja Securities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.50,000/- | 2-Jun-17 | ACTIVE |
| 246 | 420 | Progressive Inves. Management (Private) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.50,000/- | 2-Jun-17 | ACTIVE |
| 247 | 102 | Growth Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.50,000/- | 31-May-17 | ACTIVE |
| 248 | 490 | Baba Equities (Private) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.10,000/- | 31-May-17 | ACTIVE |
| 249 | 234 | Value Stock and Commodities (Private) Limited. | The Brokerage House was Warned and Penalized and Restriction On Opening of New Clients' Account was Imposed | Rs.500,000/- | 30-May-17 | ACTIVE |
| 250 | 14 | Merchant Investments (Private.) Limited. | The Brokerage House was Warned | - | 29-May-17 | ACTIVE |
| 251 | 31 | Ashfaq Ashraf Securities (Private.) Limited. | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 252 | 59 | H. H. K. Securities (Private) Limited. | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 253 | 60 | R. A. Securities (Private.) Limited. | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 254 | 86 | Fort Securities (Private) Limited. | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 255 | 93 | Venus Securities (Private) Limited. | Switching-off of trading terminals | - | 29-May-17 | ACTIVE |
| 256 | 106 | MAC Securities (Private) Limited. | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 257 | 111 | S.M Securities (Private.) Limited. | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 258 | 123 | MAS Capital Sec. (Private.) Limited. | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 259 | 164 | Interactive Securities (Private.) Limited. | Switching-off of trading terminals | - | 29-May-17 | ACTIVE |
| 260 | 198 | Motwalla Securities (Private.) Limited. | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 261 | 203 | Brains Securities (Private) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.80,000/- | 29-May-17 | ACTIVE |
| 262 | 220 | Z M Capital (Private.) Limited. | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 263 | 223 | MAAN Securities (Private.) Limited. | Switching-off of trading terminals | - | 29-May-17 | ACTIVE |
| 264 | 236 | Techno Fundamental Securities (Private) Limited | The Brokerage House was Warned | - | 29-May-17 | ACTIVE |
| 265 | 299 | Allied Securities (Private) Limited | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 266 | 119 | Sher Capital Equities (Private) Limited. | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 267 | 324 | Union Securities (Private) Limited | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 268 | 333 | BMS Capital (Private) Limited. | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 269 | 441 | S.A Securities (Private) Limited. | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 270 | 455 | Prime Capital Management (Private) Limited | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 271 | 500 | Chippa Securities (Private) Limited. | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 272 | 501 | Ahsan Securities (Private) Limited. | Switching-off of trading terminals | - | 29-May-17 | ACTIVE |
| 273 | 510 | JCR Capital Securities (Private) Limited | Switching-off of trading terminals | - | 29-May-17 | TRADING TERMINALS SUSPENDED |
| 274 | 517 | South Asian Securities (Private) Limited. | Switching-off of trading terminals | - | 29-May-17 | NOTICE FOR SURRENDER |
| 275 | 148 | Oriental Securities (Private) Limited | The Brokerage House was Warned | - | 26-May-17 | ACTIVE |
| 276 | 286 | Dossiani's Securities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.40,000/- | 26-May-17 | ACTIVE |
| 277 | 275 | Rahat Securities Limited | The Brokerage House was Warned | - | 23-May-17 | ACTIVE |
| 278 | 90 | Narain Securities (Private.) Limited | The Brokerage House was Warned | - | 15-May-17 | ACTIVE |
| 279 | 78 | Ghani Qamar Securities (Pvt.) Ltd. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.75,000/- | 15-May-17 | ACTIVE |
| 280 | 90 | Danson Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.50,000/- | 26-Apr-17 | ACTIVE |
| 281 | 297 | MSD Capital Equities (Private) Limited. | Suspension of Trading Terminals | - | 26-Apr-17 | ACTIVE |
| 282 | 107 | Seven Star Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.10,000/- | 20-Apr-17 | ACTIVE |
| 283 | 134 | Q. Ain Khanani Securities (Private.) Limited. | The Brokerage House was Warned | - | 20-Apr-17 | ACTIVE |
| 284 | 175 | First National Equities Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.370,000/- | 13-Apr-17 | ACTIVE |
| 285 | 123 | Aded & Nadeem Securities (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 60,000/- | 13-Apr-17 | ACTIVE |
| 286 | 491 | First Street Capital (Private) Limited. | The Brokerage House was Warned | - | 13-Apr-17 | ACTIVE |
| 287 | 442 | General Investment & Sec | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.75,000/- | 12-Apr-17 | ACTIVE |
| 288 | 348 | AMCAP Securities (Private) Limited | Suspension of Trading Terminals | - | 5-Apr-17 | TRADING TERMINALS SUSPENDED |
| 289 | 85 | Concordia Securities (Private) Limited. | The Brokerage House was Warned | - | 13-Mar-17 | ACTIVE |
| 290 | 12 | Reliance Securities Limited. | Suspension of Trading Terminals | - | 8-Mar-17 | ACTIVE |
| 291 | 299 | Allied Securities (Private) Limited | Suspension of Trading Terminals | - | 8-Mar-17 | TRADING TERMINALS SUSPENDED |
| 292 | 510 | JCR Capital Securities (Private) Limited | Suspension of Trading Terminals | - | 8-Mar-17 | TRADING TERMINALS SUSPENDED |
| 293 | 145 | Adam Securities Limited. | The Brokerage House was Warned | - | 3-Mar-17 | ACTIVE |
| 294 | 199 | Insight Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.10,000/- | 3-Mar-17 | ACTIVE |
| 295 | 91 | Intermarket Securities Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.30,000/- | 28-Feb-17 | ACTIVE |
| 296 | 117 | Fikree's Private Limited | The Brokerage House was Warned | - | 28-Feb-17 | ACTIVE |
