S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement Actions	Current Status
1	25	Actions tal Vector Securities (Pvt.) Ltd.	en by Audit, Inspection, Default and Arbitrage (AIDA) : Brokerage House was WARNED	elf anvi	22-Oct-19	ACTIVE
3	48 52	Next Capital Limited N.U.A. Securities (Private) Ltd.	Brokerage House was WARNED Brokerage House was WARNED		22-Oct-19 29-Oct-19	ACTIVE ACTIVE
4 5	61 68 77	Abbasi Securities (Private) Ltd. Zafar Securities (Pvt.) Ltd. Best Securities (Private) Ltd.	Brokerage House was ADVISED Brokerage House was PENALIZED and WARNED Brokerage House was PENALIZED and WARNED	Rs. 100,000/- Rs. 20,000/-	29-Oct-19 29-Oct-19 28-Oct-19	ACTIVE ACTIVE ACTIVE
7 8	94 117	BOM Capital Securities (Pvt.)Ltd Fikree's Private Limited	Brokerage House was WARNED Brokerage House was WARNED		24-Oct-19 24-Oct-19	ACTIVE ACTIVE
9	121 148	Salim Sozer Securities (Pvt.) Ltd. Oriental Securities (Private) Ltd	Brokerage House was WARNED Brokerage House was WARNED		28-Oct-19 22-Oct-19	ACTIVE ACTIVE
11	150 162	Askari Securities Ltd. Aba Ali Habib Securities(Pvt.) Ltd.	Brokerage House was ADVISED Brokerage House was WARNED	- :	18-0ct-19 24-0ct-19	ACTIVE ACTIVE
13 14 15	166 173 221	Topline Securities Limited. Spectrum Sec.Ltd. Millennium Brokerage (Pvt.) Limited	Brokerage House was WARNED Brokerage House was WARNED Brokerage House was WARNED		28-Oct-19 21-Oct-19 24-Oct-19	ACTIVE ACTIVE ACTIVE
16 17	224 251	K & I Global Capital (Pvt) Ltd. MND Investment (Pvt) Ltd	Brokerage House was WARNED Brokerage House was WARNED		24-Oct-19 25-Oct-19	ACTIVE ACTIVE
18 19	265 275	Infinite Securities Ltd. Rahat Securities Ltd	Brokerage House was WARNED Brokerage House was WARNED		24-Oct-19 24-Oct-19	ACTIVE ACTIVE
20 21 22	309 311 328	HMC Stocks (Pvt) Ltd. Abbasi & Company (Pvt) Ltd. 128 Securities (Pvt) Ltd	Brokerage House was WARNED Brokerage House was WARNED Brokerage House was ADVISED		25-Oct-19 28-Oct-19 28-Oct-19	ACTIVE ACTIVE ACTIVE
23	330 346	Muhammad Amer Riaz Securities (Pvt) Ltd Strongman Securities (Pvt) Ltd	Brokerage House was WARNED Brokerage House was WARNED		28-Oct-19 22-Oct-19	ACTIVE ACTIVE
25 26	347 350	Amer Securities (Pvt) Ltd Guirez Securities (Pvt) Ltd	Brokerage House was PENALIZED and WARNED Brokerage House was WARNED	Rs.20,000/-	25-Oct-19 21-Oct-19	ACTIVE ACTIVE
27	189	PERVEZ AHMED CAPITAL (PRIVATE) LIMITED	SWITCHING-OFF OF TRADING TERMINALS	-	7-Oct-19	TRADING TERMINALS SUSPENDED
28	62 490	WE Financial Services Limited	Switching-off of trading terminals		11-Sep-19	ACTIVE TRADING TERMINALS
30	490	BABA Equities (Pvt.) Limited Hamza Farhad Securities (Pvt.) Limited	Switching-off of trading terminals Switching-off of trading terminals		16-Sep-19 19-Sep-19	SUSPENDED ACTIVE
31	237	IAK Securities (Private.) Limited	Switching-off of trading terminals	-	16-Jul-19	APPLIED FOR SURRENDER APPLIED FOR
32 33	12 58	Reliance Securities Limited Dawood Equities Limited	Switching-off of trading terminals Switching-off of trading terminals		18-Jun-19 26-Jun-19	SURRENDER ACTIVE
34 35	108 57	Azee Securities Private Limited First Capital Equities Limited	Switching-off of trading terminals Switching-off of trading terminals	-	26-Jun-19 16-May-19	ACTIVE APPLIED FOR
36 37	148 187	First Capital Equities Limited Driental Securities (Private) Limited SAZ Capital Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised	-	27-May-19 30-Apr-19	SURRENDER ACTIVE ACTIVE
38 39	153 56	Creative Capital Securities (Private) Limited Nael Capital (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised	- :	30-Apr-19 30-Apr-19	ACTIVE ACTIVE
40 41 42	199 212 221	Insight Securities (Private) Limited Horizon Securities Limited Millennium Brokerage (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		30-Apr-19 8-May-19	ACTIVE ACTIVE
42 43 44	221 228 275	Millennium erokerage (Private) Limited Al-Haq Securities (Private) Limited Bahat Securities Limited	The Brokerage House was Advised The Brokerage House was Advised The Brokerage House was Advised		8-May-19 8-May-19 8-May-19	ACTIVE ACTIVE ACTIVE
45 46	275 294 311	Nama Securios Simileo Yasir Mahmood Securities (Private) Limited Abbasi & Company (Private) Limited	i ne uroxerage ноuse was Advised The Brokerage House was Advised The Brokerage House was Advised		8-May-19 8-May-19 8-May-19	ACTIVE ACTIVE
47 48	410 438	Zahid Latif Khan Securities (Private) Limited Fair Edge Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		3-May-19 3-May-19	ACTIVE ACTIVE
49 50	478 482	Pasha Securities (Private) Limited New Peak Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised	:	3-May-19 3-May-19	ACTIVE ACTIVE
51 52	523 61	Falki Capital (Private) Limited Abbasi Securities (Pvt) Ltd.	The Brokerage House was Advised The Brokerage House was Warned		3-May-19 30-Apr-19 30-Apr-19	ACTIVE ACTIVE
53 54 55	88 16 107	Fawad Yusuf Securities (Private) Limited DJM Securities (Private) Limited Seven Star Securities (Private) Limited	The Brokerage House was PENALIZED and WARNED The Brokerage House was Warned The Brokerage House was Warned	Rs.50,000/-	30-Apr-19 24-Apr-19 18-Apr-19	ACTIVE ACTIVE ACTIVE
56 57	481 204	Reaz Ahmed Securities (Private) Limited A.N Equities (Pvt) Ltd	The Brokerage House was Warned The Brokerage House was PENALIZED and WARNED	Rs.50,000/-	18-Apr-19 16-Apr-19	ACTIVE ACTIVE
58	490	Baba Equities (Pvt) Limited.	The Brokerage House was Warned		15-Apr-19	TRADING TERMINALS SUSPENDED
59 60	339 158	Batos Equities (PV.) Littl. Royal Securities (Pv.) Littl. Royal Securities (Pv.) Littl.	The Brokerage House was Warned The Brokerage House was Warned		8-Apr-19 8-Apr-19	ACTIVE ACTIVE
61 62	523 55	Falki Capital Private Limited Shajar Capital Pakistan Private Limited	The Brokerage House was Warned The Brokerage House was Warned		5-Apr-19 3-Apr-19	ACTIVE ACTIVE
