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	46	Fortune Securities Limited	The Brokerage House was Advised	-	26-Feb-19	ACTIVE
2	297 97	MSD Capital Equities (Pvt) Ltd. Invest Capital Markets Limited	Brokerage House was WARNED	-	26-Feb-19 21-Feb-19	ACTIVE FORFEITED
4	28	Ghani Osman Securities (Pvt.) Ltd.	Forfeiture of TREC Holder Brokerage House was WARNED		20-Feb-19	ACTIVE
5	143	Saao Capital (Private) Ltd.	Brokerage House was WARNED		20-Feb-19	ACTIVE
6	517	South Asian Securities (Pvt.) Ltd.	Switching-off of trading terminals	-	18-Feb-19	TRADING TERMINALS SUSPENDED
7	224	K & I Global Capital (Private.) Limited.	The Brokerage House was Warned		22-Jan-19	ACTIVE
8	275	Rahat Securities Limited Trust Securities & Brokerage Limited.	The Brokerage House was Warned	-	22-Jan-19 22-Jan-19	ACTIVE
10	332 337	A B M Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned		22-Jan-19 22-Jan-19	ACTIVE
11 12	290 309	K.H.S. Securities (Private) Limited	Suspension of Trading Terminals	-	16-Jan-19 16-Jan-19	ACTIVE
12	12	HMC Stocks (Private) Limited. Reliance Securities Limited.	Suspension of Trading Terminals The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.430,000/-	14-Jan-19	ACTIVE
14	239	Ayub Chaudhry Investments (Private) Limited.	The Brokerage House was Warned		14-Dec-18	ACTIVE
15 16	261 288	M.F. Stocks (Private) Limited. Javed Iqbal Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.20,000/-	14-Dec-18 14-Dec-18	ACTIVE
17	420	Progressive Inves. Management (Private) Limited.	The Brokerage House was Warned	-	14-Dec-18	ACTIVE
18 19	497 256	JSK Securities Limited Progressive Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.30,000/-	14-Dec-18 13-Dec-18	ACTIVE
20	297	MSD Capital Equities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.80,000/-	13-Dec-18	ACTIVE
21	36	Time Securities (Private.) Limited.	The Brokerage House was Warned		12-Dec-18	ACTIVE
22 23	143 211	Saao Capital (Private) Limited. Share Center (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned		10-Dec-18 10-Dec-18	ACTIVE
24	294	Yasir Mahmood Securities (Private) Limited	The Brokerage House was Warned	-	10-Dec-18	ACTIVE
25 26	350 28	Gulrez Securities (Private) Limited Ghani Osman Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.20,000/-	10-Dec-18 7-Dec-18	ACTIVE
20	35	Surmawala Securities (Private) Limited.	The Brokerage House was Warned	-	6-Dec-18	ACTIVE
28	62	WE Financial Services Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.140,000/-	22-Nov-18	ACTIVE
29 30	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
31	432	Spinzer Equities(Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.115,845/-	19-Nov-18	ACTIVE
32 33	208 296	RUC Securities (Private.) Limited. MGM Securities (Private) Limited	Switching-off of trading terminals The Brokerage House was Warned	-	16-Nov-18 15-Nov-18	ACTIVE
34	48	Next Capital Limited	The Brokerage House was Warned		14-Nov-18	ACTIVE
35	181	First Equity Modaraba	The Brokerage House was Warned	- Rc 170 000/-	9-Nov-18	ACTIVE
36 37	286 232	Dosslani's Securities (Private) Limited Arif Latif Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.170,000/- Rs.50,000/-	7-Nov-18 5-Nov-18	ACTIVE
38	8	Optimus Capital Management (Private.) Limited.	The Brokerage House was Warned	-	1-Nov-18	ACTIVE
39 40	145 186	Adam Securities Limited. Muhammed Tariq Moti 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/- Rs. 20,000/-	1-Nov-18 1-Nov-18	ACTIVE
41	194	MRA Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.120,000/-	1-Nov-18	ACTIVE
42	24	ASDA Securities (Private.) Limited. Best Securities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.60,000/- Rs.40,000/-	25-Oct-18 25-Oct-18	ACTIVE
43	121	Salim Sozer Securities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed Switching-off of trading terminals		17-Oct-18	ACTIVE
45	98	Fairtrade Capital Securities (Private.) Limited.	The Brokerage House was Warned		10-Oct-18	ACTIVE
46 47	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
48	46	Fortune Securities Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	25-Sep-18	ACTIVE
49 50	183 6	R.T. Securities (Private.) Limited. Sherman Securities (Private.) Limited.	The Brokerage House was Warned	-	25-Sep-18 18-Sep-18	ACTIVE
51	188	Apex Capital Sec. (Private.) Limited.	The Brokerage House was Warned Switching-off of trading terminals		18-Sep-18	ACTIVE
52	236	Techno Fundamental Securities (Private) Limited	The Brokerage House was Warned	-	18-Sep-18	ACTIVE
53 54	292 297	INA Securities (Private) Limited MSD Capital Equities (Private) Limited.	Switching-off of trading terminals Switching-off of trading terminals		18-Sep-18 18-Sep-18	ACTIVE
55	444	Xpert Securities (Private) Limited.	Switching-off of trading terminals		18-Sep-18	ACTIVE
56 57	475 94	CAMCO (Private) Limited FDM Capital Securities (Private.)Limited	Switching-off of trading terminals The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.1,000,000/-	18-Sep-18 14-Sep-18	ACTIVE
58	420	Progressive Inves. Management (Private) Limited.	Restriction on opening of New Clients Account and Sale Side	-	14-Sep-18	ACTIVE
59 60	116 212	Patel Securities (Private.) Limited. Horizon Securities Limited.	The Brokerage House was Warned	-	10-Sep-18 3-Sep-18	ACTIVE
61	309	HMC Stocks (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	3-Sep-18	ACTIVE
62	438 231	Fair Edge Securities(Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.100,000/-	3-Sep-18	ACTIVE
63 64	231	Saima Qaiser Securities (Private) Limited Javed Igbal Securities (Private) Limited	Switching-off of trading terminals The Brokerage House was Warned		16-Aug-18 13-Aug-18	ACTIVE
65	346	Strongman Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.150,000/-	13-Aug-18	ACTIVE
66 67	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
68	228	Al-Haq Securities (Private.) Limited.	The Brokerage House was Warned	-	27-Jul-18	ACTIVE
69 70	251 265	MND Investment (Private) Limited Infinite Securities Limited.	The Brokerage House was Warned	-	27-Jul-18 27-Jul-18	ACTIVE
70	205	K.H.S. Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	27-Jul-18	ACTIVE
72	6	Sherman Securities (Private.) Limited.	The Brokerage House was Advised	-	20-Jul-18	ACTIVE
73 74	94 120	FDM Capital Securities (Private.)Limited Alfalah Securities (Private.) Limited.	The Brokerage House was Advised The Brokerage House was Advised	-	20-Jul-18 20-Jul-18	ACTIVE
75	410	Zahid Latif Khan Securities (Private.) Limited.	The Brokerage House was Warned		20-Jul-18	ACTIVE
76 77	442 478	General Investment & Sec Pasha Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	20-Jul-18 20-Jul-18	ACTIVE
78	485	Hamza Farhad Securities (Private) Limited.	The Brokerage House was Warned	-	20-Jul-18	ACTIVE
79 80	491 44	First Street Capital (Private) Limited. IGI Finex Securities Limited	The Brokerage House was Warned	- Rs.150,000/-	20-Jul-18 13-Jul-18	ACTIVE
80	44 420	Progressive Inves. Management (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 170,000/-	13-Jul-18 13-Jul-18	ACTIVE
82	98	Fairtrade Capital Securities (Private.) Limited.	The Brokerage House was Warned and Penalized and Restriction On Opening of	Rs.300,000/-	22-Jun-18	ACTIVE
83	112	Standard Capital Securities (Private.) Limited.	New Clients' Account was Imposed The Brokerage House was Advised	-	22-Jun-18	ACTIVE
84	19	AKD Securities Limited.	The Brokerage House was Advised	-	20-Jun-18	ACTIVE
85 86	44 50	IGI Finex Securities Limited Arif Habib Limited.	The Brokerage House was Advised	-	20-Jun-18 20-Jun-18	ACTIVE
87	129	Taurus Securities Limited	The Brokerage House was Advised The Brokerage House was Advised	-	20-Jun-18	ACTIVE
88	150	Askari Securities Limited.	The Brokerage House was Advised	-	20-Jun-18	ACTIVE
89 90	284 508	ASA Stocks (Private) Limited. KP Securities (Private) Limited	Switching-off of trading terminals Switching-off of trading terminals		20-Jun-18 20-Jun-18	ACTIVE
91	63	AL Habib Capital Markets (Private.) Limited.	The Brokerage House was Advised	-	14-Jun-18	ACTIVE
92 93	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
94	457	AAA Securities (Private) Limited	The Brokerage House was Warned		7-Jun-18	ACTIVE
95 96	491 68	First Street Capital (Private) Limited. Zafar Securities (Private.) Limited.	The Brokerage House was Warned	-	7-Jun-18 31-May-18	ACTIVE
96	254	Zafar Securities (Private.) Limited. ShajarPak Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised	-	31-May-18 31-May-18	ACTIVE
98	275	Rahat Securities Limited	The Brokerage House was Advised		31-May-18	ACTIVE
99 100	22	BMA Capital Management Limited Next Capital Limited	The Brokerage House was Advised The Brokerage House was Advised	-	24-May-18 24-May-18	ACTIVE
101	88	Fawad Yusuf Securities (Private) Limited.	The Brokerage House was Advised	-	24-May-18	ACTIVE
102 103	91	Intermarket Securities Limited.	The Brokerage House was Advised	-	24-May-18	ACTIVE
	128	BIPL Securities Limited. EFG Hermes Pakistan Limited	The Brokerage House was Advised The Brokerage House was Advised	-	14-May-18 11-May-18	ACTIVE
103	124					
	124 266	Shaffi Securities (Private) Limited	Switching-off of trading terminals The Brokerage House was Warned and Penalized and Restriction On Opening of		16-Mar-18	ACTIVE TRADING TERMINALS

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
107	328	128 Securities (Private) Limited	The Brokerage House was Warned and Penalized and Restriction On Opening of New Clients' Account was Imposed	Rs.1,000,000/-	1-Mar-18	ACTIVE
108	423	Millennium Securities & Investments	The Brokerage House was Warned	-	23-Feb-18	TRADING TERMINALS SUSPENDED
109	63	AL Habib Capital Markets (Private.) Limited.	The Brokerage House was Warned	-	21-Feb-18	ACTIVE
110 111	57 188	First Capital Equities Limited. Apex Capital Sec. (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.170,000/-	20-Feb-18 16-Feb-18	ACTIVE
112 113	311 72	Abbasi & Company (Private) Limited. TS Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	30-Jan-18 29-Dec-17	ACTIVE
114	444	Xpert Securities (Private) Limited.	Restriction on Trading in Clients' Account		20-Dec-17	ACTIVE
115 116	30 281	Cedar Capital Private Limited. Shaukat Shafi Securities (Private) Limited	The Brokerage House was Warned Suspension of Trading Terminals		18-Dec-17 12-Dec-17	ACTIVE TRADING TERMINALS
117	300	AM Chaudhary Securities (Private) Limited	Suspension of Trading Terminals		12-Dec-17	SUSPENDED ACTIVE
118	155	B & B Securities (Private.) Limited.	The Brokerage House was Warned		11-Dec-17	ACTIVE TRADING TERMINALS
119	349	A.S. Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/-	11-Dec-17	SUSPENDED
120 121	55 63	Shajar Capital Pakistan (Private.) Limited AL Habib Capital Markets (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	7-Dec-17 7-Dec-17	ACTIVE
122 123	96 221	MSMANIAR FINANCIALS (Private.) Limited. Millennium Brokerage (Private.) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	7-Dec-17 7-Dec-17	ACTIVE
124 125	254	ShajarPak Securities (Private) Limited	The Brokerage House was Warned	-	7-Dec-17	ACTIVE
126	268 282	Sethi Securities Private Limited. Salman Majeed Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	7-Dec-17 7-Dec-17	ACTIVE
127 128	318 327	Asad Mustafa Securities (Private.) Limited. Gul Dhami Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	7-Dec-17 7-Dec-17	ACTIVE
129	331	MoneyLine Securities (Private) Limited	The Brokerage House was Warned	-	7-Dec-17	ACTIVE TRADING TERMINALS
130	423	Millennium Securities & Investments	The Brokerage House was Warned	-	7-Dec-17	SUSPENDED
131 132	508 7	KP Securities (Private) Limited Amanah Investments Limited.	The Brokerage House was Warned The Brokerage House was Advised		7-Dec-17 5-Dec-17	ACTIVE
133 134	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
135	49	Multiline Securities (Private.) Limited.	The Brokerage House was Advised		5-Dec-17	ACTIVE
136 137	94 131	FDM Capital Securities (Private.)Limited GMI Capital Securities (Private.) Limited.	The Brokerage House was Advised The Brokerage House was Warned	-	5-Dec-17 5-Dec-17	ACTIVE
138 139	144 45	Dattoo Securities (Private) Limited. Bhayani Securities (Private) Limited.	The Brokerage House was Advised	-	5-Dec-17 30-Nov-17	ACTIVE
140	90	Darson Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.625,000/-	30-Nov-17	ACTIVE
141 142	135 107	Y.H. Securities (Private) Limited. Seven Star Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	30-Nov-17 29-Nov-17	ACTIVE
143 144	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
145	497	JSK Securities Limited	The Brokerage House was Warned	-	16-Nov-17	ACTIVE
146 147	142 37	Foundation Securities (Private.) Limited. HH Misbah Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	14-Nov-17 13-Nov-17	ACTIVE
148 149	22 129	BMA Capital Management Limited Taurus Securities Limited	The Brokerage House was Warned	-	10-Nov-17 10-Nov-17	ACTIVE
150	52	N.U.A. Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	8-Nov-17	ACTIVE
151 152	162 183	Aba Ali Habib Securities(Private.) Limited. R.T. Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	8-Nov-17 8-Nov-17	ACTIVE
153 154	265 288	Infinite Securities Limited. Javed Igbal Securities (Private) Limited	The Brokerage House was Warned	-	8-Nov-17 8-Nov-17	ACTIVE