| 297 | 36 | Time Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.10,000/- | 22-Feb-17 | ACTIVE |
| 298 | 63 | Al Habib Capital Markets (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.10,000/- | 22-Feb-17 | ACTIVE |
| 299 | 120 | Alfalsh Securities (Private.) Limited. | The Brokerage House was Warned | - | 22-Feb-17 | ACTIVE |
| 300 | 150 | Askari Securities Limited. | The Exchange vide its Enforcement Order upheld The original decisions i.e. penalty of Rs.10,000/- was imposed | Rs.10,000/- | 20-Feb-17 | ACTIVE |
| 301 | 212 | Horizon Securities Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.10,000/- | 20-Feb-17 | ACTIVE |
| 302 | 10 | Sakharwal Capital Sec. (Private.) Limited | The Brokerage House was Warned | - | 17-Feb-17 | ACTIVE |
| 303 | 12 | Reliance Securities Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.10,000/- | 17-Feb-17 | ACTIVE |
| 304 | 128 | BIPL Securities Limited. | The Brokerage House was Warned | - | 6-Feb-17 | ACTIVE |
| 305 | 84 | M. Munir Khanani Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.10,000/- | 31-Jan-17 | ACTIVE |
| 306 | 102 | Growth Securities (Private.) Limited. | The Brokerage House was Warned | - | 31-Jan-17 | ACTIVE |
| 307 | 68 | Zafar Securities (Private.) Limited. | Restriction On Buy Side Transactions | - | 30-Jan-17 | ACTIVE |
| 308 | 84 | M. Munir Khanani Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.10,000/- | 19-Jan-17 | ACTIVE |
| 309 | 62 | WE Financial Services Limited. | The Brokerage House was Advised | - | 18-Jan-17 | ACTIVE |
| 310 | 27 | Habib Metropolitan Financial Services Lt | The Brokerage House was Warned | - | 9-Jan-17 | ACTIVE |
| 311 | 299 | Allied Securities (Private) Limited | Suspension of Trading Terminals | - | 2-Jan-17 | TRADING TERMINALS SUSPENDED |
| 312 | 300 | AM Chaudhary Securities (Private) Limited | Suspension of Trading Terminals | - | 2-Jan-17 | ACTIVE |
| 313 | 441 | S.A Securities (Private) Limited. | Suspension of Trading Terminals | - | 2-Jan-17 | TRADING TERMINALS SUSPENDED |
| 314 | 194 | MIRA Securities Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.25,000/- | 26-Dec-16 | ACTIVE |
| 315 | 32 | Zafar Mott Capital Sec. (Private) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.40,000/- | 22-Dec-16 | ACTIVE |
| 316 | 330 | Muhammad Amer Riaz Securities (Private) Limited | The Brokerage House was Warned | - | 22-Dec-16 | ACTIVE |
| 317 | 90 | Danson Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.50000/- | 15-Dec-16 | ACTIVE |
| 318 | 95 | SNM Securities (Private) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.50,000/- | 9-Dec-16 | TRADING TERMINALS SUSPENDED |
| 319 | 117 | Fikree's Private Limited | The Brokerage House was Warned | - | 9-Dec-16 | ACTIVE |
| 320 | 420 | Progressive Inves. Management (Private) Limited. | The Brokerage House was Warned | - | 7-Dec-16 | ACTIVE |
| 321 | 241 | F.M. Securities (Private) Limited | The Brokerage House was Warned | - | 6-Dec-16 | TRADING TERMINALS SUSPENDED |
| 322 | 119 | Axis Global Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.150,000/- | 5-Dec-16 | ACTIVE |
| 323 | 466 | Unex Securities (Private) Limited | The Brokerage House was Warned | - | 5-Dec-16 | ACTIVE |
| 324 | 112 | Standard Capital Securities (Private.) Limited. | The Brokerage House was Warned | - | 1-Dec-16 | ACTIVE |
| 325 | 28 | Ghani Osman Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 60,000/- | 30-Nov-16 | ACTIVE |
| 326 | 300 | AM Chaudhary Securities (Private) Limited | Switching-off of trading terminals | - | 30-Nov-16 | ACTIVE |
| 327 | 19 | AKD Securities Limited. | The Brokerage House was Warned | - | 29-Nov-16 | ACTIVE |
| 328 | 287 | High Land Securities (Private) Limited | The Brokerage House was Warned | - | 28-Nov-16 | ACTIVE |
| 329 | 296 | MGM Securities (Private) Limited | The Brokerage House was Warned | - | 28-Nov-16 | ACTIVE |
| 330 | 46 | Fortune Securities Limited | The Brokerage House was Warned | - | 25-Nov-16 | ACTIVE |
| 331 | 91 | Intermarket Securities Limited. | The Brokerage House was Warned | - | 24-Nov-16 | ACTIVE |
| 332 | 116 | Patel Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 20,000/- | 24-Nov-16 | ACTIVE |
| 333 | 120 | Alfalsh Securities (Private.) Limited. | The Brokerage House was Warned | - | 24-Nov-16 | ACTIVE |
| 334 | 262 | GPH Securities (Private) Limited | The Brokerage House was Warned | - | 21-Nov-16 | ACTIVE |
| 335 | 22 | BMA Capital Management Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.100,000/- | 18-Nov-16 | ACTIVE |
| 336 | 18 | Ismael Iqbal Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 100,000/- | 15-Nov-16 | ACTIVE |
| 337 | 21 | Alfa Adhi Securities (Private.) Limited. | The Brokerage House was Warned | - | 11-Nov-16 | ACTIVE |
| 338 | 77 | Best Securities (Private) Limited. | The Brokerage House was Warned | - | 11-Nov-16 | ACTIVE |
| 339 | 113 | Tannu Securities (Private) Limited. | The Brokerage House was Warned | - | 11-Nov-16 | ACTIVE |
| 340 | 160 | Moonaco Securities (Private.) Limited. | The Brokerage House was Warned | - | 11-Nov-16 | ACTIVE |
| 341 | 185 | Investlink Capital (Private) Limited. | The Brokerage House was Warned | - | 11-Nov-16 | ACTIVE |

**Enforcement Actions Taken by Pakistan Stock Exchange Limited (PSX)
For The Period Starting From May 01, 2016 Till May 31, 2019**

| S. No. | TREC No. | Name of TREC Holder | Disciplinary Actions | Amount of Penalty (If any) | Date of Enforcement Actions | Current Status |
|--------|----------|--|--|----------------------------|-----------------------------|-----------------------------|
| 342 | 212 | Horizon Securities Limited. | The Brokerage House was Warned | - | 11-Nov-16 | ACTIVE |
| 343 | 68 | Zafar Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 25,000/- | 10-Nov-16 | ACTIVE |
| 344 | 94 | FDM Capital Securities (Private.) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.10,000/- | 10-Nov-16 | ACTIVE |