63 64 65	221 266 120	Millennium Brokerage (Private)Emited Shaffi Securities (Pvt) Ltd Alfalah Securities (Private) Limited	The Brokerage House was PENALIZED and WARNED The Brokerage House was Warned The Brokerage House was Warned	Rs.691,500/-	3-Apr-19 2-Apr-19 2-Apr-19	ACTIVE ACTIVE ACTIVE
66	140 150	Journal Securities (Private) Limited M.M. Securities (Private) Limited Askari Securities Limited	The Brokerage House was Warned The Brokerage House was Warned		2-Apr-19 2-Apr-19	ACTIVE ACTIVE
68 69	466 223	Unex Securities (Private) Limited Maan Securities (Pvt.) Limited	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	2-Apr-19 27-Mar-19	ACTIVE ACTIVE
70 71	42 10	ICON Capital Management (Pvt) Ltd. Sakarwala Capital Sec.(Pvt.) Ltd	The Brokerage House was WARNED The Brokerage House was WARNED		27-Mar-19 27-Mar-19	ACTIVE ACTIVE
72 73 74	100 176 102	Elixir Securities Pak. (Pvt.) Ltd. Muhammad Salim Kasmani Securities (Private) Elmited Growth Securities (Pvt.) Limited	The Brokerage House was Advised The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed	Rs.50,000/- Rs.20,000/-	20-Mar-19 18-Mar-19 18-Mar-19	ACTIVE ACTIVE ACTIVE
75 76	91 284	Intermarker visualisation of the Control of the Con	The Brokerage House was WARNED The Brokerage House was WARNED The Brokerage House was WARNED	Rs. 533,500/-	18-Mar-19 1-Mar-19	ACTIVE ACTIVE
77 78	229 267	Fairway Securities Private Limited Bismillah Securities (Pvt.) Limited	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was WARNED	Rs. 995,000/-	1-Mar-19 1-Mar-19	ACTIVE ACTIVE
79 80 81	179 46 297	Continental Capital Management (Fvt.) Limited Fortune Securities Limited	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Advised	Rs. 20,000/-	1-Mar-19 26-Feb-19 26-Feb-19	ACTIVE ACTIVE ACTIVE
81 82 83	297 28 143	MSD Capital Equities (Pvt) Ltd. Ghani Osman Securities (Pvt.) Ltd. Saao Capital (Private) Ltd.	The Brokerage House was WARNED The Brokerage House was WARNED The Brokerage House was WARNED		20-Feb-19 20-Feb-19 20-Feb-19	ACTIVE ACTIVE
84	517	South Asian Securities (Pvt.) Ltd.	Switching-off of trading terminals		18-Feb-19	SURRENDERED / RELINQUISHED
85 86 87	224 275 332	K & I Global Capital (Private.) Limited. Rahat Securities Limited Trust Securities & Brokerage Limited.	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned		22-Jan-19 22-Jan-19 22-Jan-19	ACTIVE ACTIVE ACTIVE
88 89	337 290	Tross securities as allowerage crimined. A B M Securities (Private) Limited K.H.S. Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned Suspension of Trading Terminals	- :	22-Jan-19 22-Jan-19 16-Jan-19	ACTIVE ACTIVE
90	309 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/-	16-Jan-19 14-Jan-19	ACTIVE APPLIED FOR
92	239	Ayub Chaudhry Investments (Private) Limited.	The Brokerage House was Warned		14-Dec-18	SURRENDER ACTIVE APPLIED FOR
93	261	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	SURRENDER ACTIVE
95 96	420	Progressive Inves. Management (Private) Limited. JSK Securities Limited	The Brokerage House was Warned The Brokerage House was Warned		14-Dec-18 14-Dec-18	ACTIVE Voluntary Trading
97	256	Progressive Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/-	13-Dec-18	Terminal Suspended ACTIVE
98 99	297 36	MSD Capital Equities (Private) Limited. Time Securities (Private.) Limited. Saao Capital (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned The Brokerage House was Warned	Rs:80,000/-	13-Dec-18 12-Dec-18	ACTIVE ACTIVE
100	143 211	Share Center (Private) Limited	The Brokerage House was Warned		10-Dec-18 10-Dec-18	ACTIVE SURRENDERED / RELINQUISHED
102	294 350	Yasir Mahmood Securities (Private) Limited Gulrez Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	10-Dec-18 10-Dec-18	ACTIVE ACTIVE
104 105 106	28 35 62	Ghani Osman Securities (Private.) Limited. Surmawala Securities (Private) Limited. WE Financial Services Limited.	The Brokerage House was Warmed The Brokerage House was Warmed The Brokerage House was Warmed and Financial Penalty was Imposed	Rs.140,000/-	7-Dec-18 6-Dec-18 22-Nov-18	ACTIVE ACTIVE ACTIVE
106 107 108	62 124 191	EFG Hermes Pakistan Limited Market 786 (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs.140,000/- Rs.40,000/-	22-Nov-18 22-Nov-18 22-Nov-18	ACTIVE ACTIVE ACTIVE
109	432	Spinzer Equities(Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.115,845/-	19-Nov-18	ACTIVE TRADING TERMINALS
110	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	SUSPENDED ACTIVE
112 113	48 181	Next Capital Limited First Equity Modaraba	The Brokerage House was Warned The Brokerage House was Warned		14-Nov-18 9-Nov-18	ACTIVE ACTIVE
114 115	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 ACTIVE
116 117 118	8 145 186	Optimus Capital Management (Private.) Limited. Adam Securities Limited. Muhammed Tariq Moti Sec. (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/- Rs. 20,000/-	1-Nov-18 1-Nov-18 1-Nov-18	ACTIVE ACTIVE ACTIVE
119 120	194 24	Munammed Lang Mot Sec. (Private.) Limited. MRA Securities (United.) ASDA Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 120,000/- Rs. 60,000/-	1-Nov-18 1-Nov-18 25-Oct-18	ACTIVE ACTIVE ACTIVE
121 122	77 121	Best Securities (Private) Limited. Salim Sozer Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed Switching-off of trading terminals	Rs.40,000/-	25-Oct-18 17-Oct-18	ACTIVE ACTIVE
123 124	98 166	Fairtrade Capital Securities (Private.) Limited. Topline Securities Limited.	The Brokerage House was Warned The Brokerage House was Warned		10-Oct-18 10-Oct-18	ACTIVE ACTIVE
125 126	57 46	First Capital Equities Limited. Fortune Securities Limited	Switching off of trading terminals The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	9-Oct-18 25-Sep-18	APPLIED FOR SURRENDER ACTIVE
127 128	183 6	R.T. Securities (Private.) Limited. Sherman Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned		25-Sep-18 18-Sep-18	ACTIVE ACTIVE
		Apex Capital Sec. (Private.) Limited.	Switching-off of trading terminals		18-Sep-18	ACTIVE
129	188 236	Techno Fundamental Securities (Private) Limited	The Brokerage House was Warned		18-Sep-18	NOTICE FOR SURRENDER

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement Actions	Current Status
131 132	292 297	INA Securities (Private) Limited MSD Capital Equities (Private) Limited.	Switching-off of trading terminals		18-Sep-18 18-Sep-18	ACTIVE
132 133 134	444 475	MSD Capital Equities (Private) Limited. Xpert Securities (Private) Limited. CAMCO (Private) Limited	Switching-off of trading terminals Switching-off of trading terminals		18-Sep-18	ACTIVE ACTIVE
134 135	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 ACTIVE
136	420	Progressive Inves. Management (Private) Limited.	Restriction on opening of New Clients Account and Sale Side		14-Sep-18	ACTIVE
137	348	AMCAP Securities (Private) Limited	Suspension of Trading Terminals		10-Sep-18	TRADING TERMINALS SUSPENDED
138	116	Patel Securities (Private.) Limited.	The Brokerage House was Warned		10-Sep-18	ACTIVE
139 140	212 309	Horizon Securities Limited. HMC Stocks (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned		3-Sep-18 3-Sep-18	ACTIVE ACTIVE
141	438 231	Fair Edge Securities(Private) Limited Saima Qaiser Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed Switching-off of trading terminals	Rs.100,000/-	3-Sep-18 16-Aug-18	ACTIVE ACTIVE
143	288	Javed Iqbal Securities (Private) Limited	The Brokerage House was Warned	- :	13-Aug-18	ACTIVE
145	346 54	Strongman Securities (Private) Limited Bawa Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.150,000/-	13-Aug-18	ACTIVE ACTIVE
146	234	Value Stock and Commodities (Private) Limited.	The Brokerage House was Warned		8-Aug-18 31-Jul-18	ACTIVE
147 148 149	228 251	Al-Haq Securities (Private.) Limited. MND investment (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned		27-Jul-18 27-Jul-18	ACTIVE ACTIVE
149 150	265 290	Infinite Securities Limited. K.H.S. Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned		27-Jul-18 27-Jul-18	ACTIVE
151	6	Sherman Securities (Private.) Limited.	The Brokerage House was Advised		20-Jul-18	ACTIVE ACTIVE
152 153	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 ACTIVE
154 155	410	Zahid Latif Khan Securities (Private.) Limited. General Investment & Sec	The Brokerage House was Warned		20-Jul-18 20-Jul-18	ACTIVE
156	478	Pasha Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned		20-Jul-18	ACTIVE ACTIVE
157 158	485 491	Hamza Farhad Securities (Private) Limited. First Street Capital (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned		20-Jul-18 20-Jul-18	ACTIVE ACTIVE
159 160	44	In a Area Caparities Limited Progressive Inves. Management (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 150,000/- Rs. 170,000/-	13-Jul-18	ACTIVE
160	420 98	Progressive Inves. Management (Private) Limited. Fairtrade Capital 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 New	Rs. 170,000/- Rs. 300.000/-	13-Jul-18 22-Jun-18	ACTIVE
161	98 112	Fairtrade Capital Securities (Private.) Limited. Standard Capital Securities (Private.) Limited.	Clients' Account was Imposed The Brokerage House was Advised	NS.300,000/-	22-Jun-18 22-Jun-18	ACTIVE ACTIVE
163	19	AKD Securities Limited.	The Brokerage House was Advised		20-Jun-18	ACTIVE
164 165	44 50	IGI Finex Securities Limited Arif Habib Limited.	The Brokerage House was Advised The Brokerage House was Advised	- :	20-Jun-18 20-Jun-18	ACTIVE ACTIVE
166 167	129	Taurus Securities Limited	The Brokerage House was Advised		20-Jun-18	ACTIVE
167	150 284	Askari Securities Limited. ASA Stocks (Private) Limited.	The Brokerage House was Advised Switching-off of trading terminals		20-Jun-18 20-Jun-18	ACTIVE ACTIVE
169	508	KP Securities (Private) Limited	Switching-off of trading terminals		20-Jun-18	TRADING TERMINALS
			Successing on the change deliminary			SUSPENDED
170	348	AMCAP Securities (Private) Limited	Switching-off of trading terminals		19-Jun-18	TRADING TERMINALS SUSPENDED
171	63	AL Habib Capital Markets (Private.) Limited.	The Brokerage House was Advised		14-Jun-18	ACTIVE
172 173	116 132	Patel Securities (Private.) Limited. Eleven Stars Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	- :	12-Jun-18 12-Jun-18	ACTIVE ACTIVE
174	457	AAA Securities (Private) Limited	The Brokerage House was Warned		7-Jun-18	ACTIVE
175 176	491 68	First Street Capital (Private) Limited. Zafar Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Advised		7-Jun-18 31-May-18	ACTIVE ACTIVE
177 178	254 275	ShajarPak Securities (Private) Limited	The Brokerage House was Advised		31-May-18 31-May-18	ACTIVE
179	275	Rahat Securities Limited BMA Capital Management Limited	The Brokerage House was Advised The Brokerage House was Advised	-	24-May-18	ACTIVE ACTIVE
180 181	22 48 88	Next Capital Limited Fawad Yusuf Securities (Private) Limited.	The Brokerage House was Advised The Brokerage House was Advised The Brokerage House was Advised		24-May-18 24-May-18	ACTIVE ACTIVE ACTIVE
182	91	Intermarket Securities Limited.	The Brokerage House was Advised	- :	24-May-18	ACTIVE
183 184	128 124	BIPL Securities Limited. EFG Hermes Pakistan Limited	The Brokerage House was Advised The Brokerage House was Advised		14-May-18 11-May-18	ACTIVE ACTIVE
185	266	Shaffi Securities (Private) Limited	Switching-off of trading terminals		16-Mar-18	ACTIVE
186	241	F.M. Securities (Private) Limited	The Brokerage House was Warned and Penalized and Restriction On Opening of New Clients' Account was Imposed	Rs.1,000,000/-	9-Mar-18	TRADING TERMINALS SUSPENDED
187	328	128 Securities (Private) Limited	The Brokerage House was Warned and Penalized and Restriction On Opening of New	Rs.1.000.000/-	1-Mar-18	ACTIVE
_			Clients' Account was Imposed			TRADING TERMINALS
188	423	Millennium Securities & Investments	The Brokerage House was Warned		23-Feb-18	SUSPENDED
189	63	AL Habib Capital Markets (Private.) Limited.	The Brokerage House was Warned		21-Feb-18	ACTIVE APPLIED FOR
190	57	First Capital Equities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.170,000/-	20-Feb-18	SURRENDER
191 192	188 311	Apex Capital Sec. (Private.) Limited. Abbasi & Company (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned		16-Feb-18 30-Jan-18	ACTIVE ACTIVE
193	72 444	TS Securities (Private) Limited. Xpert Securities (Private) Limited.	The Brokerage House was Warned Restriction on Trading in Clients' Account		29-Dec-17 20-Dec-17	ACTIVE ACTIVE
195	30	Cedar Capital Private Limited.	The Brokerage House was Warned		18-Dec-17	ACTIVE
196	281	Shaukat Shafi Securities (Private) Limited	Suspension of Trading Terminals		12-Dec-17	TRADING TERMINALS SUSPENDED (Under S
197	300	AM Chaudhary Securities (Private) Limited	Suspension of Trading Terminals		12-Dec-17	ACTIVE ACTIVE
198	155	B & B Securities (Private.) Limited.	The Brokerage House was Warned		11-Dec-17	ACTIVE
199	349	A.S. Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/-	11-Dec-17	TRADING TERMINALS SUSPENDED
200	55	Shajar Capital Pakistan (Private.) Limited	The Brokerage House was Warned		7-Dec-17	ACTIVE
201 202	63 96	AL Habib Capital Markets (Private.) Limited. MSMANIAR FINANCIALS (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	7-Dec-17 7-Dec-17	ACTIVE ACTIVE
203	221	Millennium Brokerage (Private.) Limited	The Brokerage House was Warned	- :	7-Dec-17	ACTIVE
204 205	254 268	ShajarPak Securities (Private) Limited Sethi Securities Private Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	7-Dec-17 7-Dec-17	ACTIVE ACTIVE
206	282	Salman Majeed Securities (Private.) Limited.	The Brokerage House was Warned		7-Dec-17	ACTIVE
207 208	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 ACTIVE
209	331	MoneyLine Securities (Private) Limited	The Brokerage House was Warned	-	7-Dec-17	ACTIVE
210	423	Millennium Securities & Investments	The Brokerage House was Warned		7-Dec-17	TRADING TERMINALS SUSPENDED
						TRADING TERMINALS
211	508	KP Securities (Private) Limited	The Brokerage House was Warned	-	7-Dec-17	SUSPENDED
212 213	7 11	Amanah Investments Limited. ACM Global (Private) Limited.	The Brokerage House was Advised The Brokerage House was Advised		5-Dec-17 5-Dec-17	ACTIVE ACTIVE
214	25 49	Vector Securities (Private.) Limited.	The Brokerage House was Advised		5-Dec-17	ACTIVE
215 216	49 94	Multiline Securities (Private.) Limited. FDM Capital Securities (Private.) Limited	The Brokerage House was Advised The Brokerage House was Advised	-	5-Dec-17 5-Dec-17	ACTIVE ACTIVE
217	131	GMI Capital Securities (Private.) Limited.	The Brokerage House was Warned		5-Dec-17	ACTIVE
218 219	144 45	Dattoo Securities (Private) Limited. Bhayani Securities (Private) Limited.	The Brokerage House was Advised The Brokerage House was Warned	-	5-Dec-17 30-Nov-17	ACTIVE ACTIVE
220	90	Darson Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.625,000/-	30-Nov-17 30-Nov-17	ACTIVE
221 222	135 107	Y.H. Securities (Private) Limited. Seven Star Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned		29-Nov-17	ACTIVE ACTIVE
223	188	Apex Capital Sec. (Private.) Limited. Din Canital Limited	The Brokerage House was Warned		29-Nov-17	ACTIVE APPLIED FOR
		Din Capital Limited.	Suspension of Trading Terminals		17-Nov-17	SURRENDER
225	497	JSK Securities Limited	The Brokerage House was Warned		16-Nov-17	Voluntary Trading Terminal Suspended
226	142	Foundation Securities (Private.) Limited.	The Brokerage House was Warned		14-Nov-17	ACTIVE
227 228	37 22	HH Misbah Securities (Private.) Limited. BMA Capital Management Limited	The Brokerage House was Warned The Brokerage House was Warned	-	13-Nov-17 10-Nov-17	ACTIVE ACTIVE
229	129	Taurus Securities Limited	The Brokerage House was Warned		10-Nov-17	ACTIVE
230	52	N.U.A. Securities (Private) Limited.	The Brokerage House was Warned		8-Nov-17	ACTIVE

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement Actions	Current Status
231 232	162 183	Aba Ali Habib Securities(Private.) Limited. R.T. Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	(If any)	8-Nov-17 8-Nov-17	ACTIVE ACTIVE
233 234	265 288	Infinite Securities Limited. Javed ligbal Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	- :	8-Nov-17 8-Nov-17	ACTIVE ACTIVE
235 236	432 177	Spinzer Equities(Private) Limited Din Capital Limited.	The Brokerage House was Warned The Brokerage House was Warned 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/-	8-Nov-17 3-Nov-17	ACTIVE APPLIED FOR SURRENDER
237	281	Shaukat Shafi Securities (Private) Limited	Switching-off of trading terminals		1-Nov-17	TRADING TERMINALS SUSPENDED (Under S
238 239	290 108	K.H.S. Securities (Private) Limited Azee Securities (Private.) Limited.	Switching-off of trading terminals The Brokerage House was Warned and Financial Penalty was Imposed	Rs.450,000/-	30-Oct-17 25-Oct-17	ACTIVE ACTIVE
240	158	Royal Securities (Private.) Limited.	The Brokerage House was Warned		19-Oct-17	ACTIVE TRADING TERMINALS
241	348 329	AMCAP Securities (Private) Limited S.D. Mirza Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.25,000/- Rs.20,000/-	19-Oct-17 5-Oct-17	SUSPENDED ACTIVE
243	300	AM Chaudhary Securities (Private) Limited	Switching-off of trading terminals		20-Sep-17	ACTIVE TRADING TERMINALS
244	513 98	CMA Securities (Private) Limited. Fairtrade Capital Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned		6-Sep-17 5-Sep-17	SUSPENDED ACTIVE
246 247	6 61	Sherman Securities (Private.) Limited. Abbasi Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	- :	30-Aug-17 23-Aug-17	ACTIVE ACTIVE
248 249	140 38	M. M. Securities (Private.) Limited. A.H.M. Securities (Private.) Limited.	The Brokerage House was Advised The Brokerage House was Warned		23-Aug-17 18-Aug-17	ACTIVE ACTIVE
250 251 252	51 89 199	H. P. Byramji & Co. (Private.) Limited. Investment Managers Sec. (Private.) Limited. Insight Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Advised		18-Aug-17 18-Aug-17 18-Aug-17	ACTIVE ACTIVE ACTIVE
253 254	148 328	Oriental Securities (Private) Limited 128 Securities (Private) Limited	The Brokerage House was Advised Switching-off of trading terminals		11-Aug-17 3-Aug-17	ACTIVE ACTIVE
255 256	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 New	Rs.20,000/- Rs.460,000/-	31-Jul-17 21-Jul-17	ACTIVE TRADING TERMINALS
257	116	Patel Securities (Private.) Limited.	Clients' Account was Continued The Brokerage House was Warned	RS.480,000)-	10-Jul-17	SUSPENDED
258 259	191 256	Market 786 (Private) Limited. Progressive Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs.250,000/-	10-Jul-17 10-Jul-17	ACTIVE ACTIVE
260 261 262	6 24 42	Sherman Securities (Private.) Limited. ASDA Securities (Private.) Limited. Icon Capital Management (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned		5-Jul-17 5-Jul-17 5-Jul-17	ACTIVE ACTIVE ACTIVE
263 264	56 61	Nacl Capital (Private), Limited. Abbas Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned		5-Jul-17 5-Jul-17	ACTIVE ACTIVE
265 266	79 92	Irfan Mazhar Securities (Private.)Limited Memon Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned		5-Jul-17 5-Jul-17	ACTIVE ACTIVE
267 268	120 144	Alfalah Securities (Private.) Limited. Dattoo Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	5-Jul-17 5-Jul-17	ACTIVE ACTIVE
269 270	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 APPLIED FOR SURRENDER
271 272	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 ACTIVE
273 274 275	108 112	Azee Securities (Private.) Limited. Standard Capital Securities (Private.) Limited. Sherman Securities (Private.) Limited.	Suspension of Trading Terminals The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.10,000/-	22-Jun-17 20-Jun-17 15-Jun-17	ACTIVE ACTIVE ACTIVE
276	490	Baba Equities (Private) Limited.	The Brokerage House was warned The Brokerage House was Warned		15-Jun-17	TRADING TERMINALS SUSPENDED
277	513	CMA Securities (Private) Limited.	The Brokerage House was Warned	-	15-Jun-17	TRADING TERMINALS
278	61	Abbasi Securities (Private) Limited.	The Brokerage House was Warned		12-Jun-17	SUSPENDED ACTIVE
279 280 281	126 163 308	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
282	350 481	Sulrez Securities (Private) Limited Riaz Ahmed Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned		12-Jun-17 12-Jun-17	ACTIVE ACTIVE
284 285	523 442	Fallki Capital Private Limited General Investment & Sec	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/-	12-Jun-17 9-Jun-17	ACTIVE ACTIVE
286 287 288	89 147 38	Investment Managers Sec. (Private.) Limited. A. I. Securities (Private) Limited. A. I. M. Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.30,000/-	8-Jun-17 8-Jun-17 7-Jun-17	ACTIVE ACTIVE ACTIVE
289 290	140 199	A.H.M.Securities (Private.) Limited. M. M. Securities (Private.) Limited. Insight Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned	- :	7-Jun-17 7-Jun-17 7-Jun-17	ACTIVE ACTIVE
291 292	51 58	H. P. Byramji & Co. (Private.) Limited. Dawood Equities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed Suspension of Trading Terminals	Rs.30,000/-	5-Jun-17 5-Jun-17	ACTIVE ACTIVE
293 294	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 ACTIVE
295 296	420 102	Progressive Inves. Management (Private) Limited. Growth Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/- Rs.50,000/-	2-Jun-17 31-May-17	ACTIVE ACTIVE
297	490	Baba Equities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	31-May-17	TRADING TERMINALS SUSPENDED
298 299	234 14	Value Stock and Commodities (Private) Limited. Merchant Investments (Private.) Limited.	The Brokerage House was Warmed and Penalized and Restriction On Opening of New Clients' Account was Imposed The Brokerage House was Warmed	Rs.500,000/-	30-May-17 29-May-17	ACTIVE ACTIVE
300	31	Ashfaq Ashraf Securities (Private.) Limited.	Switching-off of trading terminals	-	29-May-17	APPLIED FOR SURRENDER
301	59	H. H. K. Securities (Private) Limited.	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED (Under S
302	60	R. A Securities (Private.) Limited.	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED (Under S
303	86	Fort Securities (Private) Limited.	Switching-off of trading terminals		29-May-17	TRADING TERMINALS SUSPENDED (Under S
304	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(Under S TRADING TERMINALS
306	111	S M Securities (Private.) Limited.	Switching-off of trading terminals		29-May-17	SUSPENDED(Under S
307 308	123 164	MAS Capital Sec. (Private.) Limited.	Switching-off of trading terminals		29-May-17 29-May-17	TRADING TERMINALS SUSPENDED (Under S
308	164	Interactive Securities (Private.) Limited. Motivala Securities (Private.) Limited.	Switching-off of trading terminals Switching-off of trading terminals		29-May-17 29-May-17	ACTIVE TRADING TERMINALS SUSPENDED(Under S
310	203	Brains Securities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.80,000/-	29-May-17	ACTIVE
311	220	Z M Capital (Private.) Limited.	Switching-off of trading terminals		29-May-17	TRADING TERMINALS SUSPENDED (Under S
312 313	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 NOTICE FOR SURRENDER
314	299	Allied Securities (Private) Limited	Switching-off of trading terminals		29-May-17	TRADING TERMINALS SUSPENDED (Under S
315	319	Sher Capital Equities (Private) Limited.	Switching-off of trading terminals		29-May-17	TRADING TERMINALS SUSPENDED/Under S
316	324	Union Securities (Private) Limited	Switching-off of trading terminals		29-May-17	TRADING TERMINALS
		BMS Capital (Private) Limited.				SUSPENDED(Under S TRADING TERMINALS
317	333		Switching-off of trading terminals	•	29-May-17	SUSPENDED(Under S TRADING TERMINALS
318	441	S.A. Securities (Private) Limited.	Switching-off of trading terminals	•	29-May-17	SUSPENDED(Under S
319	455	Prime Capital Management (Private) Limited	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED (Under S
320	500	Chippa Securities (Private) Limited.	Switching-off of trading terminals		29-May-17	TRADING TERMINALS SUSPENDED (Under S
321 322	501 510	Ahsam Securities (Private) Limited. JCR Capital Securities (Private) Limited	Switching-off of trading terminals Switching-off of trading terminals		29-May-17 29-May-17	ACTIVE TRADING TERMINALS
322	510	JCR Capital Securities (Private) Limited South Asian Securities (Private) Limited.	Switching-off of trading terminals Switching-off of trading terminals		29-May-17 29-May-17	SUSPENDED(Under S SURRENDERED /
324 325	148 286	South Asian Securities (Private) Limited Oriental Securities (Private) Limited Dosslani's Securities (Private) Limited	Switching-off or trading terminals The Brokerage House was Warned The Brokerage House was Warned and Financial Penality was Imposed	Rs.40,000/-	26-May-17 26-May-17 26-May-17	ACTIVE ACTIVE
326 327	275 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 15-May-17	ACTIVE ACTIVE
328 329	28 90	Ghani Osman Securities (Pvt.) Ltd. Darson Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.75,000/- Rs.50,000/-	15-May-17 26-Apr-17	ACTIVE ACTIVE
330	297	MSD Capital Equities (Private) Limited.	Suspension of Trading Terminals	_ · _	26-Apr-17	ACTIVE

				Amount of	Date of Enforcement	
S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Penalty (# 2004)	Actions	Current Status
331	107	Seven Star Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	20-Apr-17	ACTIVE
332	134	Q. Ain Khanani Securities (Private.) Limited.	The Brokerage House was Warned		20-Apr-17	ACTIVE
333	175	First National Equities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.370,000/-	13-Apr-17	ACTIVE
334	323	Adeel & Nadeem Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 60,000/-	13-Apr-17	ACTIVE
335 336	491 442	First Street Capital (Private) Limited.	The Brokerage House was Warned	Rs.75,000/-	13-Apr-17	ACTIVE
336	442	General Investment & Sec	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.75,000/-	12-Apr-17	ACTIVE
337	348	AMCAP Securities (Private) Limited	Suspension of Trading Terminals		5-Apr-17	TRADING TERMINALS SUSPENDED
338	85	Concordia Securities (Private) Limited.	The Brokerage House was Warned		13-Mar-17	ACTIVE
339	12	Reliance Securities Limited.	Suspension of Trading Terminals		8-Mar-17	APPLIED FOR
340	299	Allied Securities (Private) Limited	Suspension of Trading Terminals		8-Mar-17	SURRENDER TRADING TERMINALS
341	510	JCR Capital Securities (Private) Limited	· · · · ·		8-Mar-17	SUSPENDED(Under S TRADING TERMINALS
341	145		Suspension of Trading Terminals	•	8-Mar-17 3-Mar-17	SUSPENDED(Under S
343	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	ACTIVE ACTIVE
344	91	Intermarket Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/-	28-Feb-17	ACTIVE
345	117	Fikree's Private Limited	The Brokerage House was Warned		28-Feb-17	ACTIVE
346	36	Time Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	22-Feb-17	ACTIVE
347	63	Al. Habib Capital Markets (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	22-Feb-17	ACTIVE
348	120	Alfalah Securities (Private.) Limited.	The Brokerage House was Warned		22-Feb-17	ACTIVE
349	150	Askari Securities Limited.	The Exchange vide its Enforcement Order upheld The original decisions i.e. penalty of Rs.10.000/-was imposed	Rs.10,000/-	20-Feb-17	ACTIVE
350	212	Horizon Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	20-Feb-17	ACTIVE
351	10	Sakarwala Capital Sec.(Private.) Limited	The Brokerage House was Warned		17-Feb-17	ACTIVE
352	12	Reliance Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	17-Feb-17	APPLIED FOR SURRENDER
353	128	BIPL Securities Limited.	The Brokerage House was Warned		6-Feb-17	ACTIVE
354	84	M. Munir Khanani Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	31-Jan-17	ACTIVE
355 356	102	Growth Securities (Private.) Limited.	The Brokerage House was Warned		31-Jan-17	ACTIVE
356 357	68 84	Zafar Securities (Private.) Limited. M. Munir Khanani Securities (Private.) Limited.	Restriction On Buy Side Transactions	Rs 10 000/s	30-Jan-17 19-Jan-17	ACTIVE ACTIVE
357	84 62	M. Munir Khanani securities (Private.) Limited. WE Financial Services Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Advised	Rs.10,000/-	19-Jan-17 18-Jan-17	ACTIVE ACTIVE
359	27	Habib Metropolitan Financial Services Lt	The Brokerage House was Advised The Brokerage House was Warned	-	9-Jan-17	ACTIVE
332		THEOD MED OPPOSITE THE TOTAL SERVICES SE	THE DEVICE AND VALUE		3-3811-27	
360	299	Allied Securities (Private) Limited	Suspension of Trading Terminals		2-Jan-17	TRADING TERMINALS SUSPENDED (Under S
361	300	AM Chaudhary Securities (Private) Limited	Suspension of Trading Terminals	-	2-Jan-17	ACTIVE
362	441	S.A Securities (Private) Limited.	Suspension of Trading Terminals	-	2-Jan-17	TRADING TERMINALS SUSPENDED (Under S
363	194	MRA Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.25,000/-	26-Dec-16	ACTIVE
364 365	32 330	Zafar Moti Capital Sec. (Private.) Limited Muhammad Amer Riaz Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	22-Dec-16	ACTIVE
365	330 90	Muhammad Amer Riaz Securities (Private) Limited Darson Securities (Private.) Limited.	The Brokerage House was Warned	Rs.50000/-	22-Dec-16 15-Dec-16	ACTIVE ACTIVE
36b 367	95	Darson Securities (Private) Limited. SNM Securities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50.000/-	9-Dec-16	TRADING TERMINALS SUSPENDED
	117	Fiknee's Private Limited	The Brokersee House was Warned		9.Dec.16	
368 369	117 420	Fikree's Private Limited Progressive Inves. Management (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned		9-Dec-16 7-Dec-16	ACTIVE ACTIVE
368		Fikree's Private Limited Progressive Inves. Management (Private) Limited. F.M. Scourities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned			ACTIVE
368 369 370	420	Progressive Inves. Management (Private) Limited. F.M. Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned		7-Dec-16 6-Dec-16	ACTIVE ACTIVE TRADING TERMINALS SUSPENDED
368 369	420	Progressive Inves. Management (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs.150,000/-	7-Dec-16	ACTIVE ACTIVE TRADING TERMINALS
368 369 370 371	420 241 119	Progressive inves. Management (Private) Limited. F.M. Securities (Private) Limited Avis Global Limited	The Brokerage House was Wanned The Brokerage House was Wanned The Brokerage House was Wanned and Flannical Penalty was Imposed The Brokerage House was Wanned and Flannical Penalty was Imposed The Brokerage House was Wanned		7-Dec-16 6-Dec-16 5-Dec-16	ACTIVE ACTIVE TRADING TERMINALS SUSPENDED ACTIVE
368 369 370 371 372	420 241 119 466	Progressive Inves. Management (Private) Limited. F.M. Securities (Private) Limited Asis Global Limited Limited Limited Limited Limited Limited	The Brokerage House was Wanned The Brokerage House was Wanned The Brokerage House was Wanned and Financial Penalty was imposed The Brokerage House was Wanned The Brokerage House was Wanned		7-Dec-16 6-Dec-16 5-Dec-16 5-Dec-16	ACTIVE ACTIVE TRADING TERMINALS SUSPENDED ACTIVE ACTIVE ACTIVE
368 369 370 371 372 373	420 241 119 466 112	Progressive Inves. Management (Private) Limited. F.M. Securities (Private) Limited Ass Global Limited Uses Securities (Private) Limited Sandard Capital Securities (Private) Limited.	The Brokerage House was Wanned The Brokerage House was Wanned The Brokerage House was Wanned and Flannical Penalty was Imposed The Brokerage House was Wanned and Flannical Penalty was Imposed The Brokerage House was Wanned	Rs.150,000/-	7-Dec-16 6-Dec-16 5-Dec-16 5-Dec-16 1-Dec-16	ACTIVE ACTIVE TRADING TERMINALS SUSPENDED ACTIVE ACTIVE
368 369 370 371 372 373 374 375 376	420 241 119 466 112 28 300 19	Progressive Private United Assistance Private United Assistance Private United Assistance Private United Assistance Operate United United Securities Private United United Securities Private United Charlet Copies Securities Private United Charlet Copies Securities Private United Assistance Designation Assistance Private United Charlet Copies Securities Private United Assistance Designation Assistance Designatio	The Brokerage House was Womed The Brokerage House was Womed The Brokerage House was Womed and Financial Peopley was Imposed The Brokerage House was Womed was Womed The Brokerage House was Womed was Womed The Brokerage House and Financial People was Womed The Brokerage House and Financial People was Womed The Brokerage House was Womed and Financial People was Womed	Rs.150,000/-	7-Dec-16 6-Dec-16 5-Dec-16 5-Dec-16 1-Dec-16 30-Nov-16 30-Nov-16 29-Nov-16	ACTIVE ACTIVE TRADING TERMINALS SUSPENDED ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE
368 369 370 371 372 373 374 375 376	420 241 119 466 112 28 300 19 287	Progressive Inves. Massagement (Private) Limited. F.A. Scourities (Private) Limited And Global Limited Unes Sourities (Private) Limited Unes Sourities (Private) Limited Chance Consider (Carella Souries (Private) Limited. Global Consider (Carella Souries (Private) Limited. ACI Chancel Souries (Private) Limited. ACI Chancel Souries (Private) Limited. ACI Securities Limited. (ACI Chancel Souries Limited. (ACI Chancel Souries Limited.)	The Briefrage House was Warned The Briefrage House was Warned The Briefrage House was Warned French Prendir was Imposed The Briefrage House was Warned was Warned The Briefrage House was Warned	Rs.150,000/-	7-Dec-16 6-Dec-16 5-Dec-16 5-Dec-16 1-Dec-16 30-Nov-16 30-Nov-16 29-Nov-16 28-Nov-16	ACTIVE ACTIVE TRADING TERMINALS SUSPENDED ACTIVE
368 369 370 371 372 373 374 375 376 377	420 241 119 466 112 28 300 19 287 296	Programs in institute (Private) Limited A. Scourtise (Private) Limited (Ann Scourtise (Private) Limited (Ann Scourtise (Private) Limited (Ann Scourtise (Private) Limited (Ann Command Cognitis (Private) Limited (Ann Cognitis (Private) Limited (Ann Cognitis (Private) Limited (Ann Cognitis (Private) Limited (Ann Cognitis (Private) Limited	The Brokerage Nose was Warmed The Brokerage Nose was Warmed The Brokerage Nose was Warmed and Financial Penalty was imposed The Brokerage Nose was Warmed and Financial Penalty was imposed The Brokerage Nose was Warmed The Brokerage Nose was Warmed The Brokerage Nose was Warmed and Financial Penalty was imposed Warmed Nose Warmed Nose Nose Nose Nose Nose Nose Nose Nose	Rs.150,000/-	7-Dec-16 6-Dec-16 5-Dec-16 5-Dec-16 1-Dec-16 30-Nov-16 30-Nov-16 28-Nov-16 28-Nov-16 28-Nov-16	ACTIVE ACTIVE ACTIVE TRADING TERMINALS SUSPENDED ACTIVE
368 369 370 371 372 373 374 375 376 377 378	420 241 119 466 112 28 300 19 287 296 46	Progressive Inves. Management (Phivate) Limited. F.A. Securities (Phivate) Limited. Ass. Golden Limited Ass. Golden Limited, Ass. Commiss. Securities (Phivate) Limited. ASS Securities (Phivate) Limited ASS Securities Limited. MSS Securities (Phivate) Limited	The Bristange House was Warmed	Rs.150,000/-	7-Dec-16 6-Dec-16 5-Dec-16 5-Dec-16 1-Dec-16 30-Nov-16 30-Nov-16 28-Nov-16 28-Nov-16 28-Nov-16 28-Nov-16	ACTIVE ACTIVE ACTIVE TRADING TERMINALS SUSPENDED ACTIVE
368 369 370 371 372 373 374 375 376 377 378 379	241 119 466 112 28 300 19 287 296 46	Programs (Innex, Masagement (Phrate) Limited F.M. Scruttise (Phrate) Limited Unes Scruttise (Phrate) Limited Unes Scruttise (Phrate) Limited Unes Scruttise (Phrate) Limited Obasic Organic Service (Phrate) Limited Obasic Organic Service (Phrate) Limited AND Scruttise (Phrate) Limited AND Scruttise Limited Obasic Organic Service (Phrate) Limited Obasic Or	The Brokerage House was Warmed The Brokerage House was Warmed The Brokerage House was Warmed and Financial Penalty was imposed The Brokerage House was Warmed House House House House The Brokerage House was Warmed The Brokerage House was Warmed The Brokerage House was Warmed House H	Rs.150,000/- - - - - - - - - - - - - - - - - -	7-Dec-16 6-Dec-16 5-Dec-16 5-Dec-16 1-Dec-16 30-Nov-16 29-Nov-16 28-Nov-16 28-Nov-16 28-Nov-16 28-Nov-16 28-Nov-16 28-Nov-16	ACTIVE ACTIVE ACTIVE TRADING TERMINALS SUSPENDED ACTIVE
368 369 370 371 372 373 374 375 376 377 378	420 241 119 466 112 28 300 19 287 296 46	Progressive Inves. Management (Phivate) Limited. F.A. Securities (Phivate) Limited. Ass. Golden Limited Ass. Golden Limited, Ass. Commiss. Securities (Phivate) Limited. ASS Securities (Phivate) Limited ASS Securities Limited. MSS Securities (Phivate) Limited	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.150,000/-	7-Dec-16 6-Dec-16 5-Dec-16 5-Dec-16 1-Dec-16 30-Nov-16 30-Nov-16 28-Nov-16 28-Nov-16 28-Nov-16 28-Nov-16	ACTIVE ACTIVE TRADING TERMINALS SUSPENDED ACTIVE
368 369 370 371 372 373 374 375 376 377 378 379 380 381 382	420 241 119 466 112 28 300 19 287 296 46 91 116	Progressive Innex. Management (Phinate) Limited. Ass. Securities (Phinate) Limited Ass. Sinched Sameted Ones Securities (Phinate) Limited Ones Securities (Phinate) Limited Construction (Phinate) Limited Construction (Phinate) Limited Construction (Phinate) Limited Construction Securities (Phinate) Ass. Construction (Phinate)	The Brokerage House was Warmed The Brokerage House was Warmed The Brokerage House was Warmed and Financial Penalty was imposed The Brokerage House was Warmed House House House House The Brokerage House was Warmed The Brokerage House was Warmed The Brokerage House was Warmed House H	Rs. 150,000/-	7-Dec-16 6-Dec-16 5-Dec-16 5-Dec-16 5-Dec-16 3-Dec-16 30-Nov-16 29-Nov-16 28-Nov-16	ACTIVE ACTIVE ACTIVE TRADING TERMINALS SUSPENDED ACTIVE
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368 369 370 371 372 373 375 376 375 376 377 378 380 381 382 383 384 385 387 388 389 391 392 393 394 404 402 404 404	200 200 200 200 200 200 200 200 200 200	Progressive times. Makingement (Provate) Limited. A. Scourties (Provate) Limited. Ones Search (Sept Sept Sept Sept Sept Sept Sept Sept	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned	Rs. 150,000/- Rs. 60,000/- Rs. 60,000/- Rs. 20,000/- Rs. 100,000/- Rs. 100,000/- Rs. 100,000/- Rs. 10,000/- Rs. 10,000/-	7 Octob 5	## ACTIVE ## ACT
368 369 370 371 372 373 374 375 377 378 379 380 381 382 383 384 385 386 395 395 395 395 395 395 395 397 397 397 397 397 397 397 397	200 241 119 466 466 112 220 287 297 297 461 110 110 110 110 110 110 110 110 110 1	Ans Scientifies Privately Limited Ans Scientifies Privately Limited Ans Scientifies Privately Limited Once Securities Privately Limited Charles Charles Privately Limited Charles Charles Privately Limited Charles Charles Privately Limited Charles Charles Privately Limited And Scientifies Privately Limited And Scientifies Privately Limited And Scientifies Privately Limited And	The Bookerage House was Warned The Bookerage House was Warned The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned The Bookerage House was Warned The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned and Financial Prostity was imposed The Bookerage House was Warned The Bookerage House w	Rs. 150,000/- Rs. 60,000/- Rs. 60,000/- Rs. 20,000/- Rs. 100,000/- Rs. 100,000/- Rs. 100,000/- Rs. 10,000/- Rs. 10,000/-	7 Oct 18 5 O	ACTIVE AC

S. No.	TREC No.	Name of TREC Holder Action:	Disciplinary Actions taken by Market Surveillance Department (MSD):	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions	
2	098	Fairtrade Capital Securities (Private) Limited Mayari Securities (Private) Limited	Warned Warned	-	4-Oct-19 4-Oct-19	ACTIVE ACTIVE
3	120 145	Alfalah Securities (Private) Limited Adam Securities (Pvt.) Ltd.	Stern Warning Warned		29-Jul-19 29-Jul-19	ACTIVE ACTIVE
5	145	Adam Securities (Pvt.) Ltd.	Warned Warned		29-Jul-19	ACTIVE
6 7	145 046	Adam Securities (Pvt.) Ltd. Fortune Securities Limited	Warned Warned		29-Jul-19 25-Jul-19	ACTIVE ACTIVE
8	046	Fortune Securities Limited	Warned		25-Jul-19	ACTIVE
9 10	228 314	Al- Hag Sec Equity Master Sec	Stern Warning Stern Warning		25-Jul-19 25-Jul-19	ACTIVE ACTIVE
11 12	228 149	Al- Hag Sec	Confiscation of Profits	2,500	25-Jul-19 11-Jul-19	ACTIVE
13 14	149	JS Global Capital Limited JS Global Capital Limited	Advice Advice		11-Jul-19 11-Jul-19	ACTIVE ACTIVE
14 15	191 018	Market 786 (Private) Limited Ismail Iqbal Securities (Pvt.) Limited	Advice Adviced		11-Jul-19 11-Jul-19	ACTIVE
16	012	Reliance Securities Limited	Advised		10-Jul-19	ACTIVE APPLIED FOR
17	049	Multiline Securities (Pvt.) Ltd.	Advised		10-Jul-19	SURRENDER ACTIVE
18 19	042	Icon Capital Management (Private) Limited	Advised		10-Jul-19	ACTIVE
20	142 024	Foundation Securities (Pvt.) Limited ASDA Securities (Private) Limited	Advised Advised		10-Jul-19	ACTIVE ACTIVE
21 22	142 248	Foundation Securities (Pvt.) Limited Khadim Ali Shah Bukhari Securities (Private) Limited	Advised Stern Warning		16-Apr-19 27-Mar-19	ACTIVE ACTIVE
23 24	196	RAH Securities (Private) Limited	Stern Warning Stern Warning	- :	27-Mar-19 27-Mar-19 26-Mar-19	ACTIVE
24 25	212 149	Horizon Securities Limited	Stern Warning Stern Warning		26-Mar-19 26-Mar-19	ACTIVE ACTIVE
26	016	JS Global Capital Limited DJM Securities (Pvt.) Limited	Stern Warning		7-Mar-19	ACTIVE
27	094	FDM Capital Securities (Private) Limited	Stern Warning		7-Mar-19 7-Mar-19	ACTIVE
28 29	144 163	Dattoo Securities (Private) Limited Friendly Securities (Pvt.) Limited	Stern Warning Confiscation of Profits	214,966	7-Mar-19 7-Mar-19	ACTIVE ACTIVE
30 31	028 050	Ghani