155	432	Spinzer Equities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	8-Nov-17	ACTIVE
156	177	Din Capital Limited.	The Brokerage House was Warned and Penalized and Restriction On Opening of New Clients' Account and Trading in House Account was Imposed	Rs.1,000,000/-	3-Nov-17	ACTIVE
157 158	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
159	108	Azee Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.450,000/-	25-Oct-17	ACTIVE
160 161	158 348	Royal Securities (Private.) Limited. 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
162	329	S.D. Mirza Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was imposed	Rs.20,000/-	5-Oct-17	SUSPENDED ACTIVE
163	300	AM Chaudhary Securities (Private) Limited	Switching-off of trading terminals	-	20-Sep-17	ACTIVE TRADING TERMINALS
164	513	CMA Securities (Private) Limited.	The Brokerage House was Warned	-	6-Sep-17	SUSPENDED
165 166	98 6	Fairtrade Capital Securities (Private.) Limited. Sherman Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	5-Sep-17 30-Aug-17	ACTIVE
167 168	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
169	38	A.H.M.Securities (Private.) Limited.	The Brokerage House was Warned	-	18-Aug-17	ACTIVE
170 171	51 89	H. P. Byramji & Co. (Private.) Limited. Investment Managers Sec. (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	18-Aug-17 18-Aug-17	ACTIVE
172 173	199 148	Insight Securities (Private.) Limited. Oriental Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised	-	18-Aug-17 11-Aug-17	ACTIVE
174	328	128 Securities (Private) Limited	Switching-off of trading terminals	-	3-Aug-17	ACTIVE
175 176	332 348	Trust Securities & Brokerage Limited. AMCAP Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Penalized and Restriction On Opening of	Rs.20,000/- Rs.460,000/-	31-Jul-17 21-Jul-17	ACTIVE TRADING TERMINALS
176	348	AMCAP Securities (Private) Limited Patel Securities (Private.) Limited.	New Clients' Account was Continued The Brokerage House was Warned	-	21-Jul-17 10-Jul-17	SUSPENDED
178	191	Market 786 (Private) Limited.	The Brokerage House was Warned		10-Jul-17	ACTIVE
179 180	256 6	Progressive Securities (Private) Limited Sherman Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.250,000/-	10-Jul-17 5-Jul-17	ACTIVE
181 182	24 42	ASDA Securities (Private.) Limited. Icon Capital Management (Private) Limited.	The Brokerage House was Warned	-	5-Jul-17 5-Jul-17	ACTIVE
183	56	Nael Capital (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	5-Jul-17	ACTIVE
184 185	61 79	Abbasi Securities (Private) Limited. Irfan Mazhar Securities (Private.)Limited	The Brokerage House was Warned The Brokerage House was Warned	-	5-Jul-17 5-Jul-17	ACTIVE
186 187	92 120	Memon Securities (Private) Limited. Alfalah Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	5-Jul-17 5-Jul-17	ACTIVE
188	144	Dattoo Securities (Private) Limited.	The Brokerage House was Warned	-	5-Jul-17	ACTIVE
189 190	155 237	B & B Securities (Private.) Limited. IAK Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	5-Jul-17 5-Jul-17	ACTIVE
191 192	482 98	New Peak Securities(Private) Limited Fairtrade Capital Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.30,000/-	5-Jul-17 22-Jun-17	ACTIVE
193	108	Azee Securities (Private.) Limited.	Suspension of Trading Terminals		22-Jun-17	ACTIVE
194 195	112 474	Standard Capital Securities (Private.) Limited. Tariq Sayeed Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed Suspension of Trading Terminals	Rs.10,000/-	20-Jun-17 16-Jun-17	ACTIVE
	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
196 197		CMA Securities (Private) Limited.	The Brokerage House was Warned		15-Jun-17 15-Jun-17	TRADING TERMINALS
197						SUSPENDED
	513	Abbasi Securities (Private) Limited.	The Brokerage House was Warned		12-Jun-17	ACTIVE
197 198 199 200	513 61 126	Abbasi Securities (Private) Limited. NINI Securities (Private.) Limited.	The Brokerage House was Warned	-	12-Jun-17	ACTIVE
197 198 199 200 201 202	513 61 126 163 308	Abbasi Securities (Private) Limited. NINI Securities (Private.) Limited. Friendly Securities (Private) Limited. Bridge Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned		12-Jun-17 12-Jun-17 12-Jun-17	ACTIVE ACTIVE ACTIVE
197 198 199 200 201	513 61 126 163	Abbasi Securities (Private) Limited. NINI Securities (Private.) Limited. Friendly Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned		12-Jun-17 12-Jun-17	ACTIVE

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
206 207	442 89	General Investment & Sec Investment Managers Sec. (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/- Rs.30,000/-	9-Jun-17 8-Jun-17	ACTIVE
208	147	A. I. Securities (Private) Limited.	The Brokerage House was Warned	-	8-Jun-17	ACTIVE
209 210	38 140	A.H.M.Securities (Private.) Limited. M. M. Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	7-Jun-17 7-Jun-17	ACTIVE
211 212	199 51	Insight Securities (Private.) Limited. H. P. Byramji & Co. (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.30,000/-	7-Jun-17 5-Jun-17	ACTIVE
213	58	Dawood Equities Limited.	Suspension of Trading Terminals	-	5-Jun-17	ACTIVE
214 215	187 339	SAZ Capital Securities (Private.)Limited Khawaja Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.50,000/-	2-Jun-17 2-Jun-17	ACTIVE
216	420	Progressive Inves. Management (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/-	2-Jun-17	ACTIVE
217 218	102 490	Growth Securities (Private.) Limited. Baba Equities (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.10,000/-	31-May-17 31-May-17	ACTIVE
219	234	Value Stock and Commodities (Private) Limited.	The Brokerage House was Warned and Penalized and Restriction On Opening of New Clients' Account was Imposed	Rs.500,000/-	30-May-17	ACTIVE
220	9	Schon Capital Markets Limited	Switching-off of trading terminals		29-May-17	TRADING TERMINALS SUSPENDED
221 222	14 31	Merchant Investments (Private.) Limited. Ashfaq Ashraf Securities (Private.) Limited.	The Brokerage House was Warned	-	29-May-17	ACTIVE TRADING TERMINALS
			Switching-off of trading terminals	-	29-May-17	SUSPENDED TRADING TERMINALS
223 224	59 60	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	SUSPENDED TRADING TERMINALS
						SUSPENDED TRADING TERMINALS
225	86	Fort Securities (Private) Limited.	Switching-off of trading terminals	-	29-May-17	SUSPENDED
226 227	93 106	Venus Securities (Private) Limited. MAC Securities (Private) Limited.	Switching-off of trading terminals Switching-off of trading terminals	-	29-May-17 29-May-17	ACTIVE TRADING TERMINALS SUSPENDED
228	111	S M Securities (Private.) Limited.	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS
229	123	MAS Capital Sec. (Private.) Limited.	Switching-off of trading terminals		29-May-17	SUSPENDED TRADING TERMINALS
230	164	Interactive Securities (Private.) Limited.	Switching-off of trading terminals	-	29-May-17	SUSPENDED ACTIVE
231	168	AAU Securities (Private) Limited.	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
232	198	Motiwala Securities (Private.) Limited.	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
233	203	Brains Securities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.80,000/-	29-May-17	ACTIVE TRADING TERMINALS
234	220	Z M Capital (Private.) Limited.	Switching-off of trading terminals	-	29-May-17	SUSPENDED
235 236	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
237	299	Allied Securities (Private) Limited	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
238	319	Sher Capital Equities (Private) Limited.	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
239	324	Union Securities (Private) Limited	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
240	333	BMS Capital (Private) Limited.	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
241	441	S.A Securities (Private) Limited.	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
242	455	Prime Capital Management (Private) Limited	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
243	500	Chippa Securities (Private) Limited.	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
244	501	Ahsam Securities (Private) Limited.	Switching-off of trading terminals	-	29-May-17	ACTIVE
245	510	JCR Capital Securities (Private) Limited	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED TRADING TERMINALS
246 247	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	SUSPENDED
248	286 275	Dosslani's Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	26-May-17	ACTIVE
249 250	90	Rahat Securities Limited Darson Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.50,000/-	23-May-17 26-Apr-17	ACTIVE
251 252	297 107	MSD Capital Equities (Private) Limited. Seven Star Securities (Private.) Limited.	Suspension of Trading Terminals	- Bc 10 000/	26-Apr-17 20-Apr-17	ACTIVE
252	134	Q. Ain Khanani Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.10,000/- -	20-Apr-17 20-Apr-17	ACTIVE
254 255	175 323	First National Equities Limited. Adeel & Nadeem Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.370,000/- Rs. 60,000/-	13-Apr-17 13-Apr-17	ACTIVE
256	491	First Street Capital (Private) Limited.	The Brokerage House was Warned	-	13-Apr-17	ACTIVE
257 258	442 85	General Investment & Sec Concordia Securities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.75,000/- -	12-Apr-17 13-Mar-17	ACTIVE
259 260	12 299	Reliance Securities Limited. Allied Securities (Private) Limited	Suspension of Trading Terminals Suspension of Trading Terminals	-	8-Mar-17 8-Mar-17	ACTIVE TRADING TERMINALS
261	510	JCR Capital Securities (Private) Limited	Suspension of Trading Terminals	-	8-Mar-17	SUSPENDED TRADING TERMINALS
262	474	Tariq Sayeed Securities (Private.) Limited.	Switching-off of trading terminals	-	6-Mar-17	SUSPENDED ACTIVE
263 264	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
265	91	Intermarket Securities Limited.	The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned		28-Feb-17	ACTIVE
266 267	117 36	Fikree's Private Limited Time Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.10,000/-	28-Feb-17 22-Feb-17	ACTIVE
268	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	ACTIVE
269 270	120 150	Alfalah Securities (Private.) Limited. Askari Securities Limited.	The Brokerage House was Warned The Exchange vide its Enforcement Order upheld The original decisions i.e. penalty	- Rs.10,000/-	22-Feb-17 20-Feb-17	ACTIVE
271	212	Horizon Securities Limited.	of Rs.10,000/-was imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	20-Feb-17	ACTIVE
272 273	10	Sakarwala Capital Sec.(Private.) Limited Reliance Securities Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.10,000/-	17-Feb-17 17-Feb-17	ACTIVE
274	128	BIPL Securities Limited.	The Brokerage House was Warned	-	6-Feb-17	ACTIVE
275 276	84 102	M. Munir Khanani Securities (Private.) Limited. Growth Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.10,000/- -	31-Jan-17 31-Jan-17	ACTIVE
277 278	68 84	Zafar Securities (Private.) Limited. M. Munir Khanani Securities (Private.) Limited.	Restriction On Buy Side Transactions The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.10,000/-	30-Jan-17 19-Jan-17	ACTIVE
279	62	WE Financial Services Limited.	The Brokerage House was Advised	-	18-Jan-17	ACTIVE
280	27	Habib Metropolitan Financial Services Lt	The Brokerage House was Warned	-	9-Jan-17	ACTIVE TRADING TERMINALS
281 282	299 300	Allied Securities (Private) Limited AM Chaudhary Securities (Private) Limited	Suspension of Trading Terminals Suspension of Trading Terminals	-	2-Jan-17 2-Jan-17	SUSPENDED
283	441	S.A Securities (Private) Limited.	Suspension of Trading Terminals	-	2-Jan-17	TRADING TERMINALS SUSPENDED
284	194	MRA Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.25,000/-	26-Dec-16	ACTIVE
285 286	32 330	Zafar Moti Capital Sec. (Private.)Limited Muhammad Amer Riaz Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.40,000/-	22-Dec-16 22-Dec-16	ACTIVE
287	90	Darson Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50000/-	15-Dec-16	ACTIVE TRADING TERMINALS
288	95	SNM Securities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/-	9-Dec-16	SUSPENDED

289 117 Fikres's Private Limited The Brokerage House was Warned - 290 420 Progressive Inves. Management (Private) Limited. The Brokerage House was Warned - 291 241 F.M. Securities (Private) Limited The Brokerage House was Warned - 292 119 Axis Global Limited The Brokerage House was Warned and Financial Penalty was Imposed Rs.150,000, 293 466 Unex. Securities (Private) Limited The Brokerage House was Warned - 294 112 Standard Capital Securities (Private) Limited, The Brokerage House was Warned - 295 28 Ghani Osman Securities (Private) Limited, The Brokerage House was Warned and Financial Penalty was Imposed Rs.60,000/ 296 300 AM Chaudhary Securities (Private) Limited, The Brokerage House was Warned and Financial Penalty was Imposed Rs.60,000/ 297 19 AKD Securities (Private) Limited, The Brokerage House was Warned -		
291 241 F.M. Securities (Private) Limited The Brokerage House was Warned - 292 119 Axis Global Limited The Brokerage House was Warned and Financial Penalty was Imposed Rs.150,000, 293 466 Unex Securities (Private) Limited The Brokerage House was Warned and Financial Penalty was Imposed Rs.150,000, 293 466 Unex Securities (Private) Limited. The Brokerage House was Warned - 294 112 Standard Capital Securities (Private) Limited. The Brokerage House was Warned - 295 28 Ghani Soman Securities (Private) Limited. The Brokerage House was Warned and Financial Penalty was Imposed Rs.60,000/ 296 300 AM Chaudhary Securities (Private) Limited Switching-off of trading terminals -	9-Dec-16	ACTIVE
292 119 Axis Global Limited The Brokerage House was Warned and Financial Penalty was Imposed Rs.150,000, 293 466 Unex Securities (Private) Limited The Brokerage House was Warned and Financial Penalty was Imposed - 294 112 Standard Capital Securities (Private.) Limited. The Brokerage House was Warned - 295 28 Ghani Soman Securities (Private.) Limited. The Brokerage House was Warned and Financial Penalty was Imposed Rs.60,000/ 296 300 AM Chaudhary Securities (Private.) Limited Switching-off of trading terminals -	7-Dec-16	ACTIVE
293 466 Unex Securities (Private) Limited The Brokerage House was Warned - 294 112 Standard Capital Securities (Private). Limited. The Brokerage House was Warned - 295 28 Ghani Soman Securities (Private). Limited. The Brokerage House was Warned and Financial Penalty was Imposed Rs. 60,000/ 296 300 AM Chaudhary Securities (Private). Limited Switching-off of trading terminals -	6-Dec-16	TRADING TERMINALS SUSPENDED
294 112 Standard Capital Securities (Private.) Limited. The Brokerage House was Warned . 295 28 Ghani Osman Securities (Private.) Limited. The Brokerage House was Warned and Financial Penalty was Imposed Rs. 60,000/ 296 300 AM Chaudhary Securities (Private.) Limited. The Brokerage House was Warned and Financial Penalty was Imposed Rs. 60,000/ 296 300 AM Chaudhary Securities (Private.) Limited Switching-off of trading terminals -	- 5-Dec-16	ACTIVE
295 28 Ghani Osman Securities (Private.) Limited. The Brokerage House was Warned and Financial Penalty was Imposed Rs. 60,000/ 296 300 AM Chaudhary Securities (Private) Limited Switching-off of trading terminals -	5-Dec-16	ACTIVE
296 300 AM Chaudhary Securities (Private) Limited Switching-off of trading terminals -	1-Dec-16	ACTIVE
	- 30-Nov-16	ACTIVE
297 19 AKD Securities Limited. The Brokerage House was Warned -	30-Nov-16	ACTIVE
	29-Nov-16	ACTIVE
298 287 High Land Securities (Private) Limited The Brokerage House was Warned -	28-Nov-16	ACTIVE
299 296 MGM Securities (Private) Limited The Brokerage House was Warned -	28-Nov-16	ACTIVE
300 46 Fortune Securities Limited The Brokerage House was Warned -	25-Nov-16	ACTIVE
301 91 Intermarket Securities Limited. The Brokerage House was Warned -	24-Nov-16	ACTIVE
302 116 Patel Securities (Private.) Limited. The Brokerage House was Warned and Financial Penalty was Imposed Rs. 20,000/	- 24-Nov-16	ACTIVE
303 120 Alfalah Securities (Private.) Limited. The Brokerage House was Warned -	24-Nov-16	ACTIVE
304 262 GPH Securities (Private) Limited The Brokerage House was Warned -	21-Nov-16	ACTIVE
305 22 BMA Capital Management Limited The Brokerage House was Warned and Financial Penalty was Imposed Rs.100,000/		ACTIVE
306 18 Ismail Iqbal Securities (Private.) Limited. The Brokerage House was Warned and Financial Penalty was Imposed Rs. 100,000	/- 15-Nov-16	ACTIVE
307 21 Alfa Adhi Securities (Private.) Limited. The Brokerage House was Warned -	11-Nov-16	ACTIVE
308 53 M H Securities (Private) Limited. The Brokerage House was Warned -	11-Nov-16	ACTIVE
309 77 Best Securities (Private) Limited. The Brokerage House was Warned -	11-Nov-16	ACTIVE
310 113 Tannu Securities (Private.) Limited. The Brokerage House was Warned -	11-Nov-16	ACTIVE
311 160 Moonaco Securities (Private.) Limited. The Brokerge House was Warned -	11-Nov-16	ACTIVE
112 185 Investink Capital (Private) Limited. The Brokerage House was Warned -	11-Nov-16	ACTIVE
313 212 Horizon Scutties Limited. The Brokenge House was Warned -	11-Nov-16	ACTIVE
314 68 Zafar Securities (Private). Limited. The Brokerage House was Warred and Financial Penalty was Imposed Rs. 25,000/		ACTIVE
315 94 FDM Capital Securities (Private.)Limited The Brokerage House was Warned and Financial Penalty was Imposed Rs.10,000/-	10-Nov-16	ACTIVE
316 235 Jamshaid & Hasan Securities (Private) Limited The Brokenge House was warried and Hanard House Was an posed -	10-Nov-16	ACTIVE
317 347 Amer Securities (Private) Limited The Brokerage House was Warred and Financial Penalty was Imposed Rs.50,000/		ACTIVE
318 309 HMC Stocks (Private) Limited. The Brokerage House was Warned -	9-Nov-16	ACTIVE
319 329 S.D. Mirz Social (mixed) Limited The Brokenge House was Warned -	9-Nov-16	ACTIVE
320 482 New Peak Securities (Private) Limited The Brokerage House was Warned -	4-Nov-16	ACTIVE
320 98 Fairtrade Capital Securities (Private.) Limited. The Brokerage House was Warned and Financial Penalty was Imposed 8.5.20,000/	31-Oct-16	ACTIVE
322 510 JCR Capital Securities (Private) Limited Switching off of trading terminals -	31-Oct-16	TRADING TERMINALS SUSPENDED
323 6 Sherman Securities (Private.) Limited. The Brokerage House was Warned -	24-Oct-16	ACTIVE
	24-Oct-16 24-Oct-16	ACTIVE
324 171 AMPLE Securities (Private.) Limited. The Brokerage House was Warned - 325 48 Next Capital Limited The Brokerage House was Warned -	24-Oct-16	ACTIVE
		ACTIVE
	19-Oct-16	
	18-Oct-16 14-Oct-16	ACTIVE
	13-Oct-16	ACTIVE
		ACTIVE
330 63 AL Habib Capital Markets (Private.) Limited. The Brokerage House was Warned - 331 18 Ismail Igbal Securities (Private.) Limited. The Brokerage House was Warned -	13-Oct-16	ACTIVE
	1-Sep-16	ACTIVE
332 96 MSMANIAR FINANCIALS (Private.) Limited. The Brokerage House was Warned -	1-Sep-16	ACTIVE
333 510 JCR Capital Securities (Private) Limited The Brokerage House was Warned -	1-Sep-16	TRADING TERMINALS SUSPENDED
334 432 Spinzer Equities(Private) Limited The Brokerage House was Advised -	26-Aug-16	ACTIVE
335 497 JSK Securities Limited The Brokerage House was Warned -	26-Aug-16	ACTIVE
336 85 Concordia Securities (Private) Limited. The Brokerage House was Warned -	5-Aug-16	ACTIVE
337 177 Din Capital Limited. The Brokerage House was Warned and Financial Penalty was Imposed Rs. 450,000	/- 3-Aug-16	ACTIVE
338 410 Zahid Latif Khan Securities (Private.) Limited. The Brokerage House was Warned -	27-Jul-16	ACTIVE
339 251 MND Investment (Private) Limited The Brokerage House was Warned -	19-Jul-16	ACTIVE
340 229 Fairway Securities (Private.) Limited. The Brokerage House was Warned -	4-Jul-16	ACTIVE

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
341	290	K.H.S. Securities (Private) Limited	The Brokerage House was Warned	-	22-Jun-16	ACTIVE
342 343	314	Equity Master Securities (Private) Limited Trust Securities & Brokerage Limited.	The Brokerage House was Advised	-	22-Jun-16 15-Jun-16	ACTIVE
345	332 229	Fairway Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	- Rs.100,000/-	13-Jun-16	ACTIVE
345	229	Value Stock and Commodities (Private) Limited.	The Brokerage House was warned and Financial Penalty was imposed The Brokerage House was Warned	-	13-Jun-16	ACTIVE
346	256	Progressive Securities (Private) Limited	The Brokerage House was Warned	-	13-Jun-16	ACTIVE
347	432	Spinzer Equities(Private) Limited	The Brokerage House was Warned	-	13-Jun-16	ACTIVE
348	497	JSK Securities Limited	The Brokerage House was Warned	-	13-Jun-16	ACTIVE
349	512	Chenab Stock Services (Private) Limited.	The Brokerage House was Advised	-	13-Jun-16	ACTIVE
350	224	K & I Global Capital (Private.) Limited.	The Brokerage House was Warned	-	10-Jun-16	ACTIVE
351	261	M.F. Stocks (Private) Limited.	The Brokerage House was Advised	-	10-Jun-16	ACTIVE
352	284	ASA Stocks (Private) Limited.	The Brokerage House was Warned	-	10-Jun-16	ACTIVE
353	297	MSD Capital Equities (Private) Limited.	The Brokerage House was Warned	-	10-Jun-16	ACTIVE
354	346	Strongman Securities (Private) Limited	The Brokerage House was Warned		10-Jun-16 9-Jun-16	ACTIVE
355	239 15	Ayub Chaudhry Investments (Private) Limited. Saya Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	9-Jun-16 8-Jun-16	ACTIVE
						TRADING TERMINALS
357	138	Escorts Capital Limited.	The Brokerage House was Warned	-	8-Jun-16	SUSPENDED
358	223	MAAN Securities (Private.) Limited.	The Brokerage House was Warned	-	8-Jun-16	ACTIVE
359	288	Javed Iqbal Securities (Private) Limited	The Brokerage House was Warned	-	8-Jun-16	ACTIVE
360	42	Icon Capital Management (Private) Limited.	The Brokerage House was Warned	-	6-Jun-16	ACTIVE
361	184	Prime Securities (Private.) Limited.	The Brokerage House was Warned	-	6-Jun-16	ACTIVE
362	339 478	Khawaja Securities (Private) Limited	The Brokerage House was Warned	-	6-Jun-16	ACTIVE
363		Pasha Securities (Private) Limited	The Brokerage House was Warned		6-Jun-16	ACTIVE TRADING TERMINALS
364	338	Switch Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.100,000/-	3-Jun-16	SUSPENDED
365	132	Eleven Stars Securities (Private.) Limited.	The Brokerage House was Warned	-	31-May-16	ACTIVE
366	181	First Equity Modaraba	The Brokerage House was Warned	-	31-May-16	ACTIVE
367	457	AAA Securities (Private) Limited	The Brokerage House was Warned	-	31-May-16	ACTIVE
368	118	Sunrise Capital (Private) Limited.	The Brokerage House was Warned	-	26-May-16	TRADING TERMINALS SUSPENDED
369	108	Azee Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 50,000/-	25-May-16	ACTIVE
370	149	JS Global Capital Limited.	The Brokerage House was Advised	-	24-May-16	ACTIVE
371	171	AMPLE Securities (Private.) Limited.	The Brokerage House was Warned	-	24-May-16	ACTIVE
372	109	Dalal Securities (Private.) Limited.	The Brokerage House was Warned	-	19-May-16	ACTIVE
373	169	Pearl Securities Limited.	The Brokerage House was Warned	-	19-May-16	ACTIVE
374	36	Time Securities (Private.) Limited.	The Brokerage House was Warned	-	18-May-16	ACTIVE
375 376	173 102	Spectrum Securities Limited. Growth Securities (Private.) Limited.	The Brokerage House was Warned	-	18-May-16 17-May-16	ACTIVE
376			The Brokerage House was Warned	-		
378	125 194	Gazipura Securities & Services (Private.) Lt MRA Securities Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	17-May-16 17-May-16	ACTIVE
379	10	Sakarwala Capital Sec.(Private.) Limited	The Brokerage House was Warned		16-May-16	ACTIVE
380	16	DJM Securities (Private.) Limited.	The Brokerage House was Warned		16-May-16	ACTIVE
381	66	Iqbal Usman Kodv. Sec. (Private.) Limited	The Brokerage House was Warned	-	16-May-16	ACTIVE
382	35	Surmawala Securities (Private) Limited.	The Brokerage House was Warned	-	11-May-16	ACTIVE
383	143	Saao Capital (Private) Limited.	The Brokerage House was Warned	-	11-May-16	ACTIVE
384	12	Reliance Securities Limited.	The Brokerage House was Warned	-	9-May-16	ACTIVE
385	121	Salim Sozer Securities (Private.) Limited.	The Brokerage House was Warned	-	9-May-16	ACTIVE
386	91	Intermarket Securities Limited.	The Brokerage House was Warned		4-May-16	ACTIVE TRADING TERMINALS
387	138	Escorts Capital Limited.	The Brokerage House was Warned	-	4-May-16	SUSPENDED
388	119	Axis Global Limited	The Brokerage House was Warned	-	3-May-16	ACTIVE
389	175	First National Equities Limited.	The Brokerage House was Warned	-	3-May-16	ACTIVE
390 391	107 120	Seven Star Securities (Private.) Limited. Alfalah Securities (Private.) Limited.	The Brokerage House was Warned	-	29-Apr-16	ACTIVE
391	120	Adam Securities Limited.	The Brokerage House was Warned	-	29-Apr-16	ACTIVE
393	143	Rafi Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	29-Apr-16 29-Apr-16	ACTIVE
394	47	Zillion Capital Securities (Private.) Limited	The Brokerage House was Warned	-	29-Apr-16	ACTIVE
395	52	N.U.A. Securities (Private) Limited.	The Brokerage House was Warned	-	28-Apr-16	ACTIVE
396	55	Shajar Capital Pakistan (Private.) Limited	The Brokerage House was Warned	-	28-Apr-16	ACTIVE
397	57	First Capital Equities Limited.	The Brokerage House was Warned	-	28-Apr-16	ACTIVE
398	84	M. Munir Khanani Securities (Private.) Limited.	The Brokerage House was Warned	-	28-Apr-16	ACTIVE
399	194	MRA Securities Limited.	The Brokerage House was Warned	-	28-Apr-16	ACTIVE
400	228	Al-Haq Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 25,000/-	28-Apr-16	ACTIVE
401	485	Hamza Farhad Securities (Private) Limited.	The Brokerage House was Warned	-	28-Apr-16	ACTIVE
402	128	BIPL Securities Limited.	The Brokerage House was Warned	-	22-Apr-16	ACTIVE
403 404	140	M. M. Securities (Private.) Limited.	The Brokerage House was Warned	-	22-Apr-16	ACTIVE
404	124	EFG Hermes Pakistan Limited	The Brokerage House was Warned	-	21-Apr-16	ACTIVE
405	150	Askari Securities Limited. Ismail Iqbal Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned		21-Apr-16 20-Apr-16	ACTIVE
406	38	A.H.M.Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	20-Apr-16 20-Apr-16	ACTIVE
407	84	M. Munir Khanani Securities (Private.) Limited.	The Brokerage House was Warned	-	20-Apr-16 20-Apr-16	ACTIVE
408	108	Azee Securities (Private.) Limited.	The Brokerage House was Warned	-	14-Apr-16	ACTIVE
409	108	BIPL Securities Limited.	The Brokerage House was Warned	-	14-Apr-16 14-Apr-16	ACTIVE
	37	HH Misbah Securities (Private.) Limited.	The Brokerage House was Warned	-	11-Apr-16	ACTIVE
		Multiline Securities (Private.) Limited.	The Brokerage House was Warned	-	11-Apr-16	ACTIVE
411	49			1 .	8-Apr-16	ACTIVE
	49 88	Fawad Yusuf Securities (Private) Limited.				
411 412		Fawad Yusuf Securities (Private) Limited. Taurus Securities Limited	The Brokerage House was Warned The Brokerage House was Warned	-		ACTIVE
411 412 413	88	Taurus Securities Limited	The Brokerage House was Warned	-	8-Apr-16 1-Apr-16	ACTIVE
411 412 413 414	88 129			-	8-Apr-16	

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
1	28	Ghani Osman Securities (Private) Limited	Actions taken by Market Surveillance Department (MSD) : Case Referred to SECP For Review and Necessary Action		26-Feb-19	ACTIVE
2	50 58	Arif Habib Limited	Case Referred to SECP For Review and Necessary Action		26-Feb-19 26-Feb-19	ACTIVE
4	166	Dawood Equities Limited Topline Securities (Private) Limited	Case Referred to SECP For Review and Necessary Action Case Referred to SECP For Review and Necessary Action		26-Feb-19	ACTIVE
5	1 112	Altaf Adam Securities (Private) Limited Standard Capital Securities (Private) Limited	Advised Advised		19-Feb-19 13-Feb-19	ACTIVE
7	142 22	Foundation Securities (Pvt.) Limited	Advised		13-Feb-19 13-Feb-19	ACTIVE
8	57	BMA Capital Management Limited First Capital Equities Limited	Advised Advised		13-Feb-19	ACTIVE
10 11	204 24	Backers & Partners (Private) Limited	Stern Warning	30,000	1-Feb-19 1-Feb-19	ACTIVE
12	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	ACTIVE
13 14	18 36	Ismail Iqbal Securities (Pvt.) Limited Time Securities (Private) Limited	Stern Warning Cofiscation of Profit along with Stern Warning	13,435	1-Feb-19 1-Feb-19	ACTIVE
15	347	Amer Securities (Pvt.) Ltd.	Stern Warning		1-Feb-19	ACTIVE
16 17	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
18 19	193 23	Akhai Securities (Pvt.) Limited Khanani Securities (Private) Limited	Stern Warning Penalty Imposed	- 36.320	24-Jan-19 24-Jan-19	ACTIVE
20	1	Altaf Adam Securities (Private) Limited	Penalty Imposed along with confiscation of profits	52,495	24-Jan-19	ACTIVE
21 22	44 124	IGI Finex Securities Limited EFG Hermes Pak Ltd	Advised Advised	-	23-Jan-19 23-Jan-19	ACTIVE
23	6	Sherman Securities (Pvt.) Ltd.	Advised	-	23-Jan-19	ACTIVE
24 25	22 90	BMA Capital Management Limited Darson Securities (Private) Limited	Advised Advised		23-Jan-19 10-Jan-19	ACTIVE
26 27	149 52	JS Global Capital Limited	Advised Strictly Advised	-	10-Jan-19 4-Jan-19	ACTIVE
28	91	N.U.A. Securities (Private) Limited Intermarket Securities Limited	Strictly Advised	-	4-Jan-19	ACTIVE
29 30	102	Growth Securities (Pvt.) Limited Topline Securities (Private) Limited	Advised Advised		3-Jan-19 1-Jan-19	ACTIVE
31	116	Patel Securities Pvt) Ltd.	Confiscation of Profits	4,777	21-Dec-18	ACTIVE
32 33	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
34	50	Arif Habib Limited	Strictly Advised	-	13-Dec-18	ACTIVE
35	84	Muhammad Munir Muhammad Ahmed Khanani Securities (Pvt.) Ltd	Strictly Advised	-	13-Dec-18	ACTIVE
36 37	102 145	Growth Securities (Pvt.) Limited Adam Securities (Pvt.) Ltd.	Advised Stern Warning	-	27-Nov-18 2-Nov-18	ACTIVE
38	120	Adam Securities (Pvt.) Ltd. Alfalah Securities (Private) Limited	Stern Warning Stern Warning	-	2-NOV-18	ACTIVE
39 40	224	K & I Global Capital (Private) Limited SAZ Capital Securities (Pvt.) Ltd.	Stern Warning Stern Warning		2-Nov-18 2-Nov-18	ACTIVE
41	62	WE Financial Services Limited	Stern Warning	-	2-Nov-18	ACTIVE
42	223 91	Maan Securities (Private) Limited Intermarket Securities Limited	Penalty Imposed Penalty Imposed	5,500	1-Nov-18 1-Nov-18	ACTIVE
44	128	BIPL Securities Limited	Penalty Imposed	1,050	1-Nov-18	ACTIVE
45	84	Muhammad Munir Muhammad Ahmed Khanani Securities (Pvt.) Ltd	Advised	-	24-Oct-18	ACTIVE
46 47	169 179	Pearl Securities Limited Continental Capital Management (Pvt) Ltd.	Stern Warning Stern Warning	-	9-Oct-18 9-Oct-18	ACTIVE
48	212	Horizon Securities Limited	Stern Warning	-	9-Oct-18	ACTIVE
49 50	6 17	Sherman Securities (Pvt.) Ltd. Summit Capital (Private) Limited	Stern Warning Penalty Imposed	- 10,000	5-Oct-18 5-Oct-18	ACTIVE
51	18	Ismail Iqbal Securities (Pvt.) Limited	Penalty Imposed	20,000	5-Oct-18	ACTIVE
52 53	77 108	Best Securities (Private) Limited Azee Securities (Pvt.) Ltd.	Stern Warning Stern Warning		5-Oct-18 5-Oct-18	ACTIVE
54 55	112 145	Standard Capital Securities (Private) Limited Adam Securities (Pvt.) Ltd.	Strictly Advised Strictly Advised	-	25-Sep-18 25-Sep-18	ACTIVE
56	194	MRA Securities (Private) Limited	Strictly Advised	-	25-Sep-18	ACTIVE
57 58	228 91	Al-Haq Securities (Private)Limited Intermarket Securities Limited	Advised Advised		25-Sep-18 25-Sep-18	ACTIVE
59	297	MSD Capital Equities (Private) Limited	Stern Warning	-	7-Sep-18	ACTIVE
60 61	267 22	Bismillah Securities (Private) Limited BMA Capital Management Limited	Stern Warning Stern Warning		7-Sep-18 7-Sep-18	ACTIVE
62 63	45 8	Bhayani Securities (Private) Limited	Penalty Imposed along with confiscation of profits	12,923	7-Sep-18 7-Sep-18	ACTIVE
64	290	Optimus Capital Management (Pvt.) Ltd. K.H.S. Securities (Private) Limited	Stern Warning Stern Warning	-	7-Sep-18 7-Sep-18	ACTIVE
65 66	8 46	Optimus Capital Management (Pvt.) Ltd. Fortune Securities Limited	Stern Warning Penalty Imposed	- 1,302	7-Sep-18 30-Aug-18	ACTIVE
67	36	Time Securities (Private) Limited	Stern Warning	-	30-Aug-18	ACTIVE
68 69	1 102	Altaf Adam Securities (Private) Limited Growth Securities (Pvt.) Limited	Stern Warning Penalty Imposed	- 10,000	30-Aug-18 30-Aug-18	ACTIVE
70	46	Fortune Securities Limited Infinite Securities Limited	Penalty Imposed	90,000	30-Aug-18	ACTIVE
71 72	265 346	Strongman Securities (Pvt.) Ltd.	Stern Warning Penalty Imposed	10,000	6-Jun-18 6-Jun-18	ACTIVE
73 74	438 149	Fair Edge Securities (Private) Limited JS Global Capital Limited	Confiscation of Profits Stern Warning	3,250	6-Jun-18 6-Jun-18	ACTIVE
75	346	Strongman Securities (Pvt.) Ltd.	Stern Warning	-	6-Jun-18	ACTIVE
76 77	149 48	JS Global Capital Limited Next Capital Limited	Confiscation of Profits Penalty Imposed	450,000 10,000	6-Jun-18 30-May-18	ACTIVE
78	19	AKD Securities Limited	stern Warning	-	30-May-18	ACTIVE
79 80	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
81 82	85 85	Concordia Securities (Pvt.) Ltd. Concordia Securities (Pvt.) Ltd.	Penalty Imposed Confiscation of Profits	100,000 4,000	18-May-18 18-May-18	ACTIVE
83	145	Adam Securities (Pvt.) Ltd.	Advised	-	18-May-18	ACTIVE
84 85	82 177	Mayari Securities (Private) Limited Din Capital (Private) Limited	Advised Stern Warning		18-May-18 7-May-18	ACTIVE
86	21	Alfa Adhi Securities (Pvt.) Ltd.	Penalty Imposed along with confiscation of profits	32,160	7-May-18	ACTIVE
87 88	18 98	Ismail Iqbal Securities (Pvt.) Limited Fairtrade Capital Securities (Private) Limited	Advised Advised		7-May-18 4-May-18	ACTIVE
89 90	98 98	Fairtrade Capital Securities (Private) Limited Fairtrade Capital Securities (Private) Limited	Advised	-	4-May-18 4-May-18	ACTIVE
91	98	Fairtrade Capital Securities (Private) Limited	Advised Advised		4-May-18	ACTIVE
92 93	98 112	Fairtrade Capital Securities (Private) Limited Standard Capital Securities (Private) Limited	Advised Advised		4-May-18 4-May-18	ACTIVE
94	346	Strongman Securities (Pvt.) Ltd.	Advised	-	4-May-18	ACTIVE
95 96	85 142	Concordia Securities (Pvt.) Ltd. Foundation Securities (Pvt.) Limited	Advised Advised		13-Apr-18 9-Apr-18	ACTIVE
97	6	Sherman Securities (Pvt.) Ltd.	Advised		9-Apr-18	ACTIVE
98 99	228 169	Al-Haq Securities (Private)Limited Pearl Securities Limited	Advised Advised		6-Apr-18 6-Apr-18	ACTIVE
100	442 442	General Investment & Securities (Private) Limited.	Advised		6-Apr-18	ACTIVE
101 102	485	General Investment & Securities (Private) Limited. Hamza Farhad Securities (Pvt) Limited	Advised Confiscation of Profits	- 870	6-Apr-18 4-Apr-18	ACTIVE
103 104	89 162	Investment Managers Securities (Private) Limited	Stern Warning	-	21-Mar-18 21-Mar-18	ACTIVE
105	166	Aba Ali Habib Securities (Private) Limited Topline Securities (Private) Limited	Stern Warning Confiscation of Profits	8,565	21-Mar-18	ACTIVE
106	162	Aba Ali Habib Securities (Private) Limited Progressive Securities (Private) Limited	Advised Stern Warning	-	15-Mar-18 20-Feb-18	ACTIVE
107	256					

130 8. International control listed International control listed <thinternational control="" listed<="" th=""> Inter</thinternational>	S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
111 81. Mean and accords index			General Investment & Securities (Private) Limited	Stern Warning			ACTIVE
101 81. Instructure functions: under a second seco							ACTIVE
111 24 SOS Society (hysic) lends Terms in the society (hysic) lends <thterms in="" soc<="" td="" the=""><td></td><td></td><td></td><td></td><td></td><td></td><td>ACTIVE</td></thterms>							ACTIVE
111 17 James application band					-		ACTIVE
115 6.4. jake unservices increduced and analysis of a second and a secon							ACTIVE
11. 13. (abs. galaxis.com/s.phr.ab).land. Memory import 1.10 1.1000 1.1000 1.1000					- 7 125		ACTIVE
137 4.6. Magnet increasion Strong Uning House Magnet increasion Strong Uning 146.0.					1,125		ACTIVE
113 2.82 Calculations/textures/model latents/ 3.88 Weining 1.0 1.40 Persist A.A. 121 4.40 Male facing lacents/ involutions/ Male facing lacents/ involutions/ No. 1.30 Persist No. 121 4.40 Male facing lacents/ involutions/ No. 1.30 Persist No. 123 4.40 Male facing lacents/ involutions/ No. 1.30 Persist No. 123 4.41 Male facing lacents/ involutions/ No.					2,750		ACTIVE
19 44 Gines exercise contact without predict model 38: Working 5. 16:64:33 AAA 13 600 Back hade, Physical without predict model 7. 10:60:31 AAA 131 610 Back hade, Physical without predict model 7. 10:60:31 AAA 132 640 Back hade, Physical without predict model 7.60:00 7.60:00 7.60:00 135 640 Wer Pask korolits (Physical Without Physical Minist Physical Without Physi					-		ACTIVE
130 680 Mate faster (head) lends Penalty proped 22.60 13.06.13 A.K. 131 640 Statistic (head) lends Penalty proped 15.07 2.6.0 131 640 Statistic (head) lends Penalty proped 15.07 2.6.0 3.046-17 6.0.0 131 641 Statistic (head) lends Penalty proped 2.0.0 3.046-17 6.0.0 132 131 8.1.5 Scatistic (head) lends Penalty proped 2.0.0 2.0.		44			-		ACTIVE
11.1 420 Bas Lage Dressel Listed Wread . 13.0 420 12.1 420 Re for a local or gain investigation of the second of th		490			226,660	13-Dec-17	ACTIVE
121 234 4.4 (abbs (abguing)) Abbs (abbs) Abbs Abbs (abbs) Abbs 123 4.42 Met abbs (abbs) Met abbs)	121	490			-	13-Dec-17	ACTIVE
124 442 New Pack Sourciss (Frivanci) Lundel Producty monopound 20.201 30.800-13 ACA 127 1400 New Fack Sourciss (Frivanci) Lundel Producty monopound 20.800 1740-10 176 127 1201 <	122	224		Advised	-	12-Dec-17	ACTIVE
115 482 New Pask Scortise (Provad) Linked Peorly reported 50.00 30.00.0.7 6.6.0 128 125 124 A.S. Scortise (Provad) Linked Peorly reported 6.0.0 10.00.0.7 6.0.0 128 124 A.S. Scortise (Provad) Linked Stort Karring - 17.00.0.7 6.0.0 129 124 A.S. Scortise (Provad) Linked Stort Karring - 17.00.0.7 6.0.0 120 124 A.S. Scortise (Provad) Linked Stort Karring - 17.00.0.7 6.0.0 121 124 M.A.S. Scortise (Provad) Linked Peorly Transmitter - 17.00.0.7 6.0.0 123 124 M.A.S. Scortise (Provad) Linked Peorly Transmitter - 18.0.0.7 6.0.0 123 126 Contract Carlor (Provad) Linked Peorly Transmitter 18.0.0.0 18.0.0.0.7 6.0.0 125 126 Contract Carlor (Provad) Linked Peorly Transmitter 18.0.0.0 18.0.0.0.7 6.0.0 126 M.A.S. Scortise (Provad) Linked P	123	410	Zahid Latif Khan Securities (Private) Limited	Penalty Imposed	15,597	30-Nov-17	ACTIVE
115 8 # 5 Socies Private Linked Pandy regood 28.08 39.No.13 6.00 129 400 Perriscuritie Linked Penriscuritie Linked 28.08.00 29.08.00 29.			New Peak Securities (Private) Limited	Penalty Imposed	22,950		ACTIVE
1127 1187 1187 1183 118			New Peak Securities (Private) Limited	Penalty Imposed			ACTIVE
128 S2 RLA Scontexp France junited Serve Warning . 1.97 No.97 K.A. 131 13 13 1.04 Serve Warning - 1.97 No.97 K.A. 131 13 13 13.4 Serve Warning - 1.97 No.97 K.A. 131 13 13.4 Nucl. Scontexp France Junited Bench Warning - 1.97 No.97 K.A. 133 13.4 Nucl. Scontexp France Junited Pench Junited Pench Junited Junited Pench Junited Junited Pench Junited Junited - 1.98 No.97 K.A. 134 13.4 Pench Scontexp France Junited Pench Yangoood 14.00 1.80 No.97 K.A. 135 14 Pench Scontexp France Junited Pench Yangoood 14.00 1.80 No.97 K.A. 136 14 Pench Scontexp France Junited Pench Yangoood 1.60 No.97 K.A. 137 140 Add Scontexp France Junited Pench Yangoood 1.80 No.97 K.A. 138 Mange Yangoood 1.8			B & B Securities (Private) Limited				ACTIVE
199 Star A Accounter, Protong Lunned Storm Marring I 197 Not 13 Acc Accounter, Protong Lunned Storm Marring I 197 Not 13 Acc Accounter, Protong Lunned Acc Accoun					240,940		ACTIVE
130 52. NLA Security Physical juncta Seruity Name - 17.200 MLX 131 45.0. ALA Security Physical Phase Security Seruity Serui					-		ACTIVE
131 23. NULL Security (Intel) (Intel) 36th Warning 0. 17400.12 MA 131 44. Machannek March Mannek March Structive (Intel) (Intel) Parket Warning 2. 3.360.9 9.160.7 1.6 133 134 132 Dark Machannek March Mannek March Ma					-		ACTIVE
BA Modema Num Manne Names Securities (head lumba) Passible properties (head lumba) Passible properiis (head lumba) Passible properii					-		ACTIVE
International probability interaction 9,0,000	131	52		Stern Warning	-	17-Nov-17	ACTIVE
131 132 136 <td>132</td> <td>84</td> <td></td> <td>Penalty Imposed</td> <td>30,496</td> <td>9-Nov-17</td> <td>ACTIVE</td>	132	84		Penalty Imposed	30,496	9-Nov-17	ACTIVE
134 22 Zafa Man Gapta Scornie (Private) (united Penulty ingoent 88.700 18-0c.12 A.K. 135 43 Danial taja Scornie (Private) (united Penulty ingoent 10.00 18-0c.12 A.K. 136 43 Obligation (United) Penulty ingoent 14.00 18-0c.12 A.K. 137 44 Mahama Mark Mark Mahama Mark Mark Mahama Skaruffis Mark Mark Mark Mark Mahama Mark Mark Mahama Skaruffis A.K. 28-dag.27 A.K. 138 45 Mahama Mark Mark Mark Mark Mark Mark Mark Mar	122	160				1-Nov 17	
135 13 Instruction (PA) Linked Peaky imposed 10.000 18.05.37 AK 137 200 Call Scattering (Private) Linked Peaky imposed 1.00 1.05.87 AK 138 4.0 Call Scattering (Private) Linked Warred 1.05.07 AK 139 1.0 Call Scattering (Private) Linked Warred 1.0 2.8.49,17 AK 139 1.6 Derma Scattering (Private) Linked Maxmed 1.0 2.8.49,17 AK 141 1.0 Derma Scattering (Private) Linked Warred 1.0 2.8.49,17 AK 143 1.00 Carbo Scattering (Private) Linked Warred 1.0 2.8.49,17 AK 144 6.0 Dark Scattering (Private) Linked Warred 1.0 2.8.49,17 AK 145 1.0 Dark Scattering (Private) Linked Warred 1.0 2.8.49,17 AK 146 0.0 Dark Scattering (Private) Linked Warred 1.0 2.8.49,17 AK 147 <td></td> <td></td> <td></td> <td></td> <td>-</td> <td></td> <td>ACTIVE</td>					-		ACTIVE
136 30 Cold capit phase) (instal limited Peakly inspaced 14.000 14.000.1 14							ACTIVE
137 280 KLS Sourcine (Private) Linked Advised Name Nam Nam <							ACTIVE
BA Meanual Morie Malamed Annel Sharah Securitis Privatel Limits Normal Stand 144 144<							ACTIVE
18 8 (photo) Limbd							
138 36 Thes Scoring (Potad) Limited Warned 28 Aug.17 AAA 141 6. Serrons Scoring (Potad) Limited AAAided	138	84		Warned	-	28-Aug-17	ACTIVE
140 6 Sherman Sacurities (PA) Lid. Adviad 28 Aug.7 AAA 141 6. Sherman Sacurities (PA) Lid. Adviad 28 Aug.7 AAA 142 6. Fartum Sacurities (PA) Lid. Adviad 28 Aug.7 AAA 143 100 Convext Sacurities (PA) Linkind Warned 28 Aug.7 AAA 145 102 Convext Sacurities (PA) Linkind Warned 24 Aug.77 AAA 146 102 Grown't Sacurities (PA) Linkind Warned 24 Aug.77 AAA 147 6. Zadr Sacurities (PA) Linkind Warned 21 Aug.77 AAA 148 6. Zadr Sacurities (PA) Linkind Warned 21 Aug.77 AAA 149 30 Cadr Aug.17 MAA Aba.417 AAA 143 30 Cadr Aug.17 MAA Aba.417 AAA 151 214 Aba.417 MAAA Aba.417 <td< td=""><td>139</td><td>36</td><td></td><td>Warned</td><td>-</td><td>28-Aug-17</td><td>ACTIVE</td></td<>	139	36		Warned	-	28-Aug-17	ACTIVE
141 6 Shema Securites (PA) Ltd. Advied - 28 Aug.17 AA 132 466 Fortum Securites Infracta Warned - 28 Aug.17 AA 134 102 Growh Securites Infracta Warned - 28 Aug.17 AA 144 66 Zahr Securites Infracta Warned - 28 Aug.17 AA 145 160 Zahr Securites Infracta Warned - 28 Aug.17 AA 146 68 Zahr Securites (Prvate) Limited Warned - 28 Aug.17 AA 148 68 Zahr Securites (Prvate) Limited Warned - 21 Aug.17 AA 150 19 AD Securites (Invate) Limited Warned - 21 Aug.17 AA 151 14 Ad Securites (Invate) Limited Warned - 21 Aug.17 AA 153 14 Ad Securites (Invate) Limited Warned - 14 Aug.17 AA 154 14 Adar Securites (Invate) Limited					-		ACTIVE
142 145 145 146 147 28 Aug.17 Advanced 1. 28 Aug.17 Advanced 148 168 Zafa Securities (Private) Limited Warned 28 Aug.17 Advanced 148 168 Carlow Social (Private) Limited Warned 28 Aug.17 Advanced 147 148 68 Zafa Securities (Private) Limited Warned 28 Aug.17 Advanced 149 140 24 Securities (Private) Limited Warned 21 Aug.17 Advanced 149 140 24 Social and Compatibilities Warned 21 Aug.17 Advanced 149 30 Cedar capital (Private) Limited Warned 12 Aug.17 Advanced 150 14 Advanced (Private) Limited Warned 14 Aug.17 Advanced 151 14 Advanced (Private) Limited Advanced 14 Aug.17 Advanced 152 14 Marabasocurities (Private) Limited Advan		6			-		ACTIVE
181 102 Grown Scortine (Private) lunited Warned . 324.48/27 ALX 146 66. Zdrif Scortine (Private) lunited Warned . 324.48/27 ALX 147 102 Grown Scortine (Private) lunited Warned . 324.48/27 ALX 148 140 Grown Scortine (Private) lunited Warned . 324.48/27 ALX 148 68. Zdrif Scortines (Private) lunited Warned . 21.91/17 ALX 150 134 AD Scortines (Private) lunited Warned . 13.11/17 ALX 151 134 Value Stock and Grown Stock (Private) lunited Warned . 14.11/17 ALX 151 134 DA Maccurities (Private) lunited Warned . 14.11/17 ALX 152 14 Da Maccurities (Private) lunited Advised . 14.11/17 ALX 153 154 Mark Scortines (Private) lunited Advised . 14.11/17 ALX		46			-	28-Aug-17	ACTIVE
144 08 Zafa Securities (Private) limited Warned . 24 Aug.97 AA 145 102 Grown Securities (PAL) limited Warned . 24 Aug.917 AA 146 102 Grown Securities (PAL) limited Warned . 24 Aug.917 AA 146 0.0 Zafar Securities (PAL) limited Warned . 23 Aug.917 AA 150 190 Odd Caphal (PArabel Limited Warned . 23 Jul.917 AA 151 160 D.JM. Securities (Private) Limited Warned . 14 Jul.917 AA 153 160 Paraf Securities (Private) Limited Warned . 14 Jul.91 AA 154 1.1 Abdr Adm Securities (Private) Limited Advited . 14 Jul.91 AA 155 160 Paraf Securities (Private) Limited Advited . 23 Jul.917 AA 156 161 Internavet Securities (Private) Limited Advited . 23 Jul.917 AA		102	Growth Securities (Private) Limited	Warned	-	24-Aug-17	ACTIVE
140 152 Bowth Securities (Private) Limited Warned . 124-Aug.17 ACA 141 66 Zahr Securities (Private) Limited Warned . 244-Aug.17 ACA 148 68 Zahr Securities (Private) Limited Warned . 214-Aug.17 ACA 150 133 AAD Securities Limited Warned . 214-Aug.17 ACA 151 224 Value Sock and Comondities (Private) Limited Penalty Imposed 643.000 114-41-17 ACA 153 14 Value Sock and Comondities (Private) Limited Advised . 44-Ad-17 ACA 154 14 Attal Adm Securities (Private) Limited Advised . 44-Ad-17 ACA 155 28 Char Organ Securities (Private) Limited Advised . 21-40-17 ACA 156 54 Bar Securities (Private) Limited Advised . 21-40-17 ACA 157 91 Intermarket Securities (Private) Limited Advised . 21-40-17	144	68	Zafar Securities (Private) Limited	Warned			ACTIVE
137 68 2br Securits (Private) lumided Wared - 124-Aug.17 AA 148 68 2 Jafa Securits (Private) lumited Adviced - 214,417 AA 150 130 Cedar captal (Private) lumited Wared - 214,417 AA 151 224 Vala Sock and Commodities (Private) lumited Penalty Imposed 643,099 1174,417 AA 153 1.0 D.M.S Socurits (Private) lumited Wared - 144,417 AA 154 1.0 Advised Commodities (Private) lumited Advised - 4,417 AA 155 28 Base Securities (Private) lumited Advised - 21,417 AA 155 13 Base Securities (Private) lumited Advised - 21,417 AA 155 138 Age: Capital Securities (Private) lumited Advised - 21,417 AA 156 148 Base Scurities (Private) lumited Advised - 21,417 AA <t< td=""><td></td><td></td><td>Growth Securities (Pvt.) Limited</td><td>Warned</td><td>-</td><td></td><td>ACTIVE</td></t<>			Growth Securities (Pvt.) Limited	Warned	-		ACTIVE
148 68 Zatz Scuritis (Private) Limited Warned . 124-Aug 17 Acc 150 130 AD Scuritis Limited Adviced . 214/4/17 ACC 151 124 Value Stock and Commoditie (Private) Limited Peakly Imposed 66.09 171/4/17 ACC 151 124 Value Stock and Commodities (Private) Limited Peakly Imposed 61.09 171/4/17 ACC 151 124 MA Scurities (Private) Limited Warned . 143/4/17 ACC 152 154 243 Obsta Orans Scurities (Private) Limited Warned . 143/4/17 ACC 155 54 343 Obsta Orans Scurities (Private) Limited Advised . 144/4/17 ACC 155 54 Bass Scurities (Private) Limited Advised . 21.3un-17 ACC 156 138 Assa Scurities (Private) Limited Advised . 21.3un-17 ACC 157 91 Ittransfert Scurities (Private) Limited Advised <							ACTIVE
140 30 Codar Capital (Private) United Advised . 21 July 71 AAA 150 190 All Sockard Commodities (Private) United Penalty Imposed 664.089 17 July 71 AAA 151 160 D.J.M. Sockard Commodities (Private) United Warned . 14 July 37 AAA 153 160 Penal Sockard Commodities (Private) United Warned . 14 July 37 AAA 154 11 Attal Adm Sockard Comments (Private) United Advised . 4 July 37 AAA 155 28 Band Sockard Comments (Private) United Advised . 4 July 37 AAA 156 28 Band Sockard Sockar							ACTIVE
150 19 AXD Securities Limited Variet - 21-Jul-72 AAA 151 214 Value Stock and Commodities (Private) Limited Penalty imposed 66.369 17-Jul-72 AAA 152 166 D.M. Securities (Private) Limited Warned - 14-Jul-72 AAA 154 14 Attra Adam Securities (Private) Limited Advised - 4-Jul-71 AAA 155 28 Chan Qoman Securities (Private) Limited Advised - 21-Jun-71 AAA 156 18 Represcription Securities (Private) Limited Advised - 21-Jun-71 AAA 157 91 Intermarker Securities (Imited) Advised - 21-Jun-71 AAA 158 188 Age-Capital Securities (Imited) Advised - 21-Jun-71 AAA 159 19 Intermarker Securities (Imited) Advised - 21-Jun-71 AAA 158 484 Net Capital Limited Advised - 9-Jun-77 AAA							ACTIVE
151 234 Value Stock and Commodities (Private) Limited Penalty imposed 64.889 17.14/-17 PAA 152 160 Pad Securities (Private) Limited Warned - 14.14/-17 PAA 153 160 Pend Securities (Private) Limited Advised - 4.14/-17 PAA 154 11 Mat Advised Councies (Private) Limited Advised - 4.14/-17 PAA 155 28 Ohan Oxnan Securities (Private) Limited Advised - 4.14/-17 PAA 156 54 Bave Securities (Private) Limited Advised - 21.1un-17 PAA 157 91 Intermarket Securities (Initial) Advised - 21.1un-17 PAA 158 159 Rong Securities (Private) Limited Advised - 21.1un-17 PAA 159 150 152 Rong Securities (Private) Limited Advised - 21.1un-17 PAA 150 228 Advised Securities (Private) Limited Advised -					-		ACTIVE
152 16 D.M. Securities (Private) Limited Warred . 14-Jab 77 PAR 153 1.00 Paral Securities (Inited Warred . 14-Jab 7. AA 154 1.01 Allaf Adam Securities (Private) Limited Advised . 4-Jab 7. AA 155 2.8 Ghan Ozman Securities (Private) Limited Advised . 21-Jab 7.7 AA 156 2.8 Baw Securities (Private) Limited Advised . 21-Jab 7.7 AA 157 9.1 Intermarket Securities (Private) Limited Advised . 21-Jab 7.7 AA 158 9.1 Intermarket Securities (Private) Limited Advised . 21-Jab 7.7 AA 150 10.1 Intermarket Securities (Private) Limited Warred . 9-Jab 7.7 AA 150 4.8 Ned Capital Limited Warred . 9-Jab 7.7 AA 156 4.8 Fawad Yaud Securities (Private) Limited Warred . 9-Jab 7.7 AA <td></td> <td></td> <td></td> <td></td> <td>-</td> <td></td> <td>ACTIVE</td>					-		ACTIVE
153 160 Pear Securities United Wared . 144-147 PAA 154 1. Alpf Adm Securities (Private) United Advised . 4-Jul-17 AA 155 28. Ghan Ösnan Securities (Private) United Pearly Imposed 55,685 21.Jun-17 AA 157 51 58. Securities (Private) United Pearly Imposed 55,685 21.Jun-17 AA 158 188 Agec Capital Securities (Invate) United Advised . 21.Jun-17 AA 159 91 Internaret Securities (Invate) United Advised . 12.Jun-17 AA 160 158 Royal Securities (Private) United Advised . 13.Jun-17 AA 161 44 Nect Capital United Warned . 15.Jun-17 AA 162 48 Nect Capital United Warned . 9.Jun-17 AA 163 48 Nect Capital United Warned . 9.Jun-17 AA 164<					643,699		ACTIVE
154 1 Alaf Adam Securits (Private) Limited Advised - 4-hi17 AA 155 253 Ghan Comas Securits (Private) Limited Penalty imposed 55.883 21-Jun-17 AA 156 154 Bawa Securits (Private) Limited Advised - 21-Jun-17 AA 158 11 Intermarket Securits (Private) Limited Advised - 21-Jun-17 AA 158 188 Agec Capital Securits (Private) Limited Advised - 21-Jun-17 AA 160 158 Royal Securits (Private) Limited Warred - 15-Jun-17 AA 161 224 Alviala Securits (Private) Limited Warred - 9-Jun-17 AA 163 48 Next Capital Limited Warred - 9-Jun-17 AA 166 88 Fawad Youd Securits (Private) Limited Warred - 9-Jun-17 AA 166 88 Fawad Youd Securits (Private) Limited Warred - 9-Jun-17 AA							ACTIVE
155 28 Chain Gama Securities (Private) Limited Advised - 4-Jul-17 Acc 156 54 Baws Securities (Private) Limited Penalty imposed 55.83 22-Jun-17 Acc 157 91 Intermarket Securities (Invitat) Limited Advised - 22-Jun-17 Acc 158 158 Apex Capital Securities (Invitat) Limited Advised - 22-Jun-17 Acc 150 158 Royal Securities (Invitat) Limited Advised - 12-Jun-17 Acc 160 158 Royal Securities (Invitat) Limited Warred - 19-Jun-17 Acc 161 228 Al-Lag Securities (Invitat) Limited Warred - 9-Jun-17 Acc 162 448 Net Capital Limited Warred - 9-Jun-17 Acc 164 448 Net Capital Limited Warred - 9-Jun-17 Acc 166 848 Fawad Vusal Securities (Private) Limited Warred - 9-Jun-17 Acc							ACTIVE
156 54 Bawa Securities (Private) Limited Pentty imposed 55.683 21-Jun-17 AA 157 91 Intermarket Scurities (Private) Limited Advised - 21-Jun-17 AA 158 818 Apex Capital Securities (Private) Limited Advised - 21-Jun-17 AA 159 91 Intermarket Scurities (Private) Limited Advised - 12-Jun-17 AA 161 1228 Advised Scurities (Private) Limited Warred - 9-Jun-17 AA 162 48 Next Capital Limited Penalty imposed 70.175 9-Jun-17 AA 163 48 Next Capital Limited Penalty imposed - 9-Jun-17 AA 166 88 Fawad Youd Scurities (Private) Limited Warred - 9-Jun-17 AA 166 88 Fawad Youd Scurities (Private) Limited Penalty imposed 62.527 9-Jun-17 AA 166 88 Fawad Youd Scurities (Private) Limited Penalty imposed 62.527 9-J							ACTIVE
157 91 Intermarket Securities (Invited) Advised - 21-Jun-17 DAC 158 188 Apec Capital Securities (Invited) Advised - 21-Jun-17 DAC 159 91 Intermarket Securities (Invited) Advised - 12-Jun-17 DAC 150 153 Royal Securities (Invited) (Imited Advised - 19-Jun-17 DAC 151 228 Al-Hag Securities (Invited) (Imited Warned - 9-Jun-17 DAC 152 448 Next Capital Limited Warned - 9-Jun-17 DAC 154 448 Next Capital Limited Warned - 9-Jun-17 DAC 156 88 Fawad Yuari Securities (Private) Limited Warned - 9-Jun-17 DAC 156 88 Fawad Yuari Securities (Private) Limited Warned - 9-Jun-17 DAC 156 88 Fawad Yuari Securities (Private) Limited Warned - 10-May-17 DAC 150					55 693		ACTIVE
158 188 Apex Capital Securities (Private) Limited Advised - 21-Jun-17 ADA 159 91 Intermarket Securities (Private) Limited Advised - 15-Jun-17 ADA 150 128 Al+dag Securities (Private) Limited Warned - 15-Jun-17 ADA 151 1228 Al+dag Securities (Private) Limited Warned - 15-Jun-17 ADA 152 48 Next Capital Limited Warned - 9-Jun-17 ADA 153 48 Next Capital Limited Warned - 9-Jun-17 ADA 156 88 Favad Young Securities (Private) Limited Warned - 9-Jun-17 ADA 157 88 Favad Young Securities (Private) Limited Warned - 19-Jun-17 ADA 158 88 Favad Young Securities (Private) Limited Warned - 19-Jun-17 ADA 159 57 First Capital Quintes Limited Penalty Imposed 64.04H 9-Jun-17 ADA <td></td> <td></td> <td></td> <td></td> <td>33,063</td> <td></td> <td>ACTIVE</td>					33,063		ACTIVE
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188 Fawad Ysud Securities (Private) Limited Warned - 9-Jun-17 PAC 169 57 First Capital Equities Limited Advised - 10-May-17 AC 170 57 First Capital Equities Limited Advised - 10-May-17 AC 171 57 First Capital Equities Limited Advised - 10-May-17 AC 172 149 IS Global Capital Limited Advised - 10-May-17 AC 173 17 Summit Capital (Private) Limited Advised - 4-May-17 AC 174 184 Prime Securities (Private) Limited Penalty Imposed 71.861 21-Apr-17 AC 175 47 Zillion Capital Securities (Private) Limited Penalty Imposed 50.600 7-Apr-17 AC 176 159 Raf Securities (Private) Limited Penalty Imposed 50.000 7-Apr-17 AC 177 150 Raf Securities (Private) Limited Penalty Imposed 50.000 7-Apr-17 AC <			Fawad Yusuf Securities (Private) Limited	Penalty Imposed			ACTIVE
169 57 First Capital Equities Limited Advised - 10-May-17 AA 170 57 First Capital Equities Limited Advised - 10-May-17 AA 171 57 First Capital Equities Limited Advised - 10-May-17 AC 172 149 JS Giobal Capital Limited Advised - 10-May-17 AC 173 177 May Ta Advised - 10-May-17 AC 174 184 Prime Securities (Private) Limited Benaty Imposed 71.861 21-Apr-17 AC 175 47 Zillon Capital Securities (Private) Limited Penaty Imposed 50.000 7-Apr-17 AC 176 159 Rafi Securities (Private) Limited Warned - 24-Mar-17 AC 177 159 Rafi Securities (Private) Limited Warned - 24-Mar-17 AC 180 129 Taurus Securities Limited Advised - 27-Feb-17 AC					64,041		ACTIVE
170 57 First Capital Equities Limited Advised - 10-May-17 AAC 171 157 First Capital Equities Limited Advised - 10-May-17 AAC 172 149 JS Global Capital Equites Limited Advised - 10-May-17 AAC 173 17 Summit Capital (Private) Limited Atmay 17 AAC 174 184 Prime Securities (Private) Limited Penalty Imposed 71.861 21.Apc.17 AC 175 47 Zillon Capital Securities (Private) Limited Penalty Imposed 55.675 7.Apr.17 AC 176 173 Spectrum Securities (Private) Limited Penalty Imposed 55.000 7.Apr.17 AC 178 173 Spectrum Securities (Private) Limited Warned - 24-Mar.17 AC 180 129 Tarurs Securities Invited Advised - 27-Feb-17 AC 181 129 Tarurs Securities Invited Advised - 27-Feb-17 AC 182 </td <td></td> <td></td> <td></td> <td></td> <td>-</td> <td></td> <td>ACTIVE</td>					-		ACTIVE
171 57 First Capital Equities Limited Advised - 10-May-17 AAC 172 149 JS Global Capital Limited Advised - 10-May-17 AAC 173 17 Summit Capital (Private) Limited Stern Warning - 4-May-17 AAC 174 184 Prime Securities (Private) Limited Penalty Imposed 56,657 7-Apr-17 AAC 175 47 Zillion Capital Securities (Private) Limited Penalty Imposed 56,675 7-Apr-17 AAC 176 159 Rafi Securities (Private) Limited Penalty Imposed 50,000 7-Apr-17 AAC 177 159 Rafi Securities (Private) Limited Penalty Imposed 50,000 7-Apr-17 AAC 178 173 Spectrum Securities (Private) Limited Penalty Imposed 50,000 7-Apr-17 AAC 180 129 Tarux Securities Limited Advised - 27-Feb-17 AC 181 129 Tarux Securities Limited Advised - 27-					-		ACTIVE
172 149 16 Global Capital Lumited Advised - 10-May-17 AAC 173 TS Summit Capital (Private) Limited Stem Warning - 44May-17 AA 174 184 Prime Securities (Private) Limited Penalty Imposed 71,861 21-Apr-17 AA 175 47 Zillion Capital Securities (Private) Limited Penalty Imposed 56,470 7-Apr-17 AA 176 159 Rafi Securities (Private) Limited Penalty Imposed 56,470 7-Apr-17 AA 178 173 Spectrum Securities (Private) Limited Warned - 24-Mar-13 AA 180 129 Taurus Securities Limited Advised - 27-Feb-17 AA 180 129 Taurus Securities Limited Advised - 27-Feb-17 AA 181 129 Taurus Securities Inhited Advised - 27-Feb-17 AA 182 84 (Private) Limited Penalty Imposed 144,755 23-Feb-17 AC <							ACTIVE
173 Summit Capital (Private) Limited Stern Warning - 4-May-17 AAC 174 184 Prine Securities (Private) Limited Penalty Imposed 71.861 21-Apr-17 AC 175 47 Zillion Capital Securities (Private) Limited Penalty Imposed 58.675 7-Apr-17 AC 176 159 Raf Securities (Private) Limited Penalty Imposed 50.675 7-Apr-17 AC 177 159 Raf Securities (Private) Limited Penalty Imposed 50.000 7-Apr-17 AC 178 173 Spectrum Securities (Private) Limited Penalty Imposed 50.000 7-Apr-17 AC 179 124 Invest and Finance Securities Limited Advised - 12-Mar-17 AC 180 129 Tarus Securities Limited Advised - 27-Feb-17 AC 181 129 Tarus Securities Limited Penalty Imposed 144.795 23-Feb-17 AC 182 & Muhammad Munit Muhamad Ahmed Khanari Securities Penalty Imposed 1-23.492							ACTIVE
174 184 Prime Securities (Private) Limited Penalty Imposed 71.861 21.Agr.17 AAC 175 47 Zillon Capital Securities (Private) Limited Penalty Imposed 59.675 7.Agr.17 AA 176 159 Rafi Securities (Private) Limited Penalty Imposed 51.470 7.Agr.17 AA 177 159 Rafi Securities (Private) Limited Penalty Imposed 50.075 7.Agr.17 AC 178 173 Spectrwate) Limited Penalty Imposed 60.000 7.Agr.17 AC 178 173 Spectrwate) Limited Warned - 24.4Mar.13 AC 180 129 Taruts Securities Limited Advised - 27.Feb-17 AC 181 129 Taruts Securities Limited Advised - 27.Feb-17 AC 182 Muhammad Murin Muhamad Almed Khanani Securities Penalty Imposed 142,795 23.Feb-17 AC 183 21 Alfa Adhi Securities (Private) Limited Advised - 22.Feb-17							ACTIVE
175 47 Zillion Capital Securities (Private) Limited Penalty Imposed 59.675 7-Apr-17 AAC 176 159 Rafl Securities (Private) Limited Penalty Imposed 51.470 7-Apr-17 AC 177 159 Rafl Securities (Private) Limited Penalty Imposed 60.000 7-Apr-17 AC 178 173 Spectrum Securities (Private) Limited Penalty Imposed 60.000 7-Apr-17 AC 179 124 Invest and Finance Securities Limited Advised - 24-Mar-12 AC 180 129 Taurus Securities Limited Advised - 27-feb-17 AC 181 129 Taurus Securities Limited Advised - 27-feb-17 AC 182 84 Muhammad Munir Muhammad Ahmed Khanaal Securities Penalty Imposed 144,795 23-feb-17 AC 183 21 Affa Adhi Securities (Private) Limited Penalty Imposed - 22-feb-17 AC 184 100 Eliwi Securities Private) Limited Advised							ACTIVE
176 159 Rafi Securities (Private) Limited Penalty imposed 51/470 7-Apr-17 AAC 177 159 Rafi Securities (Private) Limited Penalty imposed 50,000 7-Apr-17 AAC 178 173 Spectrum Securities (Private) Limited Warned - 24-Mar-17 AC 179 124 Invest and Finance Securities Limited Advised - 10-Mar-17 AC 180 129 Tarurus Securities Limited Advised - 27-Feb-17 AC 181 129 Tarurus Securities Limited Advised - 27-Feb-17 AC 182 Muhammad Munie Muhamad Almed Khanani Securities Penalty Imposed 144,795 23-Feb-17 AC 183 21 Alfa Adhi Securities (Private) Limited Penalty Imposed 1.23.0452 23-Feb-17 AC 184 100 Elixir Securities Limited Advised - 3-Feb-17 AC 185 46 Forture Securities Limited Advised - 3-Feb-17 AC </td <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td>ACTIVE</td>							ACTIVE
177 159 Rafi Securities (Private) Limited Penalty imposed 50.000 7. Apr-17 AC 178 173 Spectrum Securities (Private) Limited Warned - 24 Mar-17 AC 179 124 Invest sufficienties Limited Advised - 10 Mar-17 AC 180 129 Tarus Securities Limited Advised - 10 Mar-17 AC 181 129 Tarus Securities Limited Advised - 27. Feb-17 AC 182 84 Muhammad Aumer Muhammad Ahmed Khanani Securities Penalty imposed 144, 795 23. Feb-17 AC 183 21 Alfa Adh Securities (Private) Limited Penalty imposed 1,20, 452 23. Feb-17 AC 184 100 Elkidr Securities Private) Limited Advised - 22. Feb-17 AC 185 46 Forture Securities Limited Advised - 3. Feb-17 AC 186 438 Fair Edge Securities (Private) Limited Advised - 3. Feb-17							ACTIVE
173 Spectrum Securities (Private) limited Warned - 24-Mar.17 ADC 179 124 Invest and Finance Securities Limited Advised - 10-Mar.17 ADC 180 129 Taruns Securities Limited Advised - 27-Feb-17 ADC 181 129 Taruns Securities Limited Advised - 27-Feb-17 ADC 182 Muhammad Munif MuhamMa Ahmed Khanani Securities Penalty Imposed 144,795 23-Feb-17 ADC 183 21 Afa Adh Securities (Private) Limited Penalty Imposed 120,3452 23-Feb-17 ADC 184 100 Elkir Securities Prakistan (Private) Limited Penalty Imposed 120,3452 23-Feb-17 ADC 185 46 Fortune Securities Umited Advised - 3-Feb-17 ADC 186 438 Fair Edge Securities (Private) Limited Advised - 3-Feb-17 ADC 187 56 Nael Capital (Private) Limited Advised - 3-Feb-17 ADC <							ACTIVE
179 124 Invest and Finance Securities limited Advised - 10-Mar-17 AC 180 129 Tarrus Securities limited Advised - 27-Feb-17 AC 181 129 Tarrus Securities Limited Advised - 27-Feb-17 AC 181 129 Tarrus Securities Limited Advised - 27-Feb-17 AC 182 84 Muhammad Munim Muhammad Ahmed Khanani Securities Penalty Imposed 144,795 23-Feb-17 AC 183 21 Afa Adhi Securities (Private) Limited Penalty Imposed 1.230.452 23-Feb-17 AC 184 100 Elistr Securities Private) Limited Advised - 22-Feb-17 AC 185 46 Forture Securities Invited Advised - 3-Feb-17 AC 186 438 Fair Edge Securities (Private) Limited Advised - 3-Feb-17 AC 187 56 Nael Capital (Private) Limited Advised - 31-Jan-17 AC <					-		ACTIVE
120 Taurus Securities Limited Advised - 27-Feb-17 AA 181 129 Taurus Securities Limited Advised - 27-Feb-17 AA 181 129 Taurus Securities Limited Advised - 27-Feb-17 AA 182 84 Muhammad Munir Muhammad Ahmed Khanari Securities (Private) Limited Penalty Imposed 144,795 23-Feb-17 AA 183 21 Alfa Adh Securities (Private) Limited Penalty Imposed 1,20,452 23-Feb-17 AA 184 100 Elkir Securities Private) Limited Advised - 3-Feb-17 AA 185 46 Forture Securities (Private) Limited Advised - 3-Feb-17 AA 186 438 Fair Edge Securities (Private) Limited Advised - 3-Feb-17 AA 187 56 Nael Capital Frivate) Limited Advised - 3-Feb-17 AA 188 466 UNEX Securities (Private) Limited Advised - 31-Jan-17 AA <td></td> <td></td> <td></td> <td></td> <td>-</td> <td></td> <td>ACTIVE</td>					-		ACTIVE
181 129 Taurus Securities limited Advised - 27-Feb-17 AAC 182 Mubarmad Muiri Muhamad Ahmed Khanani Securities (Private) Limited Penalty Imposed 144,795 23-Feb-17 AAC 183 21 Alfa Advi Securities (Private) Limited Penalty Imposed 142,0452 23-Feb-17 AAC 184 100 Elkin Securities (Private) Limited Advised - 22-Feb-17 AC 185 4.6 Forture Securities United Advised - 22-Feb-17 AC 186 4.3 Fair Edge Securities (Private) Limited Advised - 3-Feb-17 AC 187 5.6 Nael Capital (Private) Limited Advised - 3-Feb-17 AC 188 4.66 UNEX Securities (Private) Limited Advised - 31-Feb-17 AC 199 183 R.T. Securities (Private) Limited Advised - 31-Jan-17 AC 199 191 Satarwal Capital Equities (Private) Limited Advised - 31-Jan-17					-		ACTIVE
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182 04 (private) Limited Penalty imposed 144, tyb 2-3-reb-17 AA 183 21 Alfa Adh Securities (private) Limited Penalty imposed 1.230, 452 23-reb-17 AA 184 100 Elixir Securities Imited Advised - 22-reb-17 AA 184 100 Elixir Securities Imited Advised - 3-reb-17 AA 185 46 Forture Securities Imited Advised - 3-reb-17 AA 186 436 Fair Edge Securities (Private) Limited Advised - 3-reb-17 AA 187 56 Nael Capital (Private) Limited Advised - 3-reb-17 AA 188 466 UNEX Securities (Private) Limited Advised - 31-rb-17 AA 190 103 Salaravala Capital Securities (Private) Limited Advised - 31-an-17 AA 191 297 MSD Capital Equities (Private) Limited Advised - 31-an-17 AA					444		
134 100 Elkir Securites Plakisan (Private lumited Advised - 22-Feb-17 AA 185 46 fortune Securities Umited Advised - 3-Feb-17 AC 186 438 Fair Edge Securities (Private) Limited Advised - 3-Feb-17 AC 187 56 Nael Capital (Private) Limited Advised - 3-Feb-17 AC 188 466 UNEX Securities (Private) Limited Advised - 3-Feb-17 AC 188 466 UNEX Securities (Private) Limited Advised - 3-Feb-17 AC 188 466 UNEX Securities (Private) Limited Advised - 3-Feb-17 AC 189 183 R.T. Securities (Private) Limited Advised - 31-Jan-17 AC 190 10 Sakarwala Capital Securities (Private) Limited Advised - 31-Jan-17 AC 191 297 MSD Capital Equity Modaraba Advised - 31-Jan-17 AC		84		Penaity Imposed	144,795	23-FeD-1/	ACTIVE
184 100 Elkir Securities Pakistan (Private) Limited Advised - 22-Feb-17 AQ 185 46 fortune Securities Limited Advised - 3-Feb-17 AQ 186 438 Fair Édge Securities (Private) Limited Advised - 3-Feb-17 AQ 187 56 Nael Capital (Private) Limited Advised - 3-Feb-17 AQ 188 466 UNEX Securities (Private) Limited Advised - 3-Feb-17 AQ 188 466 UNEX Securities (Private) Limited Advised - 3-Feb-17 AQ 188 466 UNEX Securities (Private) Limited Advised - 3-Feb-17 AQ 189 183 R.T. Securities (Private) Limited Advised - 31-Jan-17 AQ 190 10 Sakarwala Capital Securities (Private) Limited Advised - 31-Jan-17 AQ 191 297 MSD Capital Faculty Modaraba Advised - 31-Jan-17 AQ	183	21	Alfa Adhi Securities (Private) Limited	Penalty Imposed	1,230,452	23-Feb-17	ACTIVE
185 46 Forture Securities Limited Advised - 3-Feb-17 AQ 186 438 Fair Edge Securities (Private) Limited Advised - 3-Feb-17 AQ 187 56 Nael Capital (Private) Limited Advised - 3-Feb-17 AQ 188 466 UNEX Securities (Private) Limited Advised - 3-Feb-17 AQ 189 138 R.T. Securities (Private) Limited Advised - 31-Jan-17 AQ 190 10 Sakarvala Capital Securities (Private) Limited Advised - 31-Jan-17 AQ 191 297 MSD Capital Fquittes (Private) Limited Advised - 31-Jan-17 AQ 192 131 First Equity Modaraba Advised - 31-Jan-17 AQ 193 203 Brain Securities (Private) Limited Advised - 31-Jan-17 AQ 194 10 Sakarvala Capital Securities (Private) Limited Advised - 31-Jan-17 AQ <tr< td=""><td></td><td></td><td></td><td></td><td></td><td></td><td>ACTIVE</td></tr<>							ACTIVE
187 56 Nael Capital (Private) Limited Advised - 3-feb-17 AC 188 466 UNEX Securities (Private) Limited Advised - 3-feb-17 AC 189 138 R.T. Securities (Private) Limited Advised - 31-jan-17 AC 190 10 Sakarwala Capital Securities (Private) Limited Advised - 31-jan-17 AC 191 297 MSD Capital Equities (Private) Limited Advised - 31-jan-17 AC 192 184 First Equity Modaraba Advised - 31-jan-17 AC 192 184 First Equity Modaraba Advised - 31-jan-17 AC 192 194 10 Sakarwala Capital Securities (Private) Limited Advised - 31-jan-17 AC 194 10 Sakarwala Capital Securities Limited Advised - 31-jan-17 AC 195 19 Advised - 31-jan-17 AC					-		ACTIVE
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189 18.T. Securities (Private) Limited Advised - 31-Jan-17 AA 190 10 Sakarwala Capital Securities (Private) Limited Advised - 31-Jan-17 AA 191 297 MSD Capital Equities (Private) Limited Advised - 31-Jan-17 AA 191 297 MSD Capital Equites (Private) Limited Advised - 31-Jan-17 AA 192 181 First Equity Modraba Advised - 31-Jan-17 AC 193 203 Brains Securities (Private) Limited Advised - 31-Jan-17 AC 193 203 Brains Securities (Private) Limited Advised - 31-Jan-17 AC 194 10 Sakarwala Capital Securities (Invite) Limited Advised - 31-Jan-17 AC 195 19 ADS Securities Limited Advised - 31-Jan-17 AC					-		ACTIVE
190 10 Sakarwala Capital Securities (Private) Limited Advised - 31-Jan-17 AC 191 297 MSD Capital Securities (Private) Limited Advised - 31-Jan-17 AC 192 131 First Equity Modaraba Advised - 31-Jan-17 AC 193 203 Brains Securities (Private) Limited Advised - 31-Jan-17 AC 194 10 Sakarwala Capital Securities (Private) Limited Advised - 31-Jan-17 AC 194 19 Advised - 31-Jan-17 AC 195 19 Advised - 31-Jan-17 AC					-		ACTIVE
191 297 MSD Capital Equities (Private) Limited Advised - 31-Jan-17 ACC 192 181 First Equity Modaraba Advised - 31-Jan-17 ACC 193 203 Brains Securities (Private) Limited Advised - 31-Jan-17 ACC 194 10 Sakarwala Capital Securities (Private) Limited Advised - 31-Jan-17 ACC 194 10 Sakarwala Capital Securities (Private) Limited Advised - 31-Jan-17 ACC 195 19 AKD Securities (Private) Limited Advised - 31-Jan-17 ACC					-		ACTIVE
192 181 First Equity Modaraba Advised - 31-Jan-17 AC 193 203 Brains Securities (Private) Limited Advised - 31-Jan-17 AC 194 10 Sakarwala Capital Securities (Private) Limited Advised - 31-Jan-17 AC 195 19 AKD Securities Limited Advised - 31-Jan-17 AC					-		ACTIVE
193 203 Brains Securities (Private) Limited Advised - 31-Jan-17 AAC 194 10 Sakarwala Capital Securities (Imited) Advised - 31-Jan-17 AAC 195 19 AKD Securities Limited Advised - 31-Jan-17 AAC					-		ACTIVE
194 10 Sakarwala Capital Securities (Private) Limited Advised - 31-Jan-17 ACC 195 19 AKD Securities Limited Advised - 31-Jan-17 ACC							ACTIVE
195 19 AKD Securities Limited Advised - 31-Jan-17 AC			Brains Securities (Private) Limited		-		ACTIVE
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							ACTIVE

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement Actions	Current Status
199	166	Topline Securities (Private) Limited	Advised	(If any)	25-Jan-17	ACTIVE
200 201	485 85	Hamza Farhad Securities (Private) Limited Concordia Securities (Private) Limited	Advised Advised	-	25-Jan-17 24-Jan-17	ACTIVE
202	116	Patel Securities (Private) Limited	Penalty Imposed	50,000	19-Jan-17	ACTIVE
203	118	Sunrise Capital (Private) Limited	Penalty Imposed	200,000	17-Jan-17	TRADING TERMINALS SUSPENDED
204	17	Summit Capital (Private) Limited	Advised		3-Jan-17	ACTIVE
205 206	17	Summit Capital (Private) Limited Reliance Securities Limited	Advised Advised	-	3-Jan-17 30-Dec-16	ACTIVE
207	54	Bawa Securities (Private) Limited	Advised		30-Dec-16	ACTIVE
208	12 66	Reliance Securities Limited Iqbal Usman Kodvavi Securities (Private) Limited	Advised Advised		30-Dec-16 28-Dec-16	ACTIVE
210	229	Fairway Securities (Private) Limited	Advised	-	28-Dec-16	ACTIVE
211 212	102	Growth Securities (Private) Limited Ismail Igbal Securities (Pvt.) Limited	Advised Advised	-	26-Dec-16 26-Dec-16	ACTIVE
213	112	Standard Capital Securities (Private) Limited	Advised	-	26-Dec-16	ACTIVE
214 215	45 142	Bhayani Securities (Private) Limited	Advised Advised		22-Dec-16 22-Dec-16	ACTIVE
216	16	Foundation Securities (Private) Limited D.J.M. Securities (Private) Limited	Advised	-	21-Dec-16	ACTIVE ACTIVE
217 218	46 490	Fortune Securities Limited	Advised Advised	-	20-Dec-16 20-Dec-16	ACTIVE ACTIVE
218	224	Baba Equities (Private) Limited K & I Global (Private) Limited	Advised		20-Dec-16	ACTIVE
220	224	K & I Global (Private) Limited	Advised	-	20-Dec-16	ACTIVE
221	348	AMCAP Securities (Private) Limited	Advised		1-Dec-16	TRADING TERMINALS SUSPENDED
222	90	Darson Securities (Private) Limited	Penalty Imposed	50,000	1-Dec-16	ACTIVE
223 224	177 37	Din Capital (Private) Limited HH Misbah Securities (Private) Limited	Penalty Imposed Advised	52,479	1-Dec-16 29-Nov-16	ACTIVE
225	62	WE Financial Services Limited	Advised	-	28-Nov-16	ACTIVE
226	28 72	Ghani Osman Securities (Private) Limited TS Securities (Private) Limited	Advised Penalty Imposed	- 89,701	22-Nov-16 18-Nov-16	ACTIVE
228	6	Sherman Securities (Private) Limited	Penalty Imposed	248,773	14-Nov-16	ACTIVE
229 230	107 53	Seven Star Securities (Private) Limited M H Securities (Private) Limited	Advised Advised		8-Nov-16 4-Nov-16	ACTIVE ACTIVE
231	109	Dalal Securities (Private) Limited	Advised		4-Nov-16	ACTIVE
232 233	410 30	Zahid Latif Khan Securities (Private) Limited Cedar Capital (Private) Limited	Advised Advised	-	4-Nov-16 4-Nov-16	ACTIVE
234	88	Fawad Yusuf Securities (Private) Limited	Advised	-	4-Nov-16	ACTIVE
235 236	68 96	Zafar Securities (Private) Limited MSMANIAR Financials (Private) Limited	Advised Advised		4-Nov-16 4-Nov-16	ACTIVE
237	10	Sakarwala Capital Securities (Private) Limited	Advised	-	27-Oct-16	ACTIVE
238 239	194 194	M.R.A. Securities (Private) Limited	Penalty Imposed	50,486	26-Oct-16 26-Oct-16	ACTIVE
240	194	M.R.A. Securities (Private) Limited M.R.A. Securities (Private) Limited	Penalty Imposed Advised	52,250	26-Oct-16	ACTIVE
241	102 32	Growth Securities (Private) Limited	Advised	-	25-Oct-16 10-Oct-16	ACTIVE ACTIVE
242 243	166	Zafar Moti Capital Securities (Private) Limited Topline Securities (Private) Limited	Penalty Imposed Advised	303,839	10-Oct-16	ACTIVE
244	22	BMA Capital Management Limited	Advised		4-Oct-16	ACTIVE
245 246	442 128	General Investment & Securities (Private) Limited KASB Securities Limited	Advised Advised		4-Oct-16 29-Sep-16	ACTIVE ACTIVE
247	128	KASB Securities Limited	Advised	-	29-Sep-16	ACTIVE
248 249	149 149	JS Global Capital Limited JS Global Capital Limited	Advised Advised	-	29-Sep-16 29-Sep-16	ACTIVE
250	61	Abbasi Securities (Private) Limited	Advised	-	29-Sep-16	ACTIVE
251 252	102 145	Growth Securities (Private) Limited Adam Securities (Private) Limited	Advised Advised	-	28-Sep-16 28-Sep-16	ACTIVE ACTIVE
253	149	JS Global Capital Limited	Advised	-	28-Sep-16	ACTIVE
254 255	194 88	M.R.A. Securities (Private) Limited Fawad Yusuf Securities (Private) Limited	Advised Advised		28-Sep-16 23-Sep-16	ACTIVE ACTIVE
256	128	KASB Securities Limited	Penalty Imposed	64,000	2-Sep-16	ACTIVE
257	118	Sunrise Capital (Private) Limited	Penalty Imposed	164,285	26-Aug-16	TRADING TERMINALS SUSPENDED
258	36	Time Securities (Private) Limited	Warned	-	7-Aug-16	ACTIVE
259 260	212	Horizon Securities Limited BMA Capital Management Limited	Warned Warned	-	4-Aug-16 1-Aug-16	ACTIVE
261	22	BMA Capital Management Limited	Warned	-	1-Aug-16	ACTIVE
262 263	18 482	Ismail Iqbal Securities (Private) Limited New Peak Securities (Private) Limited	Advised Warned		25-Jul-16 25-Jul-16	ACTIVE
264	17	Summit Capital (Private) Limited	Warned		25-Jul-16	ACTIVE
265 266	194 346	M.R.A. Securities (Private) Limited Strongman Securities (Private) Limited	Warned Warned	-	28-Jun-16 28-Jun-16	ACTIVE
267	466	Unex Securities (Private) Limited	Warned		28-Jun-16	ACTIVE
268 269	66 32	Iqbal Usman Kodvavi Securities (Private) Limited Zafar Moti Capital Securities (Private) Limited	Warned Warned		28-Jun-16 25-May-16	ACTIVE
270	102	Growth Securities (Private) Limited	Warned		25-May-16	ACTIVE
271 272	100 347	Elixir Securities Pakistan (Private) Limited Amer Securities Limited	Warned Warned		25-May-16 25-May-16	ACTIVE ACTIVE
273	102	Growth Securities (Private) Limited	Warned Warned		25-May-16	ACTIVE
274	169 485	Pearl Securities Limited	Warned	-	25-May-16	ACTIVE
275 276	485	Hamza Farhad Securities (Private) Limited Intermarket Securities Limited	Warned Warned	-	25-May-16 25-May-16	ACTIVE
277	346 142	Strongman Securities (Private) Limited	Warned	-	25-May-16 25-May-16	ACTIVE
278 279	142 96	Foundation Securities (Private) Limited MSMANIAR Financials (Private) Limited	Warned Warned	-	25-May-16 25-Apr-16	ACTIVE
280	12	Reliance Securities Limited	Warned		25-Apr-16	ACTIVE
281 282	62 112	WE Financial Services Limited Standard Capital Securities (Private) Limited	Warned Warned		22-Apr-16 22-Apr-16	ACTIVE
283	140	M.M. Securities (Private) Limited	Warned		22-Apr-16	ACTIVE
284 285	155 102	B & B Securities (Private) Limited Growth Securities (Private) Limited	Warned Warned	-	22-Apr-16 20-Apr-16	ACTIVE
286	171	Ample Securities (Private) Limited	Warned	-	20-Apr-16	ACTIVE
287 288	177 194	Din Capital (Private) Limited M.R.A. Securities (Private) Limited	Warned Warned		20-Apr-16 20-Apr-16	ACTIVE
289	24	ASDA Securities (Private) Limited	Warned		20-Apr-16	ACTIVE
290 291	6 163	Sherman Securities (Private) Limited Friendly Securities (Private) Limited	Advised Warned	-	31-Mar-16 31-Mar-16	ACTIVE
292	482	New Peak Securities (Private) Limited	Warned		31-Mar-16	ACTIVE
293	256	Progressive Securities (Private) Limited	Warned		30-Mar-16	ACTIVE
294 295	23 229	Khanani Securities (Private) Limited Fairway Securities (Private) Limited	Warned Warned	-	30-Mar-16 30-Mar-16	ACTIVE ACTIVE
296	19	AKD Securities Limited	Warned		30-Mar-16	ACTIVE
297 298	36 55	Time Securities (Private) Limited Shajar Capital Pakistan (Private) Limited	Warned Warned	-	30-Mar-16 30-Mar-16	ACTIVE ACTIVE
299	147	A.I. Securities (Private) Limited	Warned		24-Mar-16	ACTIVE
300 301	145 128	Adam Securities (Private) Limited KASB Securities Limited	Warned		24-Mar-16 24-Mar-16	ACTIVE
302	46	Fortune Securities Limited	Warned		3-Mar-16	ACTIVE
303 304	100 46	Elixir Securities Pakistan (Private) Limited Fortune Securities Limited	Warned Warned		3-Mar-16 3-Mar-16	ACTIVE
305	91	Intermarket Securities Limited	Warned		1-Mar-16	ACTIVE
306	89	Investment Managers Securities (Private) Limited	Warned	-	1-Mar-16	ACTIVE