| 345 | 235 | Jamshaid & Hasan Securities (Private.) Limited | The Brokerage House was Warned | - | 10-Nov-16 | ACTIVE |
| 346 | 347 | Amer Securities (Private.) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.50,000/- | 10-Nov-16 | ACTIVE |
| 347 | 309 | HMC Stocks (Private.) Limited. | The Brokerage House was Warned | - | 9-Nov-16 | ACTIVE |
| 348 | 329 | S.D. Mirza Securities (Private.) Limited | The Brokerage House was Warned | - | 9-Nov-16 | ACTIVE |
| 349 | 482 | New Peak Securities(Private.) Limited. | The Brokerage House was Warned | - | 4-Nov-16 | ACTIVE |
| 350 | 98 | Fairtrade Capital Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.20,000/- | 31-Oct-16 | ACTIVE |
| 351 | 510 | JCR Capital Securities (Private.) Limited | Switching off of Trading Terminals | - | 31-Oct-16 | TRADING TERMINALS SUSPENDED |
| 352 | 6 | Sherman Securities (Private.) Limited. | The Brokerage House was Warned | - | 24-Oct-16 | ACTIVE |
| 353 | 171 | AMPLE Securities (Private.) Limited. | The Brokerage House was Warned | - | 24-Oct-16 | ACTIVE |
| 354 | 48 | Next Capital Limited | The Brokerage House was Warned | - | 21-Oct-16 | ACTIVE |
| 355 | 90 | Darson Securities (Private.) Limited. | The Brokerage House was Warned | - | 19-Oct-16 | ACTIVE |
| 356 | 62 | WE Financial Services Limited. | The Brokerage House was Warned | - | 18-Oct-16 | ACTIVE |
| 357 | 51 | H.P. Byramji & Co. (Private.) Limited. | Restriction On Buy Side Transactions | - | 14-Oct-16 | ACTIVE |
| 358 | 50 | Arif Habib Limited. | The Brokerage House was Warned | - | 13-Oct-16 | ACTIVE |
| 359 | 63 | AL Habib Capital Markets (Private.) Limited. | The Brokerage House was Warned | - | 13-Oct-16 | ACTIVE |
| 360 | 18 | Ismail Iqbal Securities (Private.) Limited. | The Brokerage House was Warned | - | 1-Sep-16 | ACTIVE |
| 361 | 96 | MSMANIAR FINANCIALS (Private.) Limited. | The Brokerage House was Warned | - | 1-Sep-16 | ACTIVE |
| 362 | 510 | JCR Capital Securities (Private.) Limited | The Brokerage House was Warned | - | 1-Sep-16 | TRADING TERMINALS SUSPENDED |
| 363 | 432 | Spindler Equities(Private.) Limited | The Brokerage House was Advised | - | 26-Aug-16 | ACTIVE |
| 364 | 497 | J&K Securities Limited | The Brokerage House was Warned | - | 26-Aug-16 | ACTIVE |
| 365 | 85 | Concordia Securities (Private.) Limited. | The Brokerage House was Warned | - | 5-Aug-16 | ACTIVE |
| 366 | 177 | Din Capital Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 450,000/- | 3-Aug-16 | ACTIVE |
| 367 | 410 | Zahid Latif Khan Securities (Private.) Limited. | The Brokerage House was Warned | - | 27-Jul-16 | ACTIVE |
| 368 | 251 | MND Investment (Private.) Limited | The Brokerage House was Warned | - | 19-Jul-16 | ACTIVE |
| 369 | 229 | Fairway Securities (Private.) Limited. | The Brokerage House was Warned | - | 4-Jul-16 | ACTIVE |
| 370 | 290 | K.H.S. Securities (Private.) Limited | The Brokerage House was Warned | - | 22-Jun-16 | ACTIVE |
| 371 | 314 | Equity Master Securities (Private.) Limited | The Brokerage House was Advised | - | 22-Jun-16 | ACTIVE |
| 372 | 332 | Trust Securities & Brokerage Limited. | The Brokerage House was Warned | - | 15-Jun-16 | ACTIVE |
| 373 | 229 | Fairway Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.100,000/- | 13-Jun-16 | ACTIVE |
| 374 | 234 | Value Stock and Commodities (Private.) Limited. | The Brokerage House was Warned | - | 13-Jun-16 | ACTIVE |
| 375 | 256 | Progressive Securities (Private.) Limited | The Brokerage House was Warned | - | 13-Jun-16 | ACTIVE |
| 376 | 432 | Spindler Equities(Private.) Limited | The Brokerage House was Warned | - | 13-Jun-16 | ACTIVE |
| 377 | 497 | J&K Securities Limited | The Brokerage House was Warned | - | 13-Jun-16 | ACTIVE |
| 378 | 512 | Chenab Stock Services (Private.) Limited. | The Brokerage House was Advised | - | 13-Jun-16 | APPLIED FOR SURRENDER |
| 379 | 224 | K & I Global Capital (Private.) Limited. | The Brokerage House was Warned | - | 10-Jun-16 | ACTIVE |
| 380 | 261 | M.F. Stocks (Private.) Limited. | The Brokerage House was Advised | - | 10-Jun-16 | TRADING TERMINALS SUSPENDED |
| 381 | 284 | ASA Stocks (Private.) Limited. | The Brokerage House was Warned | - | 10-Jun-16 | ACTIVE |
| 382 | 297 | MSD Capital Equities (Private.) Limited. | The Brokerage House was Warned | - | 10-Jun-16 | ACTIVE |
| 383 | 346 | Strongman Securities (Private.) Limited | The Brokerage House was Warned | - | 10-Jun-16 | ACTIVE |
| 384 | 239 | Ayub Chaudhry Investments (Private.) Limited. | The Brokerage House was Warned | - | 9-Jun-16 | ACTIVE |
| 385 | 15 | Saya Securities (Private.) Limited. | The Brokerage House was Warned | - | 8-Jun-16 | ACTIVE |
| 386 | 138 | Escorts Capital Limited. | The Brokerage House was Warned | - | 8-Jun-16 | TRADING TERMINALS SUSPENDED |
| 387 | 223 | MAAN Securities (Private.) Limited. | The Brokerage House was Warned | - | 8-Jun-16 | ACTIVE |
| 388 | 288 | Javed Iqbal Securities (Private.) Limited | The Brokerage House was Warned | - | 8-Jun-16 | ACTIVE |
| 389 | 42 | Ikon Capital Management (Private.) Limited. | The Brokerage House was Warned | - | 6-Jun-16 | ACTIVE |
| 390 | 184 | Prime Securities (Private.) Limited. | The Brokerage House was Warned | - | 6-Jun-16 | ACTIVE |
| 391 | 339 | Khawaja Securities (Private.) Limited | The Brokerage House was Warned | - | 6-Jun-16 | ACTIVE |
| 392 | 478 | Pasha Securities (Private.) Limited | The Brokerage House was Warned | - | 6-Jun-16 | ACTIVE |
| 393 | 338 | Switch Securities (Private.) Limited | The Brokerage House was Warned and Financial Penalty was Imposed | Rs.100,000/- | 3-Jun-16 | TRADING TERMINALS SUSPENDED |
| 394 | 132 | Eleven Stars Securities (Private.) Limited. | The Brokerage House was Warned | - | 31-May-16 | ACTIVE |
| 395 | 181 | First Equity Modaraba | The Brokerage House was Warned | - | 31-May-16 | ACTIVE |
| 396 | 457 | AAA Securities (Private.) Limited | The Brokerage House was Warned | - | 31-May-16 | ACTIVE |
| 397 | 118 | Sunrise Capital (Private.) Limited. | The Brokerage House was Warned | - | 26-May-16 | TRADING TERMINALS SUSPENDED |
| 398 | 108 | Azee Securities (Private.) Limited. | The Brokerage House was Warned and Financial Penalty was Imposed | Rs. 50,000/- | 25-May-16 | ACTIVE |
| 399 | 149 | J5 Global Capital Limited. | The Brokerage House was Advised | - | 24-May-16 | ACTIVE |
| 400 | 171 | AMPLE Securities (Private.) Limited. | The Brokerage House was Warned | - | 24-May-16 | ACTIVE |
| 401 | 109 | Dalal Securities (Private.) Limited. | The Brokerage House was Warned | - | 19-May-16 | ACTIVE |
| 402 | 169 | Pearl Securities Limited. | The Brokerage House was Warned | - | 19-May-16 | ACTIVE |
| 403 | 36 | Time Securities (Private.) Limited. | The Brokerage House was Warned | - | 18-May-16 | ACTIVE |
| 404 | 173 | Spectrum Securities Limited. | The Brokerage House was Warned | - | 18-May-16 | ACTIVE |
| 405 | 102 | Growth Securities (Private.) Limited. | The Brokerage House was Warned | - | 17-May-16 | ACTIVE |
| 406 | 125 | Gazipura Securities & Services (Private.) Lt | The Brokerage House was Warned | - | 17-May-16 | ACTIVE |
| 407 | 194 | MIRA Securities Limited. | The Brokerage House was Warned | - | 17-May-16 | ACTIVE |
| 408 | 10 | Sakamala Capital Sec. (Private.) Limited | The Brokerage House was Warned | - | 16-May-16 | ACTIVE |
| 409 | 16 | DJM Securities (Private.) Limited. | The Brokerage House was Warned | - | 16-May-16 | ACTIVE |
| 410 | 66 | Iqbal Usman Kodv. Sec. (Private.) Limited | The Brokerage House was Warned | - | 16-May-16 | ACTIVE |
| 411 | 35 | Surmawala Securities (Private.) Limited. | The Brokerage House was Warned | - | 11-May-16 | ACTIVE |
| 412 | 143 | Saao Capital (Private.) Limited. | The Brokerage House was Warned | - | 11-May-16 | ACTIVE |
| 413 | 12 | Reliance Securities Limited. | The Brokerage House was Warned | - | 9-May-16 | ACTIVE |
| 414 | 121 | Salim Sozer Securities (Private.) Limited. | The Brokerage House was Warned | - | 9-May-16 | ACTIVE |
| 415 | 91 | Intermarket Securities Limited. | The Brokerage House was Warned | - | 4-May-16 | ACTIVE |
| 416 | 138 | Escorts Capital Limited. | The Brokerage House was Warned | - | 4-May-16 | TRADING TERMINALS SUSPENDED |
| 417 | 119 | Axis Global Limited | The Brokerage House was Warned | - | 3-May-16 | ACTIVE |
| 418 | 175 | First National Equities Limited. | The Brokerage House was Warned | - | 3-May-16 | ACTIVE |

**Enforcement Actions Taken by Pakistan Stock Exchange Limited (PSX)
For The Period Starting From May 01, 2016 Till May 31, 2019**

| S. No. | TREC No. | Name of TREC Holder | Disciplinary Actions | Amount of Penalty (if any) | Date of Enforcement Actions | Current Status |
|--|----------|---|--|----------------------------|-----------------------------|----------------|
| Actions taken by Market Surveillance Department (MSD) : | | | | | | |
| 1 | 142 | Foundation Securities (Pvt.) Limited | Advised | - | 16-Apr-19 | ACTIVE |
| 2 | 248 | Khadim Ali Shah Bukhari Securities (Private) Limited | Stern Warning | - | 27-Mar-19 | ACTIVE |
| 3 | 196 | RAH Securities (Private) Limited | Stern Warning | - | 27-Mar-19 | ACTIVE |
| 4 | 212 | Horizon Securities Limited | Stern Warning | - | 26-Mar-19 | ACTIVE |
| 5 | 149 | JS Global Capital Limited | Stern Warning | - | 26-Mar-19 | ACTIVE |
| 6 | 16 | DIUM Securities (Pvt.) Limited | Stern Warning | - | 7-Mar-19 | ACTIVE |
| 7 | 94 | FDM Capital Securities (Private) Limited | Stern Warning | - | 7-Mar-19 | ACTIVE |
| 8 | 144 | Dattoo Securities (Private) Limited | Stern Warning | - | 7-Mar-19 | ACTIVE |
| 9 | 163 | Freindly Securities (Pvt.) Limited | Confiscation of Profits | 214,966 | 7-Mar-19 | ACTIVE |
| 10 | 28 | Chari Osman Securities (Private) Limited | Case Referred to SECP For Review and Necessary Action | - | 26-Feb-19 | ACTIVE |
| 11 | 50 | Arif Habib Limited | Case Referred to SECP For Review and Necessary Action | - | 26-Feb-19 | ACTIVE |
| 12 | 58 | Dawood Equities Limited | Case Referred to SECP For Review and Necessary Action | - | 26-Feb-19 | ACTIVE |
| 13 | 166 | Topline Securities (Private) Limited | Case Referred to SECP For Review and Necessary Action | - | 26-Feb-19 | ACTIVE |
| 14 | 1 | Altat Adam Securities (Private) Limited | Advised | - | 19-Feb-19 | ACTIVE |
| 15 | 112 | Standard Capital Securities (Private) Limited | Advised | - | 13-Feb-19 | ACTIVE |
| 16 | 142 | Foundation Securities (Pvt.) Limited | Advised | - | 13-Feb-19 | ACTIVE |
| 17 | 22 | BMA Capital Management Limited | Advised | - | 13-Feb-19 | ACTIVE |
| 18 | 57 | First Capital Equities Limited | Advised | - | 13-Feb-19 | ACTIVE |
| 19 | 204 | Backers & Partners (Private) Limited | Stern Warning | - | 1-Feb-19 | ACTIVE |
| 20 | 24 | ASDA Securities (Private) Limited | Fine and confiscation of Profit along with Stern Warning | 30,000 | 1-Feb-19 | ACTIVE |
| 21 | 49 | Multiline Securities (Pvt.) Ltd. | Stern Warning | - | 1-Feb-19 | ACTIVE |
| 22 | 18 | Ismael Iqbal Securities (Pvt.) Limited | Stern Warning | - | 1-Feb-19 | ACTIVE |
| 23 | 36 | Time Securities (Private) Limited | Confiscation of Profit along with Stern Warning | 13,435 | 1-Feb-19 | ACTIVE |
| 24 | 347 | Amer Securities (Pvt.) Ltd. | Stern Warning | - | 1-Feb-19 | ACTIVE |
| 25 | 52 | N.U.A. Securities (Private) Limited | Penalty Imposed along with confiscation of profits | 10,054 | 24-Jan-19 | ACTIVE |
| 26 | 45 | Bhayani Securities (Private) Limited | Penalty Imposed along with confiscation of profits | 98,350 | 24-Jan-19 | ACTIVE |
| 27 | 193 | Akhal Securities (Pvt.) Limited | Stern Warning | - | 24-Jan-19 | ACTIVE |
| 28 | 23 | Bhanani Securities (Private) Limited | Penalty Imposed | 36,320 | 24-Jan-19 | ACTIVE |
| 29 | 1 | Altat Adam Securities (Private) Limited | Penalty Imposed along with confiscation of profits | 52,495 | 24-Jan-19 | ACTIVE |
| 30 | 44 | IGI Finex Securities Limited | Advised | - | 23-Jan-19 | ACTIVE |
| 31 | 124 | EFQ Hermes Pak Ltd | Advised | - | 23-Jan-19 | ACTIVE |
| 32 | 6 | Sherman Securities (Pvt.) Ltd. | Advised | - | 23-Jan-19 | ACTIVE |
| 33 | 22 | BMA Capital Management Limited | Advised | - | 23-Jan-19 | ACTIVE |
| 34 | 90 | Darson Securities (Private) Limited | Advised | - | 10-Jan-19 | ACTIVE |
| 35 | 149 | JS Global Capital Limited | Advised | - | 10-Jan-19 | ACTIVE |
| 36 | 52 | N.U.A. Securities (Private) Limited | Strictly Advised | - | 4-Jan-19 | ACTIVE |
| 37 | 91 | Intermarket Securities Limited | Strictly Advised | - | 4-Jan-19 | ACTIVE |
| 38 | 102 | Growth Securities (Pvt.) Limited | Advised | - | 3-Jan-19 | ACTIVE |
| 39 | 166 | Topline Securities (Private) Limited | Advised | - | 1-Jan-19 | ACTIVE |
| 40 | 116 | Patel Securities Pvt Ltd. | Confiscation of Profits | 4,777 | 21-Dec-18 | ACTIVE |
| 41 | 159 | Rafi Securities (Private) Limited | Confiscation of Profits | 56,853 | 21-Dec-18 | ACTIVE |
| 42 | 256 | Progressive Securities (Private) Limited | Confiscation of Profits | 11,539 | 21-Dec-18 | ACTIVE |
| 43 | 50 | Arif Habib Limited | Strictly Advised | - | 13-Dec-18 | ACTIVE |
| 44 | 84 | Muhammad Munir Muhammad Ahmed Khanani Securities (Pvt.) Ltd | Strictly Advised | - | 13-Dec-18 | ACTIVE |
| 45 | 102 | Growth Securities (Pvt.) Limited | Advised | - | 27-Nov-18 | ACTIVE |
| 46 | 145 | Adam Securities (Pvt.) Ltd. | Stern Warning | - | 2-Nov-18 | ACTIVE |
| 47 | 120 | Affafah Securities (Private) Limited | Stern Warning | - | 2-Nov-18 | ACTIVE |
| 48 | 224 | K & I Global Capital (Private) Limited | Stern Warning | - | 2-Nov-18 | ACTIVE |
| 49 | 187 | SAZ Capital Securities (Pvt.) Ltd. | Stern Warning | - | 2-Nov-18 | ACTIVE |
| 50 | 62 | WE Financial Services Limited | Stern Warning | - | 2-Nov-18 | ACTIVE |
| 51 | 223 | Maan Securities (Private) Limited | Penalty Imposed | 5,500 | 1-Nov-18 | ACTIVE |
| 52 | 91 | Intermarket Securities Limited | Penalty Imposed | 12,500 | 1-Nov-18 | ACTIVE |
| 53 | 128 | NPX Securities Limited | Penalty Imposed | 1,050 | 1-Nov-18 | ACTIVE |
| 54 | 84 | Muhammad Munir Muhammad Ahmed Khanani Securities (Pvt.) Ltd | Advised | - | 24-Oct-18 | ACTIVE |
| 55 | 169 | Pearl Securities Limited | Stern Warning | - | 9-Oct-18 | ACTIVE |
| 56 | 179 | Continental Capital Management (Pvt) Ltd. | Stern Warning | - | 9-Oct-18 | ACTIVE |
| 57 | 212 | Horizon Securities Limited | Stern Warning | - | 9-Oct-18 | ACTIVE |
| 58 | 6 | Sherman Securities (Pvt.) Ltd. | Stern Warning | - | 5-Oct-18 | ACTIVE |
| 59 | 17 | Summit Capital (Private) Limited | Penalty Imposed | 10,000 | 5-Oct-18 | ACTIVE |
| 60 | 18 | Ismael Iqbal Securities (Pvt.) Limited | Penalty Imposed | 20,000 | 5-Oct-18 | ACTIVE |
| 61 | 77 | Best Securities (Private) Limited | Stern Warning | - | 5-Oct-18 | ACTIVE |
| 62 | 108 | Azee Securities (Pvt.) Ltd. | Stern Warning | - | 5-Oct-18 | ACTIVE |
| 63 | 112 | Standard Capital Securities (Private) Limited | Strictly Advised | - | 25-Sep-18 | ACTIVE |
| 64 | 145 | Adam Securities (Pvt.) Ltd. | Strictly Advised | - | 25-Sep-18 | ACTIVE |
| 65 | 194 | MRA Securities (Private) Limited | Strictly Advised | - | 25-Sep-18 | ACTIVE |
| 66 | 228 | Al-Haq Securities (Private) Limited | Advised | - | 25-Sep-18 | ACTIVE |
| 67 | 91 | Intermarket Securities Limited | Advised | - | 25-Sep-18 | ACTIVE |
| 68 | 297 | MSD Capital Equities (Private) Limited | Stern Warning | - | 7-Sep-18 | ACTIVE |
| 69 | 267 | Bismillah Securities (Private) Limited | Stern Warning | - | 7-Sep-18 | ACTIVE |
| 70 | 22 | BMA Capital Management Limited | Stern Warning | - | 7-Sep-18 | ACTIVE |
| 71 | 45 | Bhayani Securities (Private) Limited | Penalty Imposed along with confiscation of profits | 12,923 | 7-Sep-18 | ACTIVE |
| 72 | 8 | Optimus Capital Management (Pvt.) Ltd. | Stern Warning | - | 7-Sep-18 | ACTIVE |
| 73 | 290 | K.H.S. Securities (Private) Limited | Stern Warning | - | 7-Sep-18 | ACTIVE |
| 74 | 8 | Optimus Capital Management (Pvt.) Ltd. | Stern Warning | - | 7-Sep-18 | ACTIVE |
| 75 | 46 | Fortune Securities Limited | Penalty Imposed | 1,302 | 30-Aug-18 | ACTIVE |
| 76 | 36 | Time Securities (Private) Limited | Stern Warning | - | 30-Aug-18 | ACTIVE |
| 77 | 1 | Altat Adam Securities (Private) Limited | Stern Warning | - | 30-Aug-18 | ACTIVE |
| 78 | 102 | Growth Securities (Pvt.) Limited | Penalty Imposed | 10,000 | 30-Aug-18 | ACTIVE |
| 79 | 46 | Fortune Securities Limited | Penalty Imposed | 90,000 | 30-Aug-18 | ACTIVE |
| 80 | 265 | Infinite Securities Limited | Stern Warning | - | 6-Jun-18 | ACTIVE |
| 81 | 346 | Strongman Securities (Pvt.) Ltd. | Penalty Imposed | 10,000 | 6-Jun-18 | ACTIVE |
| 82 | 438 | Fair Edge Securities (Private) Limited | Confiscation of Profits | 3,250 | 6-Jun-18 | ACTIVE |
| 83 | 149 | JS Global Capital Limited | Stern Warning | - | 6-Jun-18 | ACTIVE |
| 84 | 346 | Strongman Securities (Pvt.) Ltd. | Stern Warning | - | 6-Jun-18 | ACTIVE |
| 85 | 149 | JS Global Capital Limited | Confiscation of Profits | 450,000 | 6-Jun-18 | ACTIVE |
| 86 | 48 | Next Capital Limited | Penalty Imposed | 10,000 | 30-May-18 | ACTIVE |
| 87 | 19 | AKD Securities Limited | Stern Warning | - | 30-May-18 | ACTIVE |
| 88 | 48 | Next Capital Limited | Penalty Imposed along with confiscation of profits | 24,786 | 30-May-18 | ACTIVE |
| 89 | 48 | Next Capital Limited | Penalty Imposed | 10,000 | 30-May-18 | ACTIVE |
| 90 | 85 | Concordia Securities (Pvt.) Ltd. | Penalty Imposed | 100,000 | 18-May-18 | ACTIVE |
| 91 | 85 | Concordia Securities (Pvt.) Ltd. | Confiscation of Profits | 4,000 | 18-May-18 | ACTIVE |
| 92 | 145 | Adam Securities (Pvt.) Ltd. | Advised | - | 18-May-18 | ACTIVE |
| 93 | 82 | Mayani Securities (Private) Limited | Advised | - | 18-May-18 | ACTIVE |
| 94 | 177 | Din Capital (Private) Limited | Stern Warning | - | 7-May-18 | ACTIVE |
| 95 | 21 | Alifa Adhi Securities (Pvt.) Ltd. | Penalty Imposed along with confiscation of profits | 32,160 | 7-May-18 | ACTIVE |
| 96 | 18 | Ismael Iqbal Securities (Pvt.) Limited | Advised | - | 7-May-18 | ACTIVE |
| 97 | 98 | Fairtrade Capital Securities (Private) Limited | Advised | - | 4-May-18 | ACTIVE |
| 98 | 98 | Fairtrade Capital Securities (Private) Limited | Advised | - | 4-May-18 | ACTIVE |
| 99 | 98 | Fairtrade Capital Securities (Private) Limited | Advised | - | 4-May-18 | ACTIVE |
| 100 | 98 | Fairtrade Capital Securities (Private) Limited | Advised | - | 4-May-18 | ACTIVE |
| 101 | 98 | Fairtrade Capital Securities (Private) Limited | Advised | - | 4-May-18 | ACTIVE |
| 102 | 112 | Standard Capital Securities (Private) Limited | Advised | - | 4-May-18 | ACTIVE |
| 103 | 346 | Strongman Securities (Pvt.) Ltd. | Advised | - | 4-May-18 | ACTIVE |
| 104 | 85 | Concordia Securities (Pvt.) Ltd. | Advised | - | 13-Apr-18 | ACTIVE |
| 105 | 142 | Foundation Securities (Pvt.) Limited | Advised | - | 9-Apr-18 | ACTIVE |
| 106 | 6 | Sherman Securities (Pvt.) Ltd. | Advised | - | 9-Apr-18 | ACTIVE |
| 107 | 228 | Al-Haq Securities (Private) Limited | Advised | - | 6-Apr-18 | ACTIVE |
| 108 | 169 | Pearl Securities Limited | Advised | - | 6-Apr-18 | ACTIVE |
| 109 | 442 | General Investment & Securities (Private) Limited. | Advised | - | 6-Apr-18 | ACTIVE |
| 110 | 442 | General Investment & Securities (Private) Limited. | Advised | - | 6-Apr-18 | ACTIVE |
| 111 | 485 | Hama Farhad Securities (Pvt) Limited | Confiscation of Profits | 870 | 4-Apr-18 | ACTIVE |
| 112 | 89 | Investment Managers Securities (Private) Limited | Stern Warning | - | 21-Mar-18 | ACTIVE |
| 113 | 162 | Aba Ali Habib Securities (Private) Limited | Stern Warning | - | 21-Mar-18 | ACTIVE |
| 114 | 166 | Topline Securities (Private) Limited | Confiscation of Profits | 8,565 | 21-Mar-18 | ACTIVE |
| 115 | 162 | Aba Ali Habib Securities (Private) Limited | Advised | - | 15-Mar-18 | ACTIVE |
| 116 | 256 | Progressive Securities (Private) Limited | Stern Warning | - | 20-Feb-18 | ACTIVE |
| 117 | 232 | Arif Latif Securities (Private) Limited | Stern Warning | - | 20-Feb-18 | ACTIVE |
| 118 | 442 | General Investment & Securities (Private) Limited | Stern Warning | - | 20-Feb-18 | ACTIVE |

**Enforcement Actions Taken by Pakistan Stock Exchange Limited (PSX)
For The Period Starting From May 01, 2016 Till May 31, 2019**

| S. No. | TREC No. | Name of TREC Holder | Disciplinary Actions | Amount of Penalty (if any) | Date of Enforcement Actions | Current Status |
|--------|----------|--|----------------------|----------------------------|-----------------------------|-----------------------------|
| 119 | 91 | Intermarket Securities Limited | Stern Warning | - | 20-Feb-18 | ACTIVE |
| 120 | 91 | Intermarket Securities Limited | Stern Warning | - | 20-Feb-18 | ACTIVE |
| 121 | 91 | Intermarket Securities Limited | Stern Warning | - | 20-Feb-18 | ACTIVE |
| 122 | 24 | ASDA Securities (Private) Limited | Stern Warning | - | 7-Feb-18 | ACTIVE |
| 123 | 17 | Summit Capital (Private) Limited | Stern Warning | - | 1-Feb-18 | ACTIVE |
| 124 | 66 | Iqbal Usman Kodwari Securities (Pvt.) Ltd. | Penalty Imposed | 7,125 | 1-Feb-18 | ACTIVE |
| 125 | 131 | GMI Capital Securities (Private) Limited | Stern Warning | - | 1-Feb-18 | ACTIVE |
| 126 | 45 | Bhayani Securities (Private) Limited | Penalty Imposed | 2,750 | 1-Feb-18 | ACTIVE |
| 127 | 131 | GMI Capital Securities (Private) Limited | Stern Warning | - | 1-Feb-18 | ACTIVE |
| 128 | 44 | IGI Finex Securities Limited | Stern Warning | - | 1-Feb-18 | ACTIVE |
| 129 | 490 | Baba Equities (Private) Limited | Penalty Imposed | 226,660 | 13-Dec-17 | ACTIVE |
| 130 | 490 | Baba Equities (Private) Limited | Warned | - | 13-Dec-17 | ACTIVE |
| 131 | 224 | K & I Global Capital (Private) Limited | Advised | - | 12-Dec-17 | ACTIVE |
| 132 | 410 | Zahid Latif Khan Securities (Private) Limited | Penalty Imposed | 15,597 | 30-Nov-17 | ACTIVE |
| 133 | 482 | New Peak Securities (Private) Limited | Penalty Imposed | 22,950 | 30-Nov-17 | ACTIVE |
| 134 | 482 | New Peak Securities (Private) Limited | Penalty Imposed | 70,650 | 30-Nov-17 | ACTIVE |
| 135 | 155 | B & B Securities (Private) Limited | Penalty Imposed | 6,000 | 30-Nov-17 | ACTIVE |
| 136 | 169 | Pearl Securities Limited | Penalty Imposed | 240,940 | 17-Nov-17 | ACTIVE |
| 137 | 52 | N.U.A. Securities (Private) Limited | Stern Warning | - | 17-Nov-17 | ACTIVE |
| 138 | 52 | N.U.A. Securities (Private) Limited | Stern Warning | - | 17-Nov-17 | ACTIVE |
| 139 | 52 | N.U.A. Securities (Private) Limited | Stern Warning | - | 17-Nov-17 | ACTIVE |
| 140 | 52 | N.U.A. Securities (Private) Limited | Stern Warning | - | 17-Nov-17 | ACTIVE |
| 141 | 84 | Muhammad Munir Muhammad Ahmed Khanani Securities (Private) Limited | Penalty Imposed | 30,496 | 9-Nov-17 | ACTIVE |
| 142 | 169 | Pearl Securities Limited | Advised | - | 1-Nov-17 | ACTIVE |
| 143 | 32 | Zafar Moti Capital Securities (Private) Limited | Penalty Imposed | 26,740 | 18-Oct-17 | ACTIVE |
| 144 | 18 | Ismail Iqbal Securities (Pvt.) Limited | Penalty Imposed | 10,000 | 18-Oct-17 | ACTIVE |
| 145 | 30 | Cedar Capital (Private) Limited | Penalty Imposed | 14,500 | 18-Oct-17 | ACTIVE |
| 146 | 290 | K.H.S. Securities (Private) Limited | Advised | - | 28-Aug-17 | ACTIVE |
| 147 | 84 | Muhammad Munir Muhammad Ahmed Khanani Securities (Private) Limited | Warned | - | 28-Aug-17 | ACTIVE |
| 148 | 36 | Time Securities (Private) Limited | Warned | - | 28-Aug-17 | ACTIVE |
| 149 | 6 | Sherman Securities (Pvt.) Ltd. | Advised | - | 28-Aug-17 | ACTIVE |
| 150 | 6 | Sherman Securities (Pvt.) Ltd. | Advised | - | 28-Aug-17 | ACTIVE |
| 151 | 46 | Fortune Securities Limited | Advised | - | 28-Aug-17 | ACTIVE |
| 152 | 102 | Growth Securities (Private) Limited | Warned | - | 24-Aug-17 | ACTIVE |
| 153 | 68 | Zafar Securities (Private) Limited | Warned | - | 24-Aug-17 | ACTIVE |
| 154 | 102 | Growth Securities (Pvt.) Limited | Warned | - | 24-Aug-17 | ACTIVE |
| 155 | 102 | Growth Securities (Pvt.) Limited | Warned | - | 24-Aug-17 | ACTIVE |
| 156 | 68 | Zafar Securities (Private) Limited | Warned | - | 24-Aug-17 | ACTIVE |
| 157 | 68 | Zafar Securities (Private) Limited | Warned | - | 24-Aug-17 | ACTIVE |
| 158 | 30 | Cedar Capital (Private) Limited | Advised | - | 21-Jul-17 | ACTIVE |
| 159 | 19 | AKD Securities Limited | Warned | - | 21-Jul-17 | ACTIVE |
| 160 | 234 | Value Stock and Commodities (Private) Limited | Penalty Imposed | 643,699 | 17-Jul-17 | ACTIVE |
| 161 | 16 | D.J.M. Securities (Private) Limited | Warned | - | 14-Jul-17 | ACTIVE |
| 162 | 169 | Pearl Securities Limited | Warned | - | 14-Jul-17 | ACTIVE |
| 163 | 1 | Altaf Adam Securities (Private) Limited | Advised | - | 4-Jul-17 | ACTIVE |
| 164 | 28 | Oman Oman Securities (Private) Limited | Advised | - | 4-Jul-17 | ACTIVE |
| 165 | 54 | Bawa Securities (Private) Limited | Penalty Imposed | 55,683 | 21-Jun-17 | ACTIVE |
| 166 | 91 | Intermarket Securities Limited | Advised | - | 21-Jun-17 | ACTIVE |
| 167 | 188 | Apex Capital Securities (Private) Limited | Advised | - | 21-Jun-17 | ACTIVE |
| 168 | 91 | Intermarket Securities Limited | Advised | - | 21-Jun-17 | ACTIVE |
| 169 | 158 | Royal Securities (Private) Limited | Advised | - | 19-Jun-17 | ACTIVE |
| 170 | 228 | Al-Haq Securities (Private) Limited | Warned | - | 16-Jun-17 | ACTIVE |
| 171 | 48 | Next Capital Limited | Warned | - | 9-Jun-17 | ACTIVE |
| 172 | 48 | Next Capital Limited | Penalty Imposed | 70,175 | 9-Jun-17 | ACTIVE |
| 173 | 48 | Next Capital Limited | Warned | - | 9-Jun-17 | ACTIVE |
| 174 | 88 | Fawad Yusuf Securities (Private) Limited | Warned | - | 9-Jun-17 | ACTIVE |
| 175 | 88 | Fawad Yusuf Securities (Private) Limited | Penalty Imposed | 92,527 | 9-Jun-17 | ACTIVE |
| 176 | 88 | Fawad Yusuf Securities (Private) Limited | Penalty Imposed | 64,041 | 9-Jun-17 | ACTIVE |
| 177 | 88 | Fawad Yusuf Securities (Private) Limited | Warned | - | 9-Jun-17 | ACTIVE |
| 178 | 57 | First Capital Equities Limited | Advised | - | 10-May-17 | ACTIVE |
| 179 | 57 | First Capital Equities Limited | Advised | - | 10-May-17 | ACTIVE |
| 180 | 57 | First Capital Equities Limited | Advised | - | 10-May-17 | ACTIVE |
| 181 | 149 | J5 Global Capital Limited | Advised | - | 10-May-17 | ACTIVE |
| 182 | 17 | Summit Capital (Private) Limited | Stern Warning | - | 4-May-17 | ACTIVE |
| 183 | 184 | Prime Securities (Private) Limited | Penalty Imposed | 71,861 | 21-Apr-17 | ACTIVE |
| 184 | 47 | Zillion Capital Securities (Private) Limited | Penalty Imposed | 59,675 | 7-Apr-17 | ACTIVE |
| 185 | 159 | Rafi Securities (Private) Limited | Penalty Imposed | 51,470 | 7-Apr-17 | ACTIVE |
| 186 | 159 | Rafi Securities (Private) Limited | Penalty Imposed | 50,000 | 7-Apr-17 | ACTIVE |
| 187 | 173 | Spectrum Securities (Private) Limited | Warned | - | 24-Mar-17 | ACTIVE |
| 188 | 124 | Invest and Finance Securities Limited | Advised | - | 10-Mar-17 | ACTIVE |
| 189 | 129 | Taurus Securities Limited | Advised | - | 27-Feb-17 | ACTIVE |
| 190 | 129 | Taurus Securities Limited | Advised | - | 27-Feb-17 | ACTIVE |
| 191 | 84 | Muhammad Munir Muhammad Ahmed Khanani Securities (Private) Limited | Penalty Imposed | 144,795 | 23-Feb-17 | ACTIVE |
| 192 | 21 | Alfa Adhi Securities (Private) Limited | Penalty Imposed | 1,230,452 | 23-Feb-17 | ACTIVE |
| 193 | 100 | Elair Securities Pakistan (Private) Limited | Advised | - | 22-Feb-17 | ACTIVE |
| 194 | 46 | Fortune Securities Limited | Advised | - | 3-Feb-17 | ACTIVE |
| 195 | 438 | Fair Edge Securities (Private) Limited | Advised | - | 3-Feb-17 | ACTIVE |
| 196 | 56 | Nael Capital (Private) Limited | Advised | - | 3-Feb-17 | ACTIVE |
| 197 | 466 | UNEX Securities (Private) Limited | Advised | - | 3-Feb-17 | ACTIVE |
| 198 | 183 | R.T. Securities (Private) Limited | Advised | - | 31-Jan-17 | ACTIVE |
| 199 | 10 | Sakanwala Capital Securities (Private) Limited | Advised | - | 31-Jan-17 | ACTIVE |
| 200 | 297 | MSD Capital Equities (Private) Limited | Advised | - | 31-Jan-17 | ACTIVE |
| 201 | 181 | First Equity Modaraba | Advised | - | 31-Jan-17 | ACTIVE |
| 202 | 203 | Brains Securities (Private) Limited | Advised | - | 31-Jan-17 | ACTIVE |
| 203 | 10 | Sakanwala Capital Securities (Private) Limited | Advised | - | 31-Jan-17 | ACTIVE |
| 204 | 19 | AKD Securities Limited | Advised | - | 31-Jan-17 | ACTIVE |
| 205 | 221 | Millennium Brokerage (SMC-Pvt) Limited | Advised | - | 25-Jan-17 | ACTIVE |
| 206 | 482 | New Peak Securities (Private) Limited | Advised | - | 25-Jan-17 | ACTIVE |
| 207 | 490 | Baba Equities (Private) Limited | Advised | - | 25-Jan-17 | ACTIVE |
| 208 | 166 | Topline Securities (Private) Limited | Advised | - | 25-Jan-17 | ACTIVE |
| 209 | 485 | Hamza Farhad Securities (Private) Limited | Advised | - | 25-Jan-17 | ACTIVE |
| 210 | 85 | Concordia Securities (Private) Limited | Advised | - | 24-Jan-17 | ACTIVE |
| 211 | 116 | Patel Securities (Private) Limited | Penalty Imposed | 50,000 | 19-Jan-17 | ACTIVE |
| 212 | 118 | Sunrise Capital (Private) Limited | Penalty Imposed | 200,000 | 17-Jan-17 | TRADING TERMINALS SUSPENDED |
| 213 | 17 | Summit Capital (Private) Limited | Advised | - | 3-Jan-17 | ACTIVE |
| 214 | 17 | Summit Capital (Private) Limited | Advised | - | 3-Jan-17 | ACTIVE |
| 215 | 12 | Reliance Securities Limited | Advised | - | 30-Dec-16 | ACTIVE |
| 216 | 54 | Bawa Securities (Private) Limited | Advised | - | 30-Dec-16 | ACTIVE |
| 217 | 12 | Reliance Securities Limited | Advised | - | 30-Dec-16 | ACTIVE |
| 218 | 66 | Iqbal Usman Kodwari Securities (Private) Limited | Advised | - | 28-Dec-16 | ACTIVE |
| 219 | 229 | Fairway Securities (Private) Limited | Advised | - | 28-Dec-16 | ACTIVE |
| 220 | 102 | Growth Securities (Private) Limited | Advised | - | 26-Dec-16 | ACTIVE |
| 221 | 18 | Ismail Iqbal Securities (Pvt.) Limited | Advised | - | 26-Dec-16 | ACTIVE |
| 222 | 112 | Standard Capital Securities (Private) Limited | Advised | - | 26-Dec-16 | ACTIVE |
| 223 | 45 | Bhayani Securities (Private) Limited | Advised | - | 22-Dec-16 | ACTIVE |
| 224 | 142 | Foundation Securities (Private) Limited | Advised | - | 22-Dec-16 | ACTIVE |
| 225 | 16 | D.J.M. Securities (Private) Limited | Advised | - | 21-Dec-16 | ACTIVE |
| 226 | 46 | Fortune Securities Limited | Advised | - | 20-Dec-16 | ACTIVE |
| 227 | 490 | Baba Equities (Private) Limited | Advised | - | 20-Dec-16 | ACTIVE |
| 228 | 224 | K & I Global (Private) Limited | Advised | - | 20-Dec-16 | ACTIVE |
| 229 | 224 | K & I Global (Private) Limited | Advised | - | 20-Dec-16 | ACTIVE |
| 230 | 348 | AMCAP Securities (Private) Limited | Advised | - | 1-Dec-16 | TRADING TERMINALS SUSPENDED |
| 231 | 90 | Darson Securities (Private) Limited | Penalty Imposed | 50,000 | 1-Dec-16 | ACTIVE |

**Enforcement Actions Taken by Pakistan Stock Exchange Limited (PSX)
For The Period Starting From May 01, 2016 Till May 31, 2019**

| S. No. | TREC No. | Name of TREC Holder | Disciplinary Actions | Amount of Penalty (If any) | Date of Enforcement Actions | Current Status |
|--------|----------|---|----------------------|----------------------------|-----------------------------|-----------------------------|
| 232 | 177 | Din Capital (Private) Limited | Penalty Imposed | 52,479 | 1-Dec-16 | ACTIVE |
| 233 | 37 | HH Misbah Securities (Private) Limited | Advised | - | 29-Nov-16 | ACTIVE |
| 234 | 62 | WE Financial Services Limited | Advised | - | 28-Nov-16 | ACTIVE |
| 235 | 28 | Ohari Omas Securities (Private) Limited | Advised | - | 22-Nov-16 | ACTIVE |
| 236 | 72 | TS Securities (Private) Limited | Penalty Imposed | 89,701 | 18-Nov-16 | ACTIVE |
| 237 | 6 | Sherman Securities (Private) Limited | Penalty Imposed | 248,773 | 14-Nov-16 | ACTIVE |
| 238 | 107 | Seven Star Securities (Private) Limited | Advised | - | 8-Nov-16 | ACTIVE |
| 239 | 109 | Dalal Securities (Private) Limited | Advised | - | 4-Nov-16 | ACTIVE |
| 240 | 410 | Zahid Latif Khan Securities (Private) Limited | Advised | - | 4-Nov-16 | ACTIVE |
| 241 | 30 | Cedar Capital (Private) Limited | Advised | - | 4-Nov-16 | ACTIVE |
| 242 | 88 | Fawad Yusuf Securities (Private) Limited | Advised | - | 4-Nov-16 | ACTIVE |
| 243 | 68 | Zafar Securities (Private) Limited | Advised | - | 4-Nov-16 | ACTIVE |
| 244 | 96 | MSMANIAR Financials (Private) Limited | Advised | - | 4-Nov-16 | ACTIVE |
| 245 | 10 | Sakarwala Capital Securities (Private) Limited | Advised | - | 27-Oct-16 | ACTIVE |
| 246 | 194 | M.R.A. Securities (Private) Limited | Penalty Imposed | 50,486 | 26-Oct-16 | ACTIVE |
| 247 | 194 | M.R.A. Securities (Private) Limited | Penalty Imposed | 52,250 | 26-Oct-16 | ACTIVE |
| 248 | 194 | M.R.A. Securities (Private) Limited | Advised | - | 26-Oct-16 | ACTIVE |
| 249 | 102 | Growth Securities (Private) Limited | Advised | - | 25-Oct-16 | ACTIVE |
| 250 | 32 | Zafar Moti Capital Securities (Private) Limited | Penalty Imposed | 303,839 | 10-Oct-16 | ACTIVE |
| 251 | 166 | Topline Securities (Private) Limited | Advised | - | 10-Oct-16 | ACTIVE |
| 252 | 22 | BMA Capital Management Limited | Advised | - | 4-Oct-16 | ACTIVE |
| 253 | 442 | General Investment & Securities (Private) Limited | Advised | - | 4-Oct-16 | ACTIVE |
| 254 | 128 | KASB Securities Limited | Advised | - | 29-Sep-16 | ACTIVE |
| 255 | 128 | KASB Securities Limited | Advised | - | 29-Sep-16 | ACTIVE |
| 256 | 149 | JS Global Capital Limited | Advised | - | 29-Sep-16 | ACTIVE |
| 257 | 149 | JS Global Capital Limited | Advised | - | 29-Sep-16 | ACTIVE |
| 258 | 61 | Abbasi Securities (Private) Limited | Advised | - | 29-Sep-16 | ACTIVE |
| 259 | 102 | Growth Securities (Private) Limited | Advised | - | 28-Sep-16 | ACTIVE |
| 260 | 145 | Adam Securities (Private) Limited | Advised | - | 28-Sep-16 | ACTIVE |
| 261 | 149 | JS Global Capital Limited | Advised | - | 28-Sep-16 | ACTIVE |
| 262 | 194 | M.R.A. Securities (Private) Limited | Advised | - | 28-Sep-16 | ACTIVE |
| 263 | 88 | Fawad Yusuf Securities (Private) Limited | Advised | - | 23-Sep-16 | ACTIVE |
| 264 | 128 | KASB Securities Limited | Penalty Imposed | 64,000 | 2-Sep-16 | ACTIVE |
| 265 | 118 | Sunrise Capital (Private) Limited | Penalty Imposed | 164,285 | 26-Aug-16 | TRADING TERMINALS SUSPENDED |
| 266 | 36 | Time Securities (Private) Limited | Warned | - | 7-Aug-16 | ACTIVE |
| 267 | 212 | Horizon Securities Limited | Warned | - | 4-Aug-16 | ACTIVE |
| 268 | 22 | BMA Capital Management Limited | Warned | - | 1-Aug-16 | ACTIVE |
| 269 | 22 | BMA Capital Management Limited | Warned | - | 1-Aug-16 | ACTIVE |
| 270 | 18 | Ismail Iqbal Securities (Private) Limited | Advised | - | 25-Jul-16 | ACTIVE |
| 271 | 482 | New Peak Securities (Private) Limited | Warned | - | 25-Jul-16 | ACTIVE |
| 272 | 17 | Summit Capital (Private) Limited | Warned | - | 25-Jul-16 | ACTIVE |
| 273 | 194 | M.R.A. Securities (Private) Limited | Warned | - | 28-Jun-16 | ACTIVE |
| 274 | 346 | Strongman Securities (Private) Limited | Warned | - | 28-Jun-16 | ACTIVE |
| 275 | 466 | Unex Securities (Private) Limited | Warned | - | 28-Jun-16 | ACTIVE |
| 276 | 66 | Iqbal Usman Kodvavi Securities (Private) Limited | Warned | - | 28-Jun-16 | ACTIVE |
| 277 | 32 | Zafar Moti Capital Securities (Private) Limited | Warned | - | 25-May-16 | ACTIVE |
| 278 | 102 | Growth Securities (Private) Limited | Warned | - | 25-May-16 | ACTIVE |
| 279 | 100 | Zilur Securities Pakistan (Private) Limited | Warned | - | 25-May-16 | ACTIVE |
| 280 | 347 | Amer Securities Limited | Warned | - | 25-May-16 | ACTIVE |
| 281 | 102 | Growth Securities (Private) Limited | Warned | - | 25-May-16 | ACTIVE |
| 282 | 169 | Pearl Securities Limited | Warned | - | 25-May-16 | ACTIVE |
| 283 | 485 | Hamza Farhad Securities (Private) Limited | Warned | - | 25-May-16 | ACTIVE |
| 284 | 91 | Intermarket Securities Limited | Warned | - | 25-May-16 | ACTIVE |
| 285 | 346 | Strongman Securities (Private) Limited | Warned | - | 25-May-16 | ACTIVE |
| 286 | 142 | Foundation Securities (Private) Limited | Warned | - | 25-May-16 | ACTIVE |