S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions Actions taken by Audit, Inspection, Default and Arbitrage (AIDA):	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
1	61	Abbasi Securities (Pvt) Ltd.	The Brokerage House was Warned	-	30-Apr-19	ACTIVE
3	88 16	Fawad Yusuf Securities (Private) Limited DJM Securities (Pvt.) Ltd.	The Brokerage House was PENALIZED and WARNED The Brokerage House was Warned	Rs.50,000/-	30-Apr-19 24-Apr-19	ACTIVE ACTIVE
4	107 481	Seven Star Securities (Private) Limited Riaz Ahmed Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	18-Apr-19 18-Apr-19	ACTIVE ACTIVE
6	204	A.N Equities (Pvt) Ltd	The Brokerage House was PENALIZED and WARNED	Rs.50,000/-	16-Apr-19	ACTIVE
7	490 339	Baba Equities (Pvt) Limited. Khawaia Securities (Pvt.) Ltd.	The Brokerage House was Warned The Brokerage House was Warned	-	15-Apr-19 8-Apr-19	ACTIVE ACTIVE
9	158	Royal Securities (Private) Limited	The Brokerage House was Warned	-	8-Apr-19	ACTIVE
10 11	523 55	Falki Capital Private Limited Shajar Capital Pakistan Private Limited	The Brokerage House was Warned The Brokerage House was Warned	-	5-Apr-19 3-Apr-19	ACTIVE ACTIVE
12	221 266	Millennium Brokerage (Private)Eimited Shaffi Securities (Pvt) Ltd	The Brokerage House was PENALIZED and WARNED	Rs.691,500/-	3-Apr-19	ACTIVE
13 14	120	Sham Securities (Pvt) Ltd Alfalah Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	2-Apr-19 2-Apr-19	ACTIVE ACTIVE
15 16	140 150	M.M. Securities (Private) Limited Askari Securities Limited	The Brokerage House was Warned The Brokerage House was Warned	-	2-Apr-19 2-Apr-19	ACTIVE ACTIVE
17	466	Unex Securities (Private) Limited	The Brokerage House was Warned	-	2-Apr-19	ACTIVE
18 19	223 42	Maan Securities (Pvt.) Limited ICON Capital Management (Pvt) Ltd.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was WARNED	Rs.40,000/-	27-Mar-19 27-Mar-19	ACTIVE ACTIVE
20	10	Sakarwala Capital Sec.(Pvt.) Ltd	The Brokerage House was WARNED	-	27-Mar-19	ACTIVE
21 22	100 176	Elixir Securities Pak. (Pvt.) Ltd. Muhammad Salim Kasmani Securities (Private) Emited	The Brokerage House was Advised The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/-	20-Mar-19 18-Mar-19	ACTIVE ACTIVE
23 24	102 91	Growth Securities (Pvt.) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	18-Mar-19 18-Mar-19	ACTIVE ACTIVE
25	284	Intermarket Securities Limited ASA Stocks Private Limited	The Brokerage House was WARNED The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 533,500/-	18-Mar-19 1-Mar-19	ACTIVE
26 27	229 267	Fairway Securities Private Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 995,000/-	1-Mar-19 1-Mar-19	ACTIVE ACTIVE
28	179	Bismillah Securities (Pvt.) Limited Continental Capital Management (Pvt.) Limited	The Brokerage House was WARNED The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 20,000/-	1-Mar-19	ACTIVE
29 30	46 297	Fortune Securities Limited MSD Capital Equities (Pvt) Ltd.	The Brokerage House was Advised The Brokerage House was WARNED	-	26-Feb-19 26-Feb-19	ACTIVE ACTIVE
31	28	Ghani Osman Securities (Pvt.) Ltd.	The Brokerage House was WARNED The Brokerage House was WARNED		20-Feb-19	ACTIVE
32 33	143 517	Saao Capital (Private) Ltd. South Asian Securities (Pvt.) Ltd.	The Brokerage House was WARNED	-	20-Feb-19 18-Feb-19	ACTIVE TRADING TERMINALS SUSPENDED
34	224	K & I Global Capital (Private.) Limited.	Switching-off of trading terminals The Brokerage House was Warned		22-Jan-19	ACTIVE
35 36	275 332	Rahat Securities Limited Trust Securities & Brokerage Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	22-Jan-19 22-Jan-19	ACTIVE ACTIVE
37	337	A B M Securities (Private) Limited	The Brokerage House was Warned	-	22-Jan-19	ACTIVE
38 39	290 309	K.H.S. Securities (Private) Limited HMC Stocks (Private) Limited.	Suspension of Trading Terminals Suspension of Trading Terminals	-	16-Jan-19 16-Jan-19	ACTIVE ACTIVE
40	12	Reliance Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.430,000/-	14-Jan-19	ACTIVE
41 42	239 261	Ayub Chaudhry Investments (Private) Limited. M.F. Stocks (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	14-Dec-18 14-Dec-18	ACTIVE TRADING TERMINALS SUSPENDED
43	288	Javed Iqbal Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	14-Dec-18	ACTIVE
44 45	420 497	Progressive Inves. Management (Private) Limited. JSK Securities Limited	The Brokerage House was Warned The Brokerage House was Warned	-	14-Dec-18 14-Dec-18	ACTIVE ACTIVE
46	256	Progressive Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/-	13-Dec-18	ACTIVE
47 48	297 36	MSD Capital Equities (Private) Limited. Time Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.80,000/-	13-Dec-18 12-Dec-18	ACTIVE ACTIVE
49	143	Saao Capital (Private) Limited.	The Brokerage House was Warned	-	10-Dec-18	ACTIVE
50 51	211 294	Share Center (Private) Limited Yasir Mahmood Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	10-Dec-18 10-Dec-18	ACTIVE ACTIVE
52	350	Gulrez Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	10-Dec-18	ACTIVE
53 54	28 35	Ghani Osman Securities (Private.) Limited. Surmawala Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	7-Dec-18 6-Dec-18	ACTIVE ACTIVE
55	62	WE Financial Services Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.140,000/-	22-Nov-18	ACTIVE
56 57	124 191	EFG Hermes Pakistan Limited Market 786 (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	22-Nov-18 22-Nov-18	ACTIVE ACTIVE
58 59	432 208	Spinzer Equities(Private) Limited RUC Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.115,845/-	19-Nov-18 16-Nov-18	ACTIVE TRADING TERMINALS SUSPENDED
60	208	MGM Securities (Private.) Limited.	Switching-off of trading terminals The Brokerage House was Warned	-	15-Nov-18 15-Nov-18	ACTIVE
61 62	48 181	Next Capital Limited First Equity Modaraba	The Brokerage House was Warned The Brokerage House was Warned	-	14-Nov-18 9-Nov-18	ACTIVE ACTIVE
63	286	Dosslani's Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.170,000/-	7-Nov-18	ACTIVE
64 65	232	Arif Latif Securities (Private) Limited Optimus Capital Management (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.50,000/-	5-Nov-18 1-Nov-18	ACTIVE ACTIVE
66	145	Adam Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	1-Nov-18	ACTIVE
67 68	186 194	Muhammed Tariq Moti Sec. (Private.) Limited. MRA Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 20,000/- Rs.120.000/-	1-Nov-18 1-Nov-18	ACTIVE ACTIVE
69	24	ASDA Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.60,000/-	25-Oct-18	ACTIVE
70 71	77 121	Best Securities (Private) Limited. Salim Sozer Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed Switching-off of trading terminals	Rs.40,000/-	25-Oct-18 17-Oct-18	ACTIVE ACTIVE
72	98	Fairtrade Capital Securities (Private.) Limited.	The Brokerage House was Warned	-	10-Oct-18	ACTIVE
73 74	166 57	Topline Securities Limited. First Capital Equities Limited.	The Brokerage House was Warned Switching-off of trading terminals	-	10-Oct-18 9-Oct-18	ACTIVE ACTIVE
75 76	46 183	Fortune Securities Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	25-Sep-18	ACTIVE ACTIVE
77	6	R.T. Securities (Private.) Limited. Sherman Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	25-Sep-18 18-Sep-18	ACTIVE
78 79	188 236	Apex Capital Sec. (Private.) Limited. Techno Fundamental Securities (Private) Limited	Switching-off of trading terminals The Brokering House was Warned	-	18-Sep-18 18-Sep-18	ACTIVE ACTIVE
80	292	INA Securities (Private) Limited	The Brokerage House was Warned Switching-off of trading terminals	-	18-Sep-18	ACTIVE
81 82	297 444	MSD Capital Equities (Private) Limited. Xpert Securities (Private) Limited.	Switching-off of trading terminals Switching-off of trading terminals	-	18-Sep-18 18-Sep-18	ACTIVE ACTIVE
83	475	CAMCO (Private) Limited	Switching-off of trading terminals	-	18-Sep-18	ACTIVE
84 85	94 420	FDM Capital Securities (Private.)Limited Progressive Inves. Management (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed Restriction on opening of New Clients Account and Sale Side	Rs.1,000,000/-	14-Sep-18 14-Sep-18	ACTIVE ACTIVE
86	116	Patel Securities (Private.) Limited.	The Brokerage House was Warned	-	10-Sep-18	ACTIVE ACTIVE
87 88	212 309	Horizon Securities Limited. HMC Stocks (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	3-Sep-18 3-Sep-18	ACTIVE ACTIVE
89	438	Fair Edge Securities(Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.100,000/-	3-Sep-18	ACTIVE
90 91	231 288	Saima Qaiser Securities (Private) Limited Javed Iqbal Securities (Private) Limited	Switching-off of trading terminals The Brokerage House was Warned	-	16-Aug-18 13-Aug-18	ACTIVE ACTIVE
92		Strongman Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.150,000/-	13-Aug-18	ACTIVE ACTIVE
	346					
93 94	346 54 234	Bawa Securities (Private.) Limited. Value Stock and Commodities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	8-Aug-18 31-Jul-18	ACTIVE
93 94 95	346 54 234 228	Bawa Securities (Private.) Limited. Value Stock and Commodities (Private) Limited. Al-Haq Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned	-	8-Aug-18 31-Jul-18 27-Jul-18	ACTIVE ACTIVE
93 94 95 96 97	346 54 234 228 251 265	Sawe Securities (Private) Limited. Value Stock and Commodities (Private) Limited. Al-Hag Securities (Private) Limited. MND Investment (Private) Limited Infinite Securities Limited.	The Brokerage House was Warned		8-Aug-18 31-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18	ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE
93 94 95 96 97 98	346 54 234 228 251 265 290	Bawa Securities (Private.) Limited. Value Stock and Commodities (Private) Limited. Al-Hag Securities (Private) Limited. MND Investment (Private) Limited Infinite Securities Limited K.H.S. Securities (Private) Limited	The Brokerage House was Warned	-	8-Aug-18 31-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18	ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE
93 94 95 96 97 98 99 100	346 54 234 228 251 265 290 6 94	Bawa Securities (Private.) Limited. Value Stock and Commodities (Private) Limited. Al-Hag Securities (Private). Limited. MND Investment (Private) Limited Infinite Securities (Limited). K.H.S. Securities (Private) Limited Sherman Securities (Private) Limited. FOM Capital Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Advised The Brokerage House was Advised		8-Aug-18 31-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 20-Jul-18 20-Jul-18	ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE
93 94 95 96 97 98 99 100	346 54 234 228 251 265 290 6 94 120	Baws Securities (Private) Limited. Value Stock and Commodities (Private) Limited. Al-Hag Securities (Private) Limited. MND Investment (Private) Limited Infinite Securities Limited Infinite Securities (Infinite) Infinite Securities (Private) Limited Infinite Securities (Private) Limited FMC Septial Securities (Private) Limited. FDM Capital Securities (Private) Limited Affalah Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Advised		8-Aug-18 31-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 20-Jul-18 20-Jul-18 20-Jul-18	ACTIVE
93 94 95 96 97 98 99 100 101 102	346 54 234 228 251 265 290 6 94 410 442	Baws Securities (Private) Limited. Value Stock and Commodities (Private) Limited. Al-Hag Securities (Private) Limited. MNG Investment (Private) Limited Initiated Initiated Initiated Securities United Initiate Securities United Initiate Securities (Private) Limited K.H.S. Securities (Private) Limited Sherman Securities (Private) Limited. FDM Capital Securities (Private) Limited. FDM Capital Securities (Private) Limited. Zahid Latif Khan Securities (Private) Limited. General Investment & Sec	The Brokerage House was Warned The Brokerage House was Advised The Brokerage House was Warned The Brokerage House was Warned		8-Aug-18 31-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 20-Jul-18 20-Jul-18 20-Jul-18 20-Jul-18 20-Jul-18 20-Jul-18 20-Jul-18	ACTIVE
93 94 95 96 97 98 99 100 101 102 103	346 54 234 228 251 265 290 6 94 120 410 442 478	Saws Securities (Private) Limited. Value Stock and Commodities (Private) Limited. Al-Hag Securities (Private) Limited. MND Investment (Private) Limited Infinite Securities (Invited) Limited K.H.S. Securities (Private) Limited Sherman Securities (Private) Limited. FDM Capital Securities (Private) Limited. FDM Capital Securities (Private) Limited. Zahid Latif Khan Securities (Private) Limited. General Investment & Sec Pasha Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Advised The Brokerage House was Warned	-	8-Aug-18 31-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 20-Jul-18	ACTIVE
93 94 95 96 97 98 99 100 101 102 103 104 105	346 54 234 228 251 265 269 6 94 120 410 442 478 485	Saws Scurities (Private) Limited. Value Stock and Commodities (Private) Limited. Al-Hag Securities (Private) Limited. MND Investment (Private) Limited Infinite Securities (Invest Limited) Infinite Securities (Invest Limited) K.H.S. Securities (Private) Limited Sherman Securities (Private) Limited. FDM Capital Securities (Private) Limited. Affalah Securities (Private) Limited. Zahid Latif Khan Securities (Private) Limited. General Investment & Sec Pasha Securities (Private) Limited. Hamza Farhad Securities (Private) Limited. Hamza Farhad Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Advised The Brokerage House was Advised The Brokerage House was Advised The Brokerage House was Warned		8-Aug-18 31-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 20-Jul-18	ACTIVE
93 94 95 96 97 98 99 100 101 102 103 104 105 106	346 54 234 228 251 265 290 6 94 120 410 478 485 485 491	Bawa Securities (Private) Limited. Value Stock and Commodities (Private) Limited. Al-Hag Securities (Private) Limited. MND Investment (Private) Limited. MND Investment (Private) Limited. Infinite Securities (Private) Limited. Sherman Securities (Private) Limited. Sherman Securities (Private) Limited. FDM Capital Securities (Private) Limited. Alfaliah Securities (Private) Limited. Zahid Latif Khan Securities (Private) Limited. General Investment & Sec Pasha Securities (Private) Limited. First Street Capital (Private) Limited. First Street Capital (Private) Limited. Gif Fines Securities (Private) Limited. Gif Fines Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Advised The Brokerage House was Warned and Financial Penalty was Imposed		8-Aug-18 31-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 20-Jul-18 10-Jul-18 10-Jul-18 10-Jul-18 10-Jul-18 10-Jul-18	ACTIVE
93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108	346 54 234 228 251 265 269 6 94 120 410 442 478 485	Baws Securities (Private) Limited. Value Stock and Commodities (Private) Limited. Al-Hag Securities (Private) Limited. Al-Hag Securities (Private) Limited Infinite Securities Limited. K.H.S. Securities (Private) Limited K.H.S. Securities (Private) Limited. FDM Capital Securities (Private) Limited. FDM Capital Securities (Private) Limited. Affalah Securities (Private) Limited. Capital Jatif Khan Securities (Private) Limited. General Investment & Sec Pasha Securities (Private) Limited. First Street Capital (Private) Limited. First Street Capital (Private) Limited. Gif Fines Securities (Private) Limited. Gif Fines Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Advised The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed		8-Aug-18 31-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 20-Jul-18 10-Jul-18 10-Jul-18 11-Jul-18 11-Jul-18	ACTIVE
93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108	346 54 234 228 251 265 290 6 94 120 4410 442 478 485 491 444 420	Saws Securities (Private) Limited. Value Stock and Commodifies (Private) Limited. Al-Hag Securities (Private) Limited. Al-Hag Securities (Private) Limited. MND Investment (Private) Limited Infinite Securities (Invest Limited). K.H.S. Securities (Private) Limited. Sherman Securities (Private) Limited. FOM Capital Securities (Private) Limited. FOM Capital Securities (Private) Limited. Zahid Latif Khan Securities (Private) Limited. Capital Latif Khan Securities (Private) Limited. For Securities (Private) Limited. Hannza Farhad Securities (Private) Limited. First Street Capital (Private) Limited. IGI Fines Securities Limited. IGI Fines Securities Limited. Fairtrade Capital Securities (Private) Limited. Fairtrade Capital Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Advised The Brokerage House was Advised The Brokerage House was Advised The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed		8-Aug-18 31-iu-18 27-iu-18 27-iu-18 27-iu-18 27-iu-18 20-	ACTIVE
93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109	346 54 234 228 251 265 290 6 94 110 442 478 485 491 44 420 98	Saws Securities (Private) Limited. Value Stock and Commodities (Private) Limited. Al-Hag Securities (Private) Limited. Al-Hag Securities (Private) Limited Infinite Securities United Infinite Securities United Infinite Securities United Infinite Securities (Private) Limited. K.H.S. Securities (Private) Limited. Sherman Securities (Private) Limited. FDM Capital Securities (Private) Limited. Zahid Latif Khan Securities (Private) Limited. Calental Investment & Sec Pasha Securities (Private) Limited. Eirst Street Capital (Private) Limited. Standard Capital Securities (Private) Limited. Standard Capital Securities (Private) Limited. Standard Capital Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Advised The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Fenalty was Imposed The Brokerage House was Warned and Financial Fenalty was Imposed The Brokerage House was Advised The Brokerage House was Advised		8-Aug-18 31-iul-18 27-iul-18 27-iul-18 27-iul-18 27-iul-18 20-iul-18	ACTIVE
93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109	346 54 234 228 251 265 265 94 120 410 442 478 485 491 44 4420 98	Bawa Securities (Private) Limited. Value Stock and Commodities (Private) Limited. Al-Hap Securities (Private) Limited. MND Investment (Private) Limited Infinite Securities (Private) Limited Infinite Securities (Private). Limited Sherman Securities (Private). FDM Capital Securities (Private). Limited Alfaliah Securities (Private). Junited Alfaliah Securities (Private). Junited General Investment & Sec Pasha Securities (Private). Limited. First Street Capital (Private). Limited. First Street Capital (Private). Infinited. First Street Capital (Private). First Street Capital Securities (Private). First Street Capital Securities (Private). Junited. Standard Capital Securities (Private). Jimited.	The Brokerage House was Warned The Brokerage House was Advised The Brokerage House was Advised The Brokerage House was Advised The Brokerage House was Warned And Financial Pinalty was Imposed The Brokerage House was Warned and Financial Pinalty was Imposed The Brokerage House was Warned and Financial Pinalty was Imposed The Brokerage House was Marned and Financial And Restriction On Opening of New Clients' Account was Imposed The Brokerage House was Advised The Brokerage House was Advised		8-Aug-18 31-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 20-Jul-	ACTIVE
93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109	346 54 228 228 251 265 290 6 94 120 410 442 478 481 441 420 98	Bawa Securities (Private) Limited. Value Stock and Commodities (Private) Limited. Al-Hap Securities (Private) Limited. MND Investment (Private) Limited Infinite Securities (Private) Limited Infinite Securities (Private). Infinite Securities (Private). Infinite Securities (Private). Infinite Securities (Private). Limited Sherman Securities (Private). Limited FDM Capital Securities (Private). Limited Alfalan Securities (Private). Zahid Latri Khan Securities (Private). General Investment & Sec Pasha Securities (Private). Limited Hamza Farhad Securities (Private). Limited. First Street Capital (Private). Limited. It First Street Capital (Private). First Street Capital (Private). First Street Capital (Private). Standard Capital Securities (Private). Standard Capital Securities (Private). Limited. Standard Capital Securities (Private). Limited. ADD Securities Limited It Fires Securities Limited ADD Securities Limited If Fires Securities Limited	The Brokerage House was Warned The Brokerage House was Advised The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Fenalty was Imposed The Brokerage House was Warned and Financial Fenalty was Imposed The Brokerage House was Advised The Brokerage House was Advised		B-Aug-18 31-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 27-Jul-18 20-Jul-18	ACTIVE

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement	Current Status
	508			(If any)	Actions	
117 118	63	KP Securities (Private) Limited AL Habib Capital Markets (Private.) Limited.	Switching-off of trading terminals The Brokerage House was Advised	-	20-Jun-18 14-Jun-18	ACTIVE ACTIVE
119 120	116 132	Patel Securities (Private.) Limited. Eleven Stars Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	12-Jun-18 12-Jun-18	ACTIVE ACTIVE
121 122	457 491	AAA Securities (Private) Limited First Street Capital (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	7-Jun-18 7-Jun-18	ACTIVE ACTIVE
123	68	Zafar Securities (Private.) Limited.	The Brokerage House was Advised	-	31-May-18	ACTIVE
124 125	254 275	ShajarPak Securities (Private) Limited Rahat Securities Limited	The Brokerage House was Advised The Brokerage House was Advised	-	31-May-18 31-May-18	ACTIVE ACTIVE
126 127	22 48	BMA Capital Management Limited Next Capital Limited	The Brokerage House was Advised The Brokerage House was Advised	-	24-May-18 24-May-18	ACTIVE ACTIVE
128 129	88 91	Fawad Yusuf Securities (Private) Limited. Intermarket Securities Limited.	The Brokerage House was Advised	-	24-May-18 24-May-18	ACTIVE ACTIVE
130	128	BIPL Securities Limited.	The Brokerage House was Advised The Brokerage House was Advised	-	14-May-18	ACTIVE
131 132	124 266	EFG Hermes Pakistan Limited Shaffi Securities (Private) Limited	The Brokerage House was Advised Switching-off of trading terminals	-	11-May-18 16-Mar-18	ACTIVE ACTIVE
133	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
134	328	128 Securities (Private) Limited	The Brokerage House was Warned and Penalized and Restriction On Opening of	Rs.1,000,000/-	1-Mar-18	ACTIVE
135	423	Millennium Securities & Investments	New Clients' Account was Imposed The Brokerage House was Warned	-	23-Feb-18	TRADING TERMINALS SUSPENDED
136 137	63 57	AL Habib Capital Markets (Private.) Limited. First Capital Equities Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.170,000/-	21-Feb-18 20-Feb-18	ACTIVE ACTIVE
138 139	188 311	Apex Capital Sec. (Private.) Limited. Abbasi & Company (Private) Limited.	The Brokerage House was Warned	-	16-Feb-18 30-Jan-18	ACTIVE ACTIVE
140	72	TS Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	29-Dec-17	ACTIVE
141 142	444 30	Xpert Securities (Private) Limited. Cedar Capital Private Limited.	Restriction on Trading in Clients' Account The Brokerage House was Warned	-	20-Dec-17 18-Dec-17	ACTIVE ACTIVE
143 144	281 300	Shaukat Shafi Securities (Private) Limited AM Chaudhary Securities (Private) Limited	Suspension of Trading Terminals Suspension of Trading Terminals		12-Dec-17 12-Dec-17	TRADING TERMINALS SUSPENDED ACTIVE
145	155	B & B Securities (Private.) Limited.	The Brokerage House was Warned	- Rs.30,000/-	11-Dec-17	ACTIVE TRADING TERMINALS SUSPENDED
146 147	349 55	A.S. Securities (Private) Limited Shajar Capital Pakistan (Private.) Limited	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	KS.30,000/-	11-Dec-17 7-Dec-17	ACTIVE
148 149	63 96	AL Habib Capital Markets (Private.) Limited. MSMANIAR FINANCIALS (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	7-Dec-17 7-Dec-17	ACTIVE ACTIVE
150 151	221 254	Millennium Brokerage (Private.) Limited ShajarPak Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned	-	7-Dec-17 7-Dec-17	ACTIVE ACTIVE
152	268	Sethi Securities Private Limited.	The Brokerage House was Warned	-	7-Dec-17	ACTIVE
153 154	282 318	Salman Majeed Securities (Private.) Limited. Asad Mustafa Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	7-Dec-17 7-Dec-17	ACTIVE ACTIVE
155 156	327 331	Gul Dhami Securities (Private) Limited MoneyLine Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	7-Dec-17 7-Dec-17	ACTIVE ACTIVE
157 158	423	Millennium Securities (rivate) Limited KP Securities (Private) Limited KP Securities (Private) Limited	The Brokerage House was Warned	-	7-Dec-17 7-Dec-17	TRADING TERMINALS SUSPENDED ACTIVE
159	508 7	Amanah Investments Limited	The Brokerage House was Warned The Brokerage House was Advised	-	7-Dec-17 5-Dec-17	ACTIVE
160 161	11 25	ACM Global (Private) Limited. Vector Securities (Private.) Limited.	The Brokerage House was Advised The Brokerage House was Advised	-	5-Dec-17 5-Dec-17	ACTIVE ACTIVE
162 163	49 94	Multiline Securities (Private.) Limited. FDM Capital Securities (Private.) Limited	The Brokerage House was Advised	-	5-Dec-17 5-Dec-17	ACTIVE ACTIVE
164	131	GMI Capital Securities (Private.) Limited.	The Brokerage House was Advised The Brokerage House was Warned	-	5-Dec-17	ACTIVE
165 166	144 45	Dattoo Securities (Private) Limited. Bhayani Securities (Private) Limited.	The Brokerage House was Advised The Brokerage House was Warned	-	5-Dec-17 30-Nov-17	ACTIVE ACTIVE
167 168	90 135	Darson Securities (Private.) Limited. Y.H. Securities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.625,000/-	30-Nov-17 30-Nov-17	ACTIVE ACTIVE
169	107	Seven Star Securities (Private.) Limited.	The Brokerage House was Warned	-	29-Nov-17	ACTIVE ACTIVE
170 171	188 177	Apex Capital Sec. (Private.) Limited. Din Capital Limited.	The Brokerage House was Warned Suspension of Trading Terminals	-	29-Nov-17 17-Nov-17	ACTIVE
172 173	497 142	JSK Securities Limited Foundation Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	16-Nov-17 14-Nov-17	ACTIVE ACTIVE
174 175	37 22	HH Misbah Securities (Private.) Limited. BMA Capital Management Limited	The Brokerage House was Warned	-	13-Nov-17 10-Nov-17	ACTIVE ACTIVE
176	129	Taurus Securities Limited	The Brokerage House was Warned The Brokerage House was Warned	-	10-Nov-17	ACTIVE
177 178	52 162	N.U.A. Securities (Private) Limited. Aba Ali Habib Securities(Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	8-Nov-17 8-Nov-17	ACTIVE ACTIVE
179 180	183 265	R.T. Securities (Private.) Limited. Infinite Securities Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	8-Nov-17 8-Nov-17	ACTIVE ACTIVE
181	288	Javed Iqbal Securities (Private) Limited	The Brokerage House was Warned	-	8-Nov-17	ACTIVE
182	432	Spinzer Equities(Private) Limited	The Brokerage House was Warned The Brokerage House was Warned and Penalized and Restriction On Opening of	-	8-Nov-17	ACTIVE
183	177	Din Capital Limited.	New Clients' Account and Trading in House Account was Imposed	Rs.1,000,000/-	3-Nov-17	ACTIVE
184 185	281 290	Shaukat Shafi Securities (Private) Limited K.H.S. Securities (Private) Limited	Switching-off of trading terminals Switching-off of trading terminals		1-Nov-17 30-Oct-17	TRADING TERMINALS SUSPENDED ACTIVE
186	108	Azee Securities (Private.) Limited. Royal Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.450,000/-	25-Oct-17	ACTIVE
187 188	158 348	AMCAP Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs.25,000/-	19-Oct-17 19-Oct-17	ACTIVE TRADING TERMINALS SUSPENDED
189 190	329 300	S.D. Mirza Securities (Private) Limited AM Chaudhary Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed Switching-off of trading terminals	Rs.20,000/-	5-Oct-17 20-Sep-17	ACTIVE ACTIVE
191 192	513 98	CMA Securities (Private) Limited. Fairtrade Capital Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	6-Sep-17 5-Sep-17	TRADING TERMINALS SUSPENDED ACTIVE
193	6	Sherman Securities (Private.) Limited.	The Brokerage House was Warned	-	30-Aug-17	ACTIVE
194 195	61 140	Abbasi Securities (Private) Limited. M. M. Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Advised	-	23-Aug-17 23-Aug-17	ACTIVE ACTIVE
196 197	38 51	A.H.M.Securities (Private.) Limited. H. P. Byramji & Co. (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	18-Aug-17 18-Aug-17	ACTIVE ACTIVE
198 199	89 199	Investment Managers Sec. (Private.) Limited. Insight Securities (Private.) Limited.	The Brokerage House was Warned	-	18-Aug-17 18-Aug-17	ACTIVE ACTIVE
200	148	Oriental Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised	-	11-Aug-17	ACTIVE
201 202	328 332	128 Securities (Private) Limited Trust Securities & Brokerage Limited.	Switching-off of trading terminals The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.20,000/-	3-Aug-17 31-Jul-17	ACTIVE ACTIVE
203	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
204	116	Patel Securities (Private.) Limited.	The Brokerage House was Warned	-	10-Jul-17	ACTIVE
205 206	191 256	Market 786 (Private) Limited. Progressive Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.250,000/-	10-Jul-17 10-Jul-17	ACTIVE ACTIVE
207 208	6 24	Sherman Securities (Private.) Limited. ASDA Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	5-Jul-17 5-Jul-17	ACTIVE ACTIVE
209	42	Icon Capital Management (Private) Limited. Nael Capital (Private) Limited	The Brokerage House was Warned	-	5-Jul-17 5-Jul-17	ACTIVE ACTIVE
210 211	56 61	Abbasi Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	5-Jul-17	ACTIVE
212 213	79 92	Irfan Mazhar Securities (Private.)Limited Memon Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	5-Jul-17 5-Jul-17	ACTIVE ACTIVE
214	120 144	Alfalah Securities (Private.) Limited. Dattoo Securities (Private) Limited.	The Brokerage House was Warned	-	5-Jul-17 5-Jul-17	ACTIVE ACTIVE
216	155	B & B Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	5-Jul-17	ACTIVE
217 218	237 482	IAK Securities (Private.) Limited. New Peak Securities(Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	5-Jul-17 5-Jul-17	ACTIVE ACTIVE
219 220	98 108	Fairtrade Capital Securities (Private.) Limited. Azee Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/-	22-Jun-17 22-Jun-17	ACTIVE ACTIVE
221	112	Standard Capital Securities (Private.) Limited.	Suspension of Trading Terminals The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	20-Jun-17	ACTIVE
222	6 490	Sherman Securities (Private.) Limited. Baba Equities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	15-Jun-17 15-Jun-17	ACTIVE ACTIVE
224 225	513 61	CMA Securities (Private) Limited. Abbasi Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	15-Jun-17 12-Jun-17	TRADING TERMINALS SUSPENDED ACTIVE
226	126	NINI Securities (Private.) Limited.	The Brokerage House was Warned	-	12-Jun-17	ACTIVE
227	163	Friendly Securities (Private) Limited. Bridge Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	12-Jun-17 12-Jun-17	ACTIVE ACTIVE
228	308	Gulrez Securities (Private) Limited				ACTIVE

231 232 232 233 234 235 236 237 240 241 242 242 245 245 246 247 247 248 249 255 251 252 253 253 254 264 277 278 278 278 278 278 278 278 278 278	523 442 89 147 38 140 199 51 187 339 420 102 490 234 14 31 59 60 86 86 93 106	Falls Capital Private Limited General Investment & Sec Investment Managers Sec, (Private.) Limited. A. I. Securities (Private) Limited. A. H. Securities (Private) Limited. A. H. M. Securities (Private). Limited. M. M. Securities (Private). Limited. Insight Securities (Private). Limited. H. P. Byramji & Co. (Private). Limited. SAZ Capital Securities (Private). Limited SAZ Capital Securities (Private). Limited Priogressive Invess. Management (Private) Limited Growth Securities (Private) Limited. Baba Equities (Private) Limited. Value Stock and Commodities (Private) Limited. Walue Stock and Commodities (Private) Limited. Merchant Investments (Private). Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned And Financial Penalty was imposed Suspension of Trading Terminals The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed	(If any) Rs.30,000/- Rs.30,000/	12-Jun-17 9-Jun-17 8-Jun-17 8-Jun-17 7-Jun-17 7-Jun-17 7-Jun-17 5-Jun-17 5-Jun-17	ACTIVE
233 234 235 236 237 238 239 240 241 242 243 244 245 246 247 248 249 250 251 252 253 254 255 255 256 257 258	89 147 38 140 199 51 58 187 339 420 420 490 234 14 31 59 60 86 93 106	Investment Managers Sec. (Private.) Limited. A. I. Securities (Private) Limited. A. I. Securities (Private) Limited. M. M. Securities (Private). Limited. Insight Securities (Private). Limited. In P. Byranji & Co. (Private). Limited. In P. Byranji & Co. (Private). Limited. SAZ Capital Securities (Private). Limited Shawaja Securities (Private). Limited Progressive Inves. Management (Private) Limited Growth Securities (Private). Limited Value Stock and Commodities (Private). Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty mas Imposed	Rs.30,000/	8-Jun-17 8-Jun-17 7-Jun-17 7-Jun-17 7-Jun-17 5-Jun-17 5-Jun-17	ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE
234 235 236 237 238 239 240 241 242 243 244 245 246 227 248 249 255 255 255 256 257 258 259 259	38 140 199 51 187 339 420 102 490 234 14 31 59 60 93 106	A. I. Securities (Private). Limited. M. M. Securities (Private). Limited. M. M. Securities (Private). Limited. Insight Securities (Private). Limited. H. P. Byramji & Co. (Private). Limited. H. P. Byramji & Co. (Private). Limited. SAC Capital Securities (Private). Limited Khawaji Securities (Private). Limited Khawaji Securities (Private). Limited Growth Securities (Private). Limited. Growth Securities (Private). Limited. Value Stock and Commodities (Private).	The Brokerage House was Warned and Financial Penalty was Imposed Suspension of Trading Terminals The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty mas Imposed	Rs.30,000/- - Rs.50,000/- Rs.50,000/-	8-Jun-17 7-Jun-17 7-Jun-17 7-Jun-17 5-Jun-17 5-Jun-17	ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE
236 237 238 239 240 241 242 243 244 245 246 247 248 249 250 251 252 253 254 255 255 256 257 258	140 199 51 58 187 339 420 102 490 234 14 31 59 60 86 93 106	M. M. Securities (Private.) Limited. Insight Securities (Private.) Limited. H. P. Byramji & Co. (Private.) Limited. Dawcoof Equities Limited. SAZ Capital Securities (Private.) Limited Khawaja Securities (Private.) Limited Khawaja Securities (Private.) Limited Growth Securities (Private.) Limited. Growth Securities (Private.) Limited. Baba Equities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed Suspension of Trading Terminals The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty mas Imposed	Rs.30,000/- - - Rs.50,000/- Rs.50,000/-	7-Jun-17 7-Jun-17 5-Jun-17 5-Jun-17	ACTIVE ACTIVE ACTIVE
237 238 239 240 241 242 243 244 245 246 247 248 249 250 251 252 253 254 255 256 257 258 259	199 51 58 187 339 420 102 490 234 14 31 59 60 86 93 106 111	Insight Securities (Private.) Limited. H. P. Byramji & Co. (Private.) Limited. Dawood Equities Limited. SAZ Capital Securities (Private.) Limited Khawaja Securities (Private.) Limited Progressive Inves. Management (Private) Limited. Growth Securities (Private.) Limited. Baba Equities (Private) Limited. Value Stock and Commodities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed Suspension of Trading Terminals The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/- - - Rs.50,000/- Rs.50,000/-	7-Jun-17 5-Jun-17 5-Jun-17	ACTIVE ACTIVE
239 240 241 242 243 244 245 246 247 248 249 250 251 252 253 254 255 255 256 257 258 259	51 58 187 339 420 102 490 234 14 31 59 60 86 93 106 111	Dawood Equities Limited. \$AZ Capital Securities (Private).Limited Khawaja Securities (Private) Limited Progressive Inves. Management (Private) Limited. Growth Securities (Private).Limited. Baba Equities (Private) Limited. Value Stock and Commodities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed Suspension of Trading Terminals The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed	Rs.50,000/- Rs.50,000/-	5-Jun-17	
240 241 242 243 244 245 246 247 248 249 250 251 252 253 254 255 256 257 258 259	187 339 420 102 490 234 14 31 59 60 86 93 106 111	SAZ Capital Securities (Private Limited Khawaja Securities (Private Limited Progressive inves. Management (Private) Limited. Growth Securities (Private, Limited. Baba Equities (Private) Limited. Value Stock and Commodities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/-		ACTIVE
241 242 243 244 245 246 247 248 249 250 251 252 253 254 255 256 257 258 259	339 420 102 490 234 14 31 59 60 86 93 106 111	Klawaja Securities (Private) Limited Progressive Inves. Management (Private) Limited. Growth Securities (Private) Limited. Baba Equities (Private) Limited. Value Stock and Commodities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/-		ACTIVE
243 244 245 246 247 248 249 250 251 252 253 254 255 256 257 258 259	102 490 234 14 31 59 60 86 93 106	Growth Securities (Private.) Limited. Baba Equities (Private) Limited. Value Stock and Commodities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed		2-Jun-17	ACTIVE
244 245 246 247 248 249 250 251 252 253 254 255 256 257 258 259	490 234 14 31 59 60 86 93 106 111	Baba Equities (Private) Limited. Value Stock and Commodities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed		2-Jun-17 31-May-17	ACTIVE ACTIVE
246 247 248 249 250 251 252 253 254 255 256 257 258 259 259	234 14 31 59 60 86 93 106 111	Value Stock and Commodities (Private) Limited.		Rs.50,000/- Rs.10,000/-	31-May-17	ACTIVE
247 248 249 250 251 252 253 254 255 256 257 258 259	31 59 60 86 93 106	Marshaut Investments (Drivate Vilimited		Rs.500,000/-	30-May-17	ACTIVE
247 248 249 250 251 252 253 254 255 256 257 258 259	31 59 60 86 93 106		New Clients' Account was Imposed The Brokerage House was Warned		29-May-17	ACTIVE
249 250 251 252 253 254 255 256 257 258 259	60 86 93 106 111	Ashfaq Ashraf Securities (Private.) Limited.	Switching-off of trading terminals		29-May-17	TRADING TERMINALS SUSPENDED
250 251 252 253 254 255 256 257 258 259	86 93 106 111	H. H. K. Securities (Private) Limited. R. A Securities (Private) Limited.	Switching-off of trading terminals Switching-off of trading terminals	-	29-May-17 29-May-17	TRADING TERMINALS SUSPENDED TRADING TERMINALS SUSPENDED
252 253 254 255 256 257 258 259	106 111	Fort Securities (Private) Limited.	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
253 254 255 256 257 258 259	111	Venus Securities (Private) Limited.	Switching-off of trading terminals	-	29-May-17	ACTIVE
254 255 256 257 258 259		MAC Securities (Private) Limited. S M Securities (Private.) Limited.	Switching-off of trading terminals Switching-off of trading terminals	-	29-May-17 29-May-17	TRADING TERMINALS SUSPENDED TRADING TERMINALS SUSPENDED
256 257 258 259	123	MAS Capital Sec. (Private.) Limited.	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
257 258 259	164 198	Interactive Securities (Private.) Limited. Motiwala Securities (Private.) Limited.	Switching-off of trading terminals	-	29-May-17 29-May-17	ACTIVE TRADING TERMINALS SUSPENDED
258 259	203	Brains Securities (Private) Limited.	Switching-off of trading terminals The Brokerage House was Warned and Financial Penalty was Imposed	Rs.80,000/-	29-May-17 29-May-17	ACTIVE
	220	Z M Capital (Private.) Limited.	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
260	223 236	MAAN Securities (Private.) Limited. Techno Fundamental Securities (Private) Limited	Switching-off of trading terminals The Brokerage House was Warned	-	29-May-17 29-May-17	ACTIVE ACTIVE
261	299	Allied Securities (Private) Limited	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
262	319	Sher Capital Equities (Private) Limited.	Switching-off of trading terminals		29-May-17	TRADING TERMINALS SUSPENDED
263 264	324 333	Union Securities (Private) Limited BMS Capital (Private) Limited.	Switching-off of trading terminals Switching-off of trading terminals	-	29-May-17 29-May-17	TRADING TERMINALS SUSPENDED TRADING TERMINALS SUSPENDED
265	441	S.A Securities (Private) Limited.	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
266	455	Prime Capital Management (Private) Limited	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED TRADING TERMINALS SUSPENDED
267 268	500 501	Chippa Securities (Private) Limited. Ahsam Securities (Private) Limited.	Switching-off of trading terminals Switching-off of trading terminals		29-May-17 29-May-17	ACTIVE
269	510	JCR Capital Securities (Private) Limited	Switching-off of trading terminals		29-May-17	TRADING TERMINALS SUSPENDED
270 271	517 148	South Asian Securities (Private) Limited. Oriental Securities (Private) Limited	Switching-off of trading terminals The Brokerage House was Warned		29-May-17 26-May-17	TRADING TERMINALS SUSPENDED ACTIVE
272	286	Dosslani's Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	26-May-17	ACTIVE
273	275	Rahat Securities Limited	The Brokerage House was Warned		23-May-17	ACTIVE
274 275	90	Darson Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/- Rs.75,000/-	15-May-17 15-May-17	ACTIVE ACTIVE
276	90	Darson Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/-	26-Apr-17	ACTIVE
277 278	297 107	MSD Capital Equities (Private) Limited. Seven Star Securities (Private.) Limited.	Suspension of Trading Terminals The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.10,000/-	26-Apr-17 20-Apr-17	ACTIVE ACTIVE
279	134	Q. Ain Khanani Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	- KS.10,000/-	20-Apr-17	ACTIVE
280	175	First National Equities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.370,000/-	13-Apr-17	ACTIVE
281 282	323 491	Adeel & Nadeem Securities (Private) Limited First Street Capital (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs. 60,000/-	13-Apr-17 13-Apr-17	ACTIVE ACTIVE
283	442	General Investment & Sec	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.75,000/-	12-Apr-17	ACTIVE
284 285	85 12	Concordia Securities (Private) Limited. Reliance Securities Limited.	The Brokerage House was Warned Suspension of Trading Terminals	-	13-Mar-17 8-Mar-17	ACTIVE ACTIVE
286	299	Allied Securities (Private) Limited	Suspension of Trading Terminals	-	8-Mar-17	TRADING TERMINALS SUSPENDED
287	510	JCR Capital Securities (Private) Limited	Suspension of Trading Terminals	-	8-Mar-17	TRADING TERMINALS SUSPENDED
288	145 199	Adam Securities Limited. Insight Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	3-Mar-17 3-Mar-17	ACTIVE ACTIVE
290	91	Intermarket Securities Limited.	The Brokerage House was Warned	-	28-Feb-17	ACTIVE
291 292	117 36	Fikree's Private Limited Time Securities (Private.) Limited.	The Brokerage House was Warned	Rs.10,000/-	28-Feb-17 22-Feb-17	ACTIVE ACTIVE
293	63	AL Habib Capital Markets (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	22-Feb-17 22-Feb-17	ACTIVE
294	120	Alfalah Securities (Private.) Limited.	The Brokerage House was Warned	-	22-Feb-17	ACTIVE
295	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
296	212	Horizon Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	20-Feb-17	ACTIVE
297	10	Sakarwala Capital Sec.(Private.) Limited	The Brokerage House was Warned	-	17-Feb-17	ACTIVE
298 299	12 128	Reliance Securities Limited. BIPL Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.10,000/-	17-Feb-17 6-Feb-17	ACTIVE ACTIVE
300	84	M. Munir Khanani Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	31-Jan-17	ACTIVE
301 302	102 68	Growth Securities (Private.) Limited. Zafar Securities (Private.) Limited.	The Brokerage House was Warned Restriction On Buy Side Transactions	-	31-Jan-17 30-Jan-17	ACTIVE ACTIVE
303	84	M. Munir Khanani Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	19-Jan-17	ACTIVE
304	62	WE Financial Services Limited.	The Brokerage House was Advised	-	18-Jan-17	ACTIVE ACTIVE
305 306	27 299	Habib Metropolitan Financial Services Lt Allied Securities (Private) Limited	The Brokerage House was Warned Suspension of Trading Terminals	-	9-Jan-17 2-Jan-17	ACTIVE TRADING TERMINALS SUSPENDED
307	300	AM Chaudhary Securities (Private) Limited	Suspension of Trading Terminals	-	2-Jan-17	ACTIVE
308 309	441 194	S.A Securities (Private) Limited. MRA Securities Limited.	Suspension of Trading Terminals The Brokerage House was Warned and Figure 2 Republic was Imposed.	- Rs.25,000/-	2-Jan-17 26-Dec-16	TRADING TERMINALS SUSPENDED ACTIVE
310	32	Zafar Moti Capital Sec. (Private.)Limited	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	22-Dec-16	ACTIVE
311	330	Muhammad Amer Riaz Securities (Private) Limited	The Brokerage House was Warned	-	22-Dec-16	ACTIVE
312 313	90 95	Darson Securities (Private.) Limited. SNM Securities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50000/- Rs.50,000/-	15-Dec-16 9-Dec-16	ACTIVE TRADING TERMINALS SUSPENDED
314	117	Fikree's Private Limited	The Brokerage House was Warned	-	9-Dec-16	ACTIVE
315 316	420	Progressive Inves. Management (Private) Limited. F.M. Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	7-Dec-16 6-Dec-16	ACTIVE TRADING TERMINALS SUSPENDED
316	241 119	F.M. Securities (Private) Limited Axis Global Limited	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs.150,000/-	5-Dec-16	ACTIVE
318	466	Unex Securities (Private) Limited	The Brokerage House was Warned	-	5-Dec-16	ACTIVE
319 320	112 28	Standard Capital Securities (Private.) Limited. Ghani Osman Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 60,000/-	1-Dec-16 30-Nov-16	ACTIVE ACTIVE
321	300	AM Chaudhary Securities (Private) Limited	Switching-off of trading terminals		30-Nov-16	ACTIVE
322	19	AKD Securities Limited.	The Brokerage House was Warned	-	29-Nov-16	ACTIVE ACTIVE
323 324	287 296	High Land Securities (Private) Limited MGM Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	28-Nov-16 28-Nov-16	ACTIVE ACTIVE
325	46	Fortune Securities Limited	The Brokerage House was Warned	-	25-Nov-16	ACTIVE
326 327	91 116	Intermarket Securities Limited. Patel Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 20,000/-	24-Nov-16 24-Nov-16	ACTIVE ACTIVE
328	120	Alfalah Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	ns. 20,000/-	24-Nov-16 24-Nov-16	ACTIVE
329	262	GPH Securities (Private) Limited	The Brokerage House was Warned	n. 400'	21-Nov-16	ACTIVE ACTIVE
330 331	22 18	BMA Capital Management Limited Ismail Iqbal Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 100,000/- Rs. 100,000/-	18-Nov-16 15-Nov-16	ACTIVE ACTIVE

10 10 10 10 10 10 10 10	S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
10 10	332	21	Alfa Adhi Securities (Private.) Limited.		-	11-Nov-16	ACTIVE
10 State Security Security Security 10 10 10 10 10 10 10 1					-		
10 10		160		The Brokerage House was Warned	-		
1.					-		
15 10	338				Rs. 25,000/-		
1.0 Proc.	339	94	FDM Capital Securities (Private.)Limited	The Brokerage House was Warned and Financial Penalty was Imposed		10-Nov-16	
10					- Rs 50 000/-		
1.00 See See					-		
15 15 15 15 15 15 15 15				The Brokerage House was Warned	-		
10 State					Rs 20 000/-		
10 17					-		
10 20 Continued					-		
10 10 10 10 10 10 10 10					-		
10 1.1 Promy 1.0 Promy 1.0 1.1 Promy 1.0	350				-		
10 10 10 10 10 10 10 10			WE Financial Services Limited.		-		
10 1.50 Activity of Manch Street Memory Process (1997) Company of the Com					-		
10					-	13-Oct-16	
10.					-		
20 100					-		
50	358		Spinzer Equities(Private) Limited		-	26-Aug-16	ACTIVE
20. 17.0					-		
160					Rs. 450,000/-		
10 20 Private Security Private Institute Private Security Private Institute Private Institute In	362	410	Zahid Latif Khan Securities (Private.) Limited.	The Brokerage House was Warned	-	27-Jul-16	ACTIVE
20					-		
150 150					1		
202 207 Printing Security (Control of Control of	366	314	Equity Master Securities (Private) Limited	The Brokerage House was Advised	-	22-Jun-16	ACTIVE
23 23 Water board and commenters from continuent The florance process as several 1.3 to 70 2.5 to 70					- Rs 100 000/		
202 202 Improved processing from the former and bound 1.0 m in the former and bound					- 100,000/-		
202 072 M. Sammin number	370	256	Progressive Securities (Private) Limited	The Brokerage House was Warned	-	13-Jun-16	ACTIVE
193 1930 Charles Stock Services (Printing) (Limited)					-		
23					-		
196 238 Ask Nature Provest Lorente The Institute National Provided Control Control Cont	374	224	K & I Global Capital (Private.) Limited.	The Brokerage House was Warned	-		
172 292					-		
3-96 Storagement Securities (Privated Limited The Descriptage Review set Warred					-		
15 15 See Souther Provide Limited The Interface Name of See Souther Provide Limited The See Souther See	378	346		The Brokerage House was Warned	-	10-Jun-16	ACTIVE
1981 Scorts Capell Instead.					-		
22 23 MAN Security (June 1) MAN Security (June					-		
185 186 Per Scorride Private Limited. Per Interlegations on Named	382	223	MAAN Securities (Private.) Limited.	The Brokerage House was Warned	-		ACTIVE
186 196					-		
172 Parks Sectione (Private) Limited The beforeign factors and Variety The Control (Private) Limited The Control (Pr					-		
388 388 Settl Securities (Private) Limited. The Brokerge Roose was Warmed and Francial Private was Reproded 1.1 May 15 A.C. MCM					-		
130 131 Over-1876 Securities (Private) Limited. The Devicence from an Wormed					Rs 100 000/-		
181					-		
138 Source Capital (Private) Limited. The Biocharge House was Named of Tensorial Personal Section (Private) Limited. The Biocharge House was Named of Tensorial Personal Activity and Tensorial Personal Capital (Private) Limited. The Biocharge House was Named				The Brokerage House was Warned	-		
1981 100 Are Securities (Princise) Limited. The Brickerage Stoons was Warned and Financial Provide your was Advised 1. 24 Mary 15 2. AMPL 5 (Controller) 1. 25 Mary 16 2. AMPL 5 (Controller) 2.					-		ACTIVE TRADING TERMINALS SUSPENDED
171 AMPLE Securities (Private Limited. The Brokenege Roses was Variented	393				Rs. 50,000/-	25-May-16	
199 109 Dalis Securities (Private) Limited. The Brokerage House was Warmed					-		
199 169 Perf Securities (Imited: The Brokerage House was Warmed 35 Aday-16 ACTIVE					-		
193 173 Spectrum Securities Limited. The Brokerage House was Warmed					-	19-May-16	
102 102 Grown Securities (Private) Limited The Brokerage Floure was Warned . 12 May-16 ACTIVE					-		
150					-		
1940 1940 MAR Securities Limited. The Brokerage House was Warnerd . 17-May-16 ACTIVE			Gazipura Securities & Services (Private.) Lt		-		
16				The Brokerage House was Warned	-		
160					-	16-May-16 16-May-16	
143 Saso Capital (Private) Limited. The Brokerage House was Warned	405		Iqbal Usman Kodv. Sec. (Private.) Limited		-		
1.00					-		
1909 121 Salm Sozer Securities (Private) Limited. The Brokerage House was Warned - 4.May-16 ACTIVE					-		
141 138	409	121	Salim Sozer Securities (Private.) Limited.	The Brokerage House was Warned	-	9-May-16	ACTIVE
1412					-		
143					-		
141 107 Seven Star Securities (Private) Limited.	413	175	First National Equities Limited.	The Brokerage House was Warned	-	3-May-16	ACTIVE
145				The Brokerage House was Warned	1 -		
19					-		
419 52	417	159	Rafi Securities (Private.) Limited.	The Brokerage House was Warned	-	29-Apr-16	ACTIVE
ACTIVE A					-		
1. 1. 1. 1. 1. 1. 1. 1.					-		
ACTIVE A	421	57	First Capital Equities Limited.	The Brokerage House was Warned	-	28-Apr-16	ACTIVE
1428 228					-		
ASS					Rs. 25.000/-		
ACTIVE 140 M. M. Securities (Private.) Limited. The Brokerage House was Warned - 22.Apr-16 ACTIVE	425	485	Hamza Farhad Securities (Private) Limited.	The Brokerage House was Warned	-	28-Apr-16	ACTIVE
ACTIVE 124				The Brokerage House was Warned	-		
429 150					-		
430 18	429		Askari Securities Limited.	The Brokerage House was Warned			ACTIVE
432 84 M. Munir Khanani Securities (Private.) Limited. The Brokerage House was Warned - 20-Apr-15 ACTIVE 433 1.08 Azee Securities (Private.) Limited. The Brokerage House was Warned - 14-Apr-16 ACTIVE 434 128 BPL Securities Limited. The Brokerage House was Warned - 11-Apr-16 ACTIVE 435 37 H Misbian Securities (Private.) Limited. The Brokerage House was Warned - 11-Apr-16 ACTIVE 436 49 Multime Securities (Private.) Limited. The Brokerage House was Warned - 11-Apr-16 ACTIVE 437 88 Fawad Ysuof Securities (Private.) Limited. The Brokerage House was Warned - 8-Apr-16 ACTIVE 438 129 Tarus Securities (Private.) Limited. The Brokerage House was Warned - 8-Apr-16 ACTIVE 439 239 Ayu Chaudhy Investments (Private) Limited. The Brokerage House was Warned - 1-Apr-16 ACTIVE				The Brokerage House was Warned	-	20-Apr-16	
433 108					-		
434 128 BIPL Securities Limited. The Brokerage House was Warned - 14-Apr-16 ACTIVE 435 37 H Misbah Securities (Private.) Limited. The Brokerage House was Warned - 11-Apr-16 ACTIVE 436 49 Multiline Securities (Private.) Limited. The Brokerage House was Warned - 11-Apr-16 ACTIVE 437 88 Faward Vosuf Securities (Private.) Limited. The Brokerage House was Warned - 8-Apr-16 ACTIVE 438 129 Tavus Securities Limited. The Brokerage House was Warned - 8-Apr-16 ACTIVE 439 239 Ayub Chaudrhy Investments (Private) Limited. The Brokerage House was Warned - 1-Apr-16 ACTIVE	433						ACTIVE
436 49 Multiline Securities (Private.) Limited. The Brokerage House was Warned - 11-Apr-16 ACTIVE 437 88 Favad Yssuf Securities (Private.) Limited. The Brokerage House was Warned - 8-Apr-16 ACTIVE 438 129 Taurus Securities Limited The Brokerage House was Warned - 8-Apr-16 ACTIVE 439 239 AyuG Chaudhry Investments (Private.) Limited. The Brokerage House was Warned - 1-Apr-16 ACTIVE	434	128	BIPL Securities Limited.	The Brokerage House was Warned	-	14-Apr-16	
437 88 Faward Ysurf Securities (Private) Limited. The Brokerage House was Warned - 8-Apr-16 ACTIVE 438 129 Tarrus Securities Limited The Brokerage House was Warned - 8-Apr-16 ACTIVE 439 239 Ayub Chaudhry Investments (Private) Limited. The Brokerage House was Warned - 1-Apr-16 ACTIVE					-		
438 129 Taurus Securities Limited The Brokerage House was Warned - 8-Apr-16 ACTIVE 439 239 Ayub Chaudhry Investments (Private) Limited. The Brokerage House was Warned - 1-Apr-16 ACTIVE							
	438		Taurus Securities Limited	The Brokerage House was Warned	-	8-Apr-16	ACTIVE
	439 440	239 256	Ayub Chaudhry Investments (Private) Limited. Progressive Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	1-Apr-16 1-Apr-16	ACTIVE ACTIVE

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement Actions	Current Status
			Actions taken by Market Surveillance Department (MSD) :	(If any)	Actions	
1 2	142 248	Foundation Securities (Pvt.) Limited Khadim Ali Shah Bukhari Securities (Private) Limited	Advised Stern Warning	-	16-Apr-19 27-Mar-19	ACTIVE ACTIVE
3	196	RAH Securities (Private) Limited	Stern Warning	-	27-Mar-19	ACTIVE
4 5	212 149	Horizon Securities Limited JS Global Capital Limited	Stern Warning Stern Warning	-	26-Mar-19 26-Mar-19	ACTIVE ACTIVE
6 7	16 94	DJM Securities (Pvt.) Limited FDM Capital Securities (Private) Limited	Stern Warning Stern Warning	-	7-Mar-19 7-Mar-19	ACTIVE ACTIVE
8	144 163	Dattoo Securities (Private) Limited Friendly Securities (Pvt.) Limited	Stern Warning Confiscation of Profits	214,966	7-Mar-19 7-Mar-19	ACTIVE ACTIVE
10	28	Ghani Osman Securities (Private) Limited	Case Referred to SECP For Review and Necessary Action	- 214,966	26-Feb-19	ACTIVE
11 12	50 58	Arif Habib Limited Dawood Equities Limited	Case Referred to SECP For Review and Necessary Action Case Referred to SECP For Review and Necessary Action	-	26-Feb-19 26-Feb-19	ACTIVE ACTIVE
13 14	166 1	Topline Securities (Private) Limited Altaf Adam Securities (Private) Limited	Case Referred to SECP For Review and Necessary Action Advised	-	26-Feb-19 19-Feb-19	ACTIVE ACTIVE
15 16	112 142	Standard Capital Securities (Private) Limited Foundation Securities (Pvt.) Limited	Advised Advised	-	13-Feb-19 13-Feb-19	ACTIVE ACTIVE
17	22	BMA Capital Management Limited	Advised	-	13-Feb-19	ACTIVE
18 19	57 204	First Capital Equities Limited Backers & Partners (Private) Limited	Advised Stern Warning	-	13-Feb-19 1-Feb-19	ACTIVE ACTIVE
20 21	24 49	ASDA Securities (Private) Limited Multiline Securities (Pvt.) Ltd.	Fine and confisction of Profit along with Stern Warning Stern Warning	30,000	1-Feb-19 1-Feb-19	ACTIVE ACTIVE
22	18 36	Ismail Iqbal Securities (Pvt.) Limited	Stern Warning	12.425	1-Feb-19 1-Feb-19	ACTIVE ACTIVE
24	347	Time Securities (Private) Limited Amer Securities (Pvt.) Ltd.	Cofiscation of Profit along with Stern Warning Stern Warning	13,435	1-Feb-19	ACTIVE
25 26	52 45	N.U.A. Securities (Private) Limited Bhayani Securities (Private) Limited	Penalty Imposed along with confiscation of profits Penalty Imposed along with confiscation of profits	10,054 98,350	24-Jan-19 24-Jan-19	ACTIVE ACTIVE
27 28	193 23	Akhai Securities (Pvt.) Limited Khanani Securities (Private) Limited	Stern Warning Penalty Imposed	36,320	24-Jan-19 24-Jan-19	ACTIVE ACTIVE
29 30	1 44	Altaf Adam Securities (Private) Limited	Penalty Imposed along with confiscation of profits	52,495	24-Jan-19	ACTIVE
31	124	IGI Finex Securities Limited EFG Hermes Pak Ltd	Advised Advised	-	23-Jan-19 23-Jan-19	ACTIVE ACTIVE
32 33	6 22	Sherman Securities (Pvt.) Ltd. BMA Capital Management Limited	Advised Advised	-	23-Jan-19 23-Jan-19	ACTIVE ACTIVE
34 35	90 149	Darson Securities (Private) Limited JS Global Capital Limited	Advised Advised	-	10-Jan-19 10-Jan-19	ACTIVE ACTIVE
36 37	52 91	N.U.A. Securities (Private) Limited	Strictly Advised	-	4-Jan-19 4-Jan-19	ACTIVE ACTIVE
38	102	Intermarket Securities Limited Growth Securities (Pvt.) Limited	Strictly Advised Advised	-	3-Jan-19	ACTIVE
39 40	166 116	Topline Securities (Private) Limited Patel Securities Pvt) Ltd.	Advised Confiscation of Profits	4,777	1-Jan-19 21-Dec-18	ACTIVE ACTIVE
41 42	159 256	Rafi Securities (Private) Limited Progressive Securities (Private) Limited	Confiscation of Profits Confiscation of Profits	56,853 11,539	21-Dec-18 21-Dec-18	ACTIVE ACTIVE
43	50	Arif Habib Limited	Strictly Advised	- 11,339	13-Dec-18	ACTIVE
44 45	84 102	Muhammad Munir Muhammad Ahmed Khanani Securities (Pvt.) Ltd Growth Securities (Pvt.) Limited	Strictly Advised Advised	-	13-Dec-18 27-Nov-18	ACTIVE ACTIVE
46 47	145 120	Adam Securities (Pvt.) Ltd. Alfalah Securities (Private) Limited	Stern Warning Stern Warning	-	2-Nov-18 2-Nov-18	ACTIVE ACTIVE
48 49	224 187	K & I Global Capital (Private) Limited SAZ Capital Securities (Pvt.) Ltd.	Stern Warning	-	2-Nov-18 2-Nov-18	ACTIVE ACTIVE
50	62	WE Financial Services Limited	Stern Warning Stern Warning	-	2-Nov-18	ACTIVE
51 52	223 91	Maan Securities (Private) Limited Intermarket Securities Limited	Penalty Imposed Penalty Imposed	5,500 12,500	1-Nov-18 1-Nov-18	ACTIVE ACTIVE
53 54	128 84	BIPL Securities Limited Muhammad Munir Muhammad Ahmed Khanani Securities (Pvt.) Ltd	Penalty Imposed Advised	1,050	1-Nov-18 24-Oct-18	ACTIVE ACTIVE
55 56	169 179	Pearl Securities Limited Continental Capital Management (Pvt) Ltd.	Stern Warning Stern Warning	-	9-Oct-18 9-Oct-18	ACTIVE ACTIVE
57	212	Horizon Securities Limited	Stern Warning	-	9-Oct-18	ACTIVE
58 59	6 17	Sherman Securities (Pvt.) Ltd. Summit Capital (Private) Limited	Stern Warning Penalty Imposed	10,000	5-Oct-18 5-Oct-18	ACTIVE ACTIVE
60 61	18 77	Ismail Iqbal Securities (Pvt.) Limited Best Securities (Private) Limited	Penalty Imposed Stern Warning	20,000	5-Oct-18 5-Oct-18	ACTIVE ACTIVE
62 63	108 112	Azee Securities (Pvt.) Ltd. Standard Capital Securities (Private) Limited	Stern Warning Strictly Advised	-	5-Oct-18 25-Sep-18	ACTIVE ACTIVE
64	145	Adam Securities (Pvt.) Ltd.	Strictly Advised	-	25-Sep-18	ACTIVE
65 66	194 228	MRA Securities (Private) Limited Al-Haq Securities (Private)Limited	Strictly Advised Advised	-	25-Sep-18 25-Sep-18	ACTIVE ACTIVE
67 68	91 297	Intermarket Securities Limited MSD Capital Equities (Private) Limited	Advised Stern Warning	-	25-Sep-18 7-Sep-18	ACTIVE ACTIVE
69 70	267 22	Bismillah Securities (Private) Limited BMA Capital Management Limited	Stern Warning Stern Warning	-	7-Sep-18 7-Sep-18	ACTIVE ACTIVE
71	45	Bhayani Securities (Private) Limited	Penalty Imposed along with confiscation of profits	12,923	7-Sep-18	ACTIVE
72 73	8 290	Optimus Capital Management (Pvt.) Ltd. K.H.S. Securities (Private) Limited	Stern Warning Stern Warning	-	7-Sep-18 7-Sep-18	ACTIVE ACTIVE
74 75	8 46	Optimus Capital Management (Pvt.) Ltd. Fortune Securities Limited	Stern Warning Penalty Imposed	1,302	7-Sep-18 30-Aug-18	ACTIVE ACTIVE
76 77	36 1	Time Securities (Private) Limited Altaf Adam Securities (Private) Limited	Stern Warning Stern Warning	-	30-Aug-18 30-Aug-18	ACTIVE ACTIVE
78	102	Growth Securities (Pvt.) Limited	Penalty Imposed	10,000	30-Aug-18	ACTIVE
79 80	46 265	Fortune Securities Limited Infinite Securities Limited	Penalty Imposed Stern Warning	90,000	30-Aug-18 6-Jun-18	ACTIVE ACTIVE
81 82	346 438	Strongman Securities (Pvt.) Ltd. Fair Edge Securities (Private) Limited	Penalty Imposed Confiscation of Profits	10,000 3,250	6-Jun-18 6-Jun-18	ACTIVE ACTIVE
83 84	149 346	JS Global Capital Limited Strongman Securities (Pvt.) Ltd.	Stern Warning Stern Warning	-	6-Jun-18 6-Jun-18	ACTIVE ACTIVE
85	149	JS Global Capital Limited	Confiscation of Profits	450,000	6-Jun-18	ACTIVE
86 87	48 19	Next Capital Limited AKD Securities Limited	Penalty Imposed stern Warning	10,000	30-May-18 30-May-18	ACTIVE ACTIVE
88 89	48 48	Next Capital Limited Next Capital Limited	Penalty Imposed along with confiscation of profits Penalty Imposed	24,786 10,000	30-May-18 30-May-18	ACTIVE ACTIVE
90 91	85 85	Concordia Securities (Pvt.) Ltd.	Penalty Imposed	100,000	18-May-18 18-May-18	ACTIVE ACTIVE
92	145	Concordia Securities (Pvt.) Ltd. Adam Securities (Pvt.) Ltd.	Confiscation of Profits Advised	-	18-May-18	ACTIVE
93 94	82 177	Mayari Securities (Private) Limited Din Capital (Private) Limited	Advised Stern Warning	-	18-May-18 7-May-18	ACTIVE ACTIVE
95 96	21 18	Alfa Adhi Securities (Pvt.) Ltd. Ismail Iqbal Securities (Pvt.) Limited	Penalty Imposed along with confiscation of profits Advised	32,160	7-May-18 7-May-18	ACTIVE ACTIVE
97 98	98 98	Fairtrade Capital Securities (Private) Limited Fairtrade Capital Securities (Private) Limited	Advised Advised	-	4-May-18 4-May-18	ACTIVE ACTIVE
99	98	Fairtrade Capital Securities (Private) Limited	Advised	-	4-May-18	ACTIVE
100 101	98 98	Fairtrade Capital Securities (Private) Limited Fairtrade Capital Securities (Private) Limited	Advised Advised	-	4-May-18 4-May-18	ACTIVE ACTIVE
102 103	112 346	Standard Capital Securities (Private) Limited Strongman Securities (Pvt.) Ltd.	Advised Advised	-	4-May-18 4-May-18	ACTIVE ACTIVE
104 105	85 142	Concordia Securities (Pvt.) Ltd. Foundation Securities (Pvt.) Limited	Advised Advised	-	13-Apr-18 9-Apr-18	ACTIVE ACTIVE
106	6	Sherman Securities (Pvt.) Ltd.	Advised	-	9-Apr-18	ACTIVE
107 108	228 169	Al-Haq Securities (Private)Limited Pearl Securities Limited	Advised Advised	-	6-Apr-18 6-Apr-18	ACTIVE ACTIVE
109 110	442 442	General Investment & Securities (Private) Limited. General Investment & Securities (Private) Limited.	Advised Advised	-	6-Apr-18 6-Apr-18	ACTIVE ACTIVE
111	485	Hamza Farhad Securities (Pvt) Limited	Confiscation of Profits	870	4-Apr-18	ACTIVE
112 113	89 162	Investment Managers Securities (Private) Limited Aba Ali Habib Securities (Private) Limited	Stern Warning Stern Warning	-	21-Mar-18 21-Mar-18	ACTIVE ACTIVE
114 115	166 162	Topline Securities (Private) Limited Aba Ali Habib Securities (Private) Limited	Confiscation of Profits Advised	8,565	21-Mar-18 15-Mar-18	ACTIVE ACTIVE
116	256	Progressive Securities (Private) Limited Arif Latif Securities (Private) Limited	Stern Warning Stern Warning	-	20-Feb-18 20-Feb-18	ACTIVE ACTIVE
117	232			1 -	TO - CD-TO	PACITY

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
119 120	91 91	Intermarket Securities Limited	Stern Warning		20-Feb-18 20-Feb-18	ACTIVE ACTIVE
121	91	Intermarket Securities Limited Intermarket Securities Limited	Stern Warning Stern Warning	-	20-Feb-18	ACTIVE
122 123	24 17	ASDA Securities (Private) Limited	Stern Warning Stern Warning	-	7-Feb-18 1-Feb-18	ACTIVE ACTIVE
124	66	Summit Capital (Private) Limited Iqbal Usman Kodvavi Securities (Pvt.) Ltd.	Penalty Imposed	7,125	1-Feb-18	ACTIVE
125 126	131 45	GMI Capital Securities (Private) Limited	Stern Warning Penalty Imposed	2.750	1-Feb-18 1-Feb-18	ACTIVE ACTIVE
127	131	Bhayani Securities (Private) Limited GMI Capital Securities (Private) Limited	Stern Warning	2,750	1-Feb-18	ACTIVE
128 129	490	IGI Finex Securities Limited	Stern Warning	- 226.660	1-Feb-18 13-Dec-17	ACTIVE ACTIVE
130	490	Baba Equities (Private) Limited Baba Equities (Private) Limited	Penalty Imposed Warned	226,660	13-Dec-17	ACTIVE
131 132	224 410	K & I Global Capital (Private) Limited	Advised Penalty Imposed	15,597	12-Dec-17 30-Nov-17	ACTIVE ACTIVE
133	482	Zahid Latif Khan Securities (Private) Limited New Peak Securities (Private) Limited	Penalty Imposed Penalty Imposed	22,950	30-Nov-17	ACTIVE
134 135	482 155	New Peak Securities (Private) Limited B & B Securities (Private) Limited	Penalty Imposed Penalty Imposed	70,650 6,000	30-Nov-17 30-Nov-17	ACTIVE ACTIVE
136	169	Pearl Securities Limited	Penalty Imposed	240,940	17-Nov-17	ACTIVE
137 138	52 52	N.U.A. Securities (Private) Limited	Stern Warning	-	17-Nov-17 17-Nov-17	ACTIVE ACTIVE
139	52	N.U.A. Securities (Private) Limited N.U.A. Securities (Private) Limited	Stern Warning 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
142 143	169 32	Pearl Securities Limited	Advised	26.740	1-Nov-17 18-Oct-17	ACTIVE ACTIVE
144	18	Zafar Moti Capital Securities (Private) Limited Ismail Iqbal Securities (Pvt.) Limited	Penalty Imposed Penalty Imposed	26,740 10,000	18-Oct-17	ACTIVE
145	30	Cedar Capital (Private) Limited	Penalty Imposed	14,500	18-Oct-17	ACTIVE
146	290 84	K.H.S. Securities (Private) Limited Muhammad Munir Muhammad Ahmed Khanani Securities (Private) Limited	Advised Warned	-	28-Aug-17 28-Aug-17	ACTIVE ACTIVE
147	36		Warned Warned		28-Aug-17 28-Aug-17	ACTIVE
149	6	Time Securities (Private) Limited Sherman Securities (Pvt.) Ltd.	Advised	-	28-Aug-17	ACTIVE
150 151	6 46	Sherman Securities (Pvt.) Ltd.	Advised Advised	-	28-Aug-17	ACTIVE ACTIVE
152	102	Fortune Securities Limited Growth Securities (Private) Limited	Advised Warned		28-Aug-17 24-Aug-17	ACTIVE
153	68	Zafar Securities (Private) Limited	Warned	-	24-Aug-17	ACTIVE
154 155	102 102	Growth Securities (Pvt.) Limited Growth Securities (Pvt.) Limited	Warned Warned	-	24-Aug-17 24-Aug-17	ACTIVE ACTIVE
156	68	Zafar Securities (Private) Limited	Warned	-	24-Aug-17	ACTIVE
157 158	68 30	Zafar Securities (Private) Limited Cedar Capital (Private) Limited	Warned Advised	-	24-Aug-17 21-Jul-17	ACTIVE ACTIVE
159	19	AKD Securities Limited	Warned		21-Jul-17	ACTIVE
160 161	234 16	Value Stock and Commodities (Private) Limited D.J.M. Securities (Private) Limited	Penalty Imposed Warned	643,699	17-Jul-17 14-Jul-17	ACTIVE ACTIVE
162	169	Pearl Securities Limited	Warned	-	14-Jul-17	ACTIVE
163 164	1 28	Altaf Adam Securities (Private) Limited Ghani Osman Securities (Private) Limited	Advised Advised	-	4-Jul-17 4-Jul-17	ACTIVE ACTIVE
165	54	Bawa Securities (Private) Limited	Penalty Imposed	55,683	21-Jun-17	ACTIVE
166 167	91 188	Intermarket Securities Limited Apex Capital Securities (Private) Limited	Advised Advised	-	21-Jun-17 21-Jun-17	ACTIVE ACTIVE
168	91	Intermarket Securities Limited	Advised	-	21-Jun-17	ACTIVE
169 170	158 228	Royal Securities (Private) Limited Al-Haq Securities (Private)Limited	Advised Warned	-	19-Jun-17 16-Jun-17	ACTIVE ACTIVE
171	48	Next Capital Limited	Warned	-	9-Jun-17	ACTIVE
172 173	48	Next Capital Limited Next Capital Limited	Penalty Imposed Warned	70,175	9-Jun-17 9-Jun-17	ACTIVE ACTIVE
174	88	Fawad Yusuf Securities (Private) Limited	Warned	-	9-Jun-17	ACTIVE
175 176	88 88	Fawad Yusuf Securities (Private) Limited Fawad Yusuf Securities (Private) Limited	Penalty Imposed Penalty Imposed	92,527 64,041	9-Jun-17 9-Jun-17	ACTIVE ACTIVE
177	88	Fawad Yusuf Securities (Private) Limited	Warned	-	9-Jun-17	ACTIVE
178 179	57 57	First Capital Equities Limited First Capital Equities Limited	Advised Advised	-	10-May-17 10-May-17	ACTIVE ACTIVE
180	57	First Capital Equities Limited	Advised	-	10-May-17	ACTIVE
181 182	149 17	JS Global Capital Limited Summit Capital (Private) Limited	Advised Stern Warning	-	10-May-17 4-May-17	ACTIVE ACTIVE
183	184	Prime Securities (Private) Limited	Penalty Imposed	71,861	21-Apr-17	ACTIVE
184 185	47 159	Zillion Capital Securities (Private) Limited Rafi Securities (Private) Limited	Penalty Imposed Penalty Imposed	59,675 51,470	7-Apr-17 7-Apr-17	ACTIVE ACTIVE
186	159	Rafi Securities (Private) Limited	Penalty Imposed	50,000	7-Apr-17	ACTIVE
187 188	173 124	Spectrum Securities (Private) Limited Invest and Finance Securities Limited	Warned Advised	-	24-Mar-17 10-Mar-17	ACTIVE 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
192 193	21 100	Alfa Adhi Securities (Private) Limited Elixir Securities Pakistan (Private) Limited	Penalty Imposed Advised	1,230,452	23-Feb-17 22-Feb-17	ACTIVE ACTIVE
194	46	Fortune Securities Limited	Advised	-	3-Feb-17	ACTIVE
195 196	438 56	Fair Edge Securities (Private) Limited Nael Capital (Private) Limited	Advised Advised	-	3-Feb-17 3-Feb-17	ACTIVE ACTIVE
197	466	UNEX Securities (Private) Limited	Advised	-	3-Feb-17	ACTIVE
198 199	183 10	R.T. Securities (Private) Limited Sakarwala Capital Securities (Private) Limited	Advised Advised		31-Jan-17 31-Jan-17	ACTIVE ACTIVE
200	297	MSD Capital Equities (Private) Limited	Advised		31-Jan-17	ACTIVE
201	181 203	First Equity Modaraba Brains Securities (Private) Limited	Advised Advised	-	31-Jan-17 31-Jan-17	ACTIVE ACTIVE
203	10	Sakarwala Capital Securities (Private) Limited	Advised		31-Jan-17	ACTIVE
204	19 221	AKD Securities Limited	Advised	-	31-Jan-17 25-Jan-17	ACTIVE ACTIVE
206	482	Millennium Brokerage (SMC-Pvt) Limited New Peak Securities (Private) Limited	Advised Advised		25-Jan-17	ACTIVE
207 208	490 166	Baba Equities (Private) Limited Topline Securities (Private) Limited	Advised Advised	-	25-Jan-17 25-Jan-17	ACTIVE ACTIVE
209	485	Hamza Farhad Securities (Private) Limited Hamza Farhad Securities (Private) Limited	Advised Advised		25-Jan-17	ACTIVE
210 211	85 116	Concordia Securities (Private) Limited	Advised	-	24-Jan-17 19-Jan-17	ACTIVE ACTIVE
212	118	Patel Securities (Private) Limited Sunrise Capital (Private) Limited	Penalty Imposed Penalty Imposed	50,000 200,000	17-Jan-17	TRADING TERMINALS SUSPENDED
213 214	17 17	Summit Capital (Private) Limited	Advised	-	3-Jan-17	ACTIVE
214	17	Summit Capital (Private) Limited Reliance Securities Limited	Advised Advised	-	3-Jan-17 30-Dec-16	ACTIVE ACTIVE
216	54	Bawa Securities (Private) Limited	Advised	-	30-Dec-16	ACTIVE
217 218	12 66	Reliance Securities Limited Iqbal Usman Kodvavi Securities (Private) Limited	Advised Advised	-	30-Dec-16 28-Dec-16	ACTIVE ACTIVE
219	229	Fairway Securities (Private) Limited	Advised	-	28-Dec-16	ACTIVE
220	102	Growth Securities (Private) Limited	Advised	<u> </u>	26-Dec-16	ACTIVE

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
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 ACTIVE
227 228	490 224	Baba Equities (Private) Limited	Advised	-	20-Dec-16	ACTIVE ACTIVE
228	224	K & I Global (Private) Limited	Advised	-	20-Dec-16 20-Dec-16	ACTIVE
230	348	K & I Global (Private) Limited	Advised Advised	-	1-Dec-16	TRADING TERMINALS SUSPENDED
231	90	AMCAP Securities (Private) Limited Darson Securities (Private) Limited	Penalty Imposed	50,000	1-Dec-16	ACTIVE
232	177	Din Capital (Private) Limited	Penalty Imposed	52,479	1-Dec-16	ACTIVE
233	37	HH Misbah Securities (Private) Limited	Advised	32,473	29-Nov-16	ACTIVE
234	62	WE Financial Services Limited	Advised	-	28-Nov-16	ACTIVE
235	28	Ghani Osman 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 ACTIVE
252	22 442	BMA Capital Management Limited	Advised	-	4-Oct-16	ACTIVE ACTIVE
253 254	128	General Investment & Securities (Private) Limited	Advised Advised	-	4-Oct-16 29-Sep-16	ACTIVE ACTIVE
255	128	KASB Securities Limited KASB Securities Limited		-	29-Sep-16 29-Sep-16	ACTIVE
256	149		Advised Advised	-	29-Sep-16 29-Sep-16	ACTIVE
257	149	JS Global Capital Limited 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	1	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					
265		KASB Securities Limited			2-Sep-16	
266	118	KASB Securities Limited Sunrise Capital (Private) Limited	Penalty Imposed Penalty Imposed	64,000	2-Sep-16 26-Aug-16	ACTIVE ACTIVE TRADING TERMINALS SUSPENDED
	118 36	Sunrise Capital (Private) Limited	Penalty Imposed		2-Sep-16 26-Aug-16 7-Aug-16	ACTIVE
267			Penalty Imposed Penalty Imposed	64,000	26-Aug-16	ACTIVE TRADING TERMINALS SUSPENDED
	36	Sunrise Capital (Private) Limited Time Securities (Private) Limited Horizon Securities Limited	Penalty Imposed Penalty Imposed Warned	64,000	26-Aug-16 7-Aug-16	ACTIVE TRADING TERMINALS SUSPENDED ACTIVE
267 268 269	36 212	Sunrise Capital (Private) Limited Time Securities (Private) Limited	Penalty Imposed Penalty Imposed Warned Warned	64,000 164,285 -	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16	ACTIVE TRADING TERMINALS SUSPENDED ACTIVE ACTIVE
267 268 269 270	36 212 22 22 22	Sunrise Capital (Private) Limited Time Securities (Private) Limited Horizon Securities Limited BMA Capital Management Limited	Penalty Imposed Penalty Imposed Warned Warned Warned	64,000 164,285 -	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16	ACTIVE TRADING TERMINALS SUSPENDED ACTIVE ACTIVE ACTIVE
267 268 269 270 271	36 212 22 22 22 18 482	Sunrise Capital (Private) Limited Time Securities (Private) Limited Horizon Securities (Inited BMA capital Management Limited BMA Capital Management Limited	Penalty Imposed Penalty Imposed Warned Warned Warned Warned Warned	64,000 164,285 -	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16 25-Jul-16	ACTIVE TRADING TERMINALS SUSPENDED ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE
267 268 269 270 271 272	36 212 22 22 22 18 482 17	Sunrise Capital (Private) Limited Horizon Securities (Private) Limited Horizon Securities Limited BMA capital Management Limited BMA Capital Management Limited Ismail Iobal Securities (Private) Limited New Peak Securities (Private) Limited Summit Capital (Private) Limited	Penarly Imposed Penalty Imposed Warned Warned Warned Warned Warned Warned Warned Warned Advised Warned	64,000 164,285 -	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16 25-Jul-16 25-Jul-16	ACTIVE TRADING TERMINAS SUSPENDED ACTIVE
267 268 269 270 271 272 273	36 212 22 22 22 18 482 17	Sunrise Capital (Private) Limited Time Securities (Private) Limited Horizon Securities Limited BMA Capital Management Limited BMA Capital Management Limited Ismail Isbal Securities (Private) Limited Ismail Isbal Securities (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited M.R.A. Securities (Private) Limited	Penalty Imposed Penalty Imposed Warned Warned Warned Warned Warned Warned Advised Warned Warned Warned Warned	64,000 164,285 - - - - - - - - -	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16 25-Jul-16 25-Jul-16 28-Jun-16	ACTIVE TRADING TERMINALS SUSPENDED ACTIVE
267 268 269 270 271 272 273 274	36 212 22 22 18 482 17 194 346	Sunrise Capital (Private) Limited Time Securities (Private) Limited Horizon Securities (Private) Limited Horizon Securities Limited BMA capital Management Limited BMA capital Management Limited Ismail Idpal Securities (Private) Limited New Peak Securities (Private) Limited Summit Capital (Private) Limited M.R.A. Securities (Private) Limited M.R.A. Securities (Private) Limited	Penarly Imposed Penalty Imposed Warned Warned Warned Warned Warned Advised Warned Warned Warned Warned Warned Warned Warned Warned Warned	64,000 164,285 -	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16 25-Jul-16 25-Jul-16 28-Jun-16 28-Jun-16	ACTIVE TRADING TEMMAS SUSPENDED ACTIVE
267 268 269 270 271 272 273 274 275	36 212 22 22 18 482 17 194 346 466	Sunrise Capital (Private) Limited Horizon Securities Limited Horizon Securities Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited Ismail tidud Securities (Private) Limited New Peak Securities (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited Sommit Capital (Private) Limited Strongman Securities (Private) Limited Unex Securities (Private) Limited	Penalty Imposed Penalty Imposed Warned Warned Warned Warned Advised Warned Advised Warned Warned Warned Warned Warned Warned Warned Warned	64,000 164,285 - - - - - - - - -	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16 25-Jul-16 25-Jul-16 28-Jun-16 28-Jun-16 28-Jun-16	ACTIVE TRADING TERMINALS SUSPENDED ACTIVE
267 268 269 270 271 272 273 274 275 276	36 212 22 22 18 482 17 194 346 466 66	Sunrise Capital (Private) Limited Time Securities (Private) Limited Horizon Securities (Imited Horizon Securities Limited BMA capital Management Limited BMA Capital Management Limited Ismail Idpail Securities (Private) Limited New Peak Securities (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited Strongman Securities (Private) Limited Unex Securities (Private) Limited L	Penarly Imposed Penarly Imposed Warned Warned Warned Warned Warned Advised Warned	64,000 164,285 - - - - - - - - -	26-Aug-16 7-Aug-16 1-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16 25-Jul-16 25-Jul-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16	ACTIVE TRADING TEMBINAS SUSPENDED ACTIVE
267 268 269 270 271 272 273 274 275 276 277	36 212 22 22 22 18 482 17 194 346 466 666 32	Sunrise Capital (Private) Limited Horizon Securities Limited Horizon Securities Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited Limail Idabal Securities (Private) Limited Limail Idabal Securities (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited John M.R.A. Securities (Private) Limited	Penalty Imposed Penalty Imposed Warned Warned Warned Warned Warned Advised Warned	64,000 164,285 - - - - - - - - -	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16 25-Jul-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16	ACTIVE TRADING TERMINALS SUSPENDED ACTIVE
267 268 269 270 271 272 273 274 275 276 277	36 212 22 22 18 482 17 194 346 466 66 32	Sunrise Capital (Private) Limited Time Securities (Private) Limited Horizon Securities Limited Horizon Securities Limited BMA Capital Management Limited BMA Capital Management Limited Ismail Idabal Securities (Private) Limited Ismail Idabal Securities (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited Unex Securities (Private) Limited Unex Securities (Private) Limited Jafal Wanna Kodowai Securities (Private) Limited Zafar Molt Capital Securities (Private) Limited Growth Securities (Private) Limited Growth Securities (Private) Limited	Penalty Imposed Penalty Imposed Warned Warned Warned Warned Warned Advised Warned	64,000 164,285 - - - - - - - - -	26-Aug-16 7-Aug-16 1-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16 25-Jul-16 25-Jul-16 28-Jun-16	ACTIVE TRADING TEMMINS SUSPENDED ACTIVE
267 268 269 270 271 272 273 274 275 276 277 278	36 212 22 22 18 482 17 194 346 466 66 32 102	Sunrise Capital (Private) Limited Horizon Securities (Private) Limited Horizon Securities Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited SMA Capital Management Limited Limited Securities (Private) Limited New Peak Securities (Private) Limited Summit Capital (Private) Limited Sommit Capital (Private) Limited Strongman Securities (Private) Limited Lipital Ulaman Kodvavi Securities (Private) Limited Lipital Ulaman Kodvavi Securities (Private) Limited Growth Securities (Private) Limited Growth Securities (Private) Limited Elisir Securities (Private) Limited	Penalty Imposed Penalty Imposed Warned Warned Warned Warned Warned Advised Warned	64,000 164,285	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16 25-Jul-16 25-Jul-16 28-Jun-16	ACTIVE TRADING TERMINAS SUSPENDED ACTIVE
267 268 269 270 271 272 273 274 275 276 277 278 279 280	36 212 22 22 18 482 17 194 346 466 66 32 102 100 347	Sunrise Capital (Private) Limited Time Securities (Private) Limited Horizon Securities Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited Ismail lobal Securities (Private) Limited New Peak Securities (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited Strongman Securities (Private) Limited Istongman Securities (Private) Limited Lipital Usman Kodravi Securities (Private) Limited Lipital Usman Kodravi Securities (Private) Limited Elizir Securities (Private) Limited Horizontal Capital Securities (Private) Limited Elizir Securities (Private) Limited	Penalty Imposed Penalty Imposed Warned Warned Warned Warned Warned Advised Advised Warned	64,000 164,285 - - - - - - - - -	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16 25-Jul-16 25-Jul-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 25-May-16 25-May-16 25-May-16 25-May-16 25-May-16	ACTIVE TRADING TEMINAS SUSPENDED ACTIVE
267 268 269 270 271 272 273 274 275 276 277 278 279 280 281	36 212 22 22 18 482 17 194 346 466 66 32 102 100 347	Sunrise Capital (Private) Limited Horizon Securities Limited Horizon Securities Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited Ismail toplat Securities (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited Sommit Capital (Private) Limited Strongman Securities (Private) Limited Inpail Usman Kodvavi Securities (Private) Limited Capital Management Securities (Private) Limited Corowth Securities (Private) Limited Elisir Securities Private) Limited Amer Securities (Private) Limited Amer Securities (Private) Limited Amer Securities (Private) Limited Corowth Securities (Private) Limited	Penalty Imposed Penalty Imposed Warned Warned Warned Warned Warned Advised Warned	64,000 164,285	26-Aug-16 7-Aug-16 1-Aug-16 1-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16 25-Jul-16 25-Jul-16 28-Jun-16 2	ACTIVE TRADING TERMINAS SUSPENDED ACTIVE
267 268 269 270 271 272 273 274 275 276 277 278 279 280 281	36 212 22 22 22 18 482 17 194 346 466 66 32 102 100 347 102 169	Sunrise Capital (Private) Limited Time Securities (Private) Limited Horizon Securities Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited Ismail Ispail Securities (Private) Limited Ismail Ispail Securities (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited Strongman Securities (Private) Limited Junes Securities (Private) Limited Unex Securities (Private) Limited Ispail Usman Kodvavi Securities (Private) Limited Ispail Usman Kodvavi Securities (Private) Limited Elikir Securities (Private) Limited Elikir Securities (Private) Limited Elikir Securities (Private) Limited Growth Securities (Private) Limited Growth Securities (Private) Limited Growth Securities (Private) Limited For the Securities (Private) Limited Growth Securities (Private) Limited For the Securities (Priva	Penalty Imposed Penalty Imposed Warned Warned Warned Warned Warned Advised Advised Warned	64,000 164,285	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16 25-Jul-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 28-Jun-16 25-May-16	ACTIVE TRADING TEMBINAS SUSPENDED ACTIVE
267 268 269 270 271 272 273 274 275 276 277 278 279 280 281 282	36 212 22 22 18 482 17 194 346 466 66 32 102 100 347 102 169 485	Sunrise Capital (Private) Limited Horizon Securities Limited BMA Capital Management Limited Sunal Idada Securities (Private) Limited Mark Rever Peak Securities (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited Surongman Securities (Private) Limited Unex Securities (Private) Limited Unex Securities (Private) Limited United Market United	Penalty Imposed Penalty Imposed Warned Warned Warned Warned Warned Advised Warned	64,000 164,285	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 1-Aug-16 1-Aug-16 25-tul-16 25-tul-16 28-Jun-16 28	ACTIVE TRADING TERMINAS SUSPENDED ACTIVE
267 268 269 270 271 272 273 274 275 276 277 278 279 280 281 282 283	36 212 22 22 22 18 482 17 194 346 466 66 32 102 100 347 102 169 485 91	Sunrise Capital (Private) Limited Time Securities (Private) Limited Horizon Securities Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited Ismail lobal Securities (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited Strongman Securities (Private) Limited Unex Securities (Private) Limited Iqbal Usman Kodzwa Securities (Private) Limited Iqbal Usman Kodzwa Securities (Private) Limited Igital Capital Securities (Private) Limited Growth Securities Private) Limited Elisir Securities (Private) Limited Amer Securities (Private) Limited Hamus Farhad Securities (Private) Limited Hamus Farhad Securities (Private) Limited Hamus Farhad Securities (Private) Limited	Penalty Imposed Penalty Imposed Warned Warned Warned Warned Warned Advised Warned	64,000 164,285	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16 25-Jul-16 25-Jul-16 28-Jun-16 2	ACTIVE TRADING TEMBINAS SUSPENDED ACTIVE
267 268 269 270 271 272 273 274 275 276 277 278 279 280 281 282 283 284	36 212 22 22 18 482 17 194 466 666 32 102 100 347 102 485 91 346	Sunrise Capital (Private) Limited Horizon Securities (Private) Limited Horizon Securities Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited Sunal Idad Securities (Private) Limited New Peak Securities (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited Strongman Securities (Private) Limited Lipial Usman Kodvani Securities (Private) Limited Lipial Usman Kodvani Securities (Private) Limited Growth Securities (Private) Limited Growth Securities (Private) Limited Amer Securities (Private) Limited Amer Securities (Private) Limited Pearl Securities (Private) Limited Hamza Farhad Securities (Private) Limited Hamza Farhad Securities (Private) Limited Internanted Securities (Private) Limited Internanted Securities (Private) Limited Internanted Securities (Private) Limited Internanted Securities (Private) Limited	Penalty Imposed Penalty Imposed Warned Warned Warned Warned Warned Advised Warned	64,000 164,285	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 1-Aug-16 1-Aug-16 25-Iul-16 25-Iul-16 28-Jun-16 28	ACTIVE TRADING TERMINAS SUSPENDED ACTIVE
267 268 269 270 271 272 273 274 275 276 277 278 279 280 281 282 283 284 285 286	36 212 22 22 22 21 18 482 17 194 346 66 66 32 102 100 347 102 169 485 91 346 416 416 416 417 417 417 417 417 417 417 417 417 417	Sunrise Capital (Private) Limited Time Securities (Private) Limited Horizon Securities Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited Ismail lobal Securities (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited M. R.A. Securities (Private) Limited John Securities (Private) Limited Johal Usman Kodvavi Securities (Private) Limited Johal Usman Kodvavi Securities (Private) Limited Johal Usman Kodvavi Securities (Private) Limited Johan Securities Private) Limited Johan Securities (Private) Limited Hamua Farhad Securities (Private) Limited Hamua Farhad Securities (Private) Limited Strongman Securities (Private) Limited Strongman Securities (Private) Limited	Penalty Imposed Penalty Imposed Warned Warned Warned Warned Warned Advised Warned	64,000 164,285	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16 25-Jul-16 25-Jul-16 28-Jun-16 28	ACTIVE TRADING TEMBINAS SUSPENDED ACTIVE
267 268 269 270 271 272 273 274 275 276 277 278 279 280 281 282 283 284 285 286	36 212 22 22 22 21 18 482 17 194 346 66 32 102 100 102 100 102 103 103 104 105 105 105 105 105 105 105 105 105 105	Sunrise Capital (Private) Limited Horizon Securities (Private) Limited Horizon Securities Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited SMA Capital Management Limited SME Private (Private) Limited SME	Penalty Imposed Penalty Imposed Warned Warned Warned Warned Warned Advised Warned	64,000 164,285	26-Aug-16 7-Aug-16 4-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 1-Aug-16 25-Iul-16 25-Iul-16 28-Iun-16 28	ACTIVE TRADING TERMINAS SUSPENDED ACTIVE
267 268 269 270 271 272 273 274 275 276 277 278 279 280 281 282 283 284 285 286 287 288	36 212 22 22 22 21 18 482 17 194 346 66 66 32 102 100 347 102 169 485 91 346 416 416 416 417 417 417 417 417 417 417 417 417 417	Sunrise Capital (Private) Limited Horizon Securities (Private) Limited Horizon Securities Limited BMA Capital Management Limited BMA Capital Management Limited BMA Capital Management Limited Ismail Islaid Securities (Private) Limited New Peak Securities (Private) Limited Summit Capital (Private) Limited Summit Capital (Private) Limited Strongman Securities (Private) Limited Jobal Usman Kodvavi Securities (Private) Limited Islaid Usman Kodvavi Securities (Private) Limited Japal Usman Kodvavi Securities (Private) Limited Japal Usman Kodvavi Securities (Private) Limited Jean Capital Securities (Private) Limited Jean Securities Private) Limited Eliofs Securities Private) Limited Jean Securities (Private) Limited Pearl Securities (Private) Limited Hamza Farhad Securities (Private) Limited Jernam Securities (Private) Limited Strongman Securities (Private) Limited MSMANIAR Financals (Private) Limited MSMANIAR Financals (Private) Limited MSMANIAR Financals (Private) Limited MSMANIAR Financals (Private) Limited	Penalty Imposed Penalty Imposed Warned Warned Warned Warned Warned Advised Worned	64,000 164,285	26-Aug-16 7-Aug-16 4-Aug-16 1-Aug-16 1-Aug-16 1-Aug-16 1-Aug-16 25-Jul-16 25-Jul-16 25-Jul-16 28-Jun-16 28	ACTIVE TRADING TEMBINAS SUSPENDED ACTIVE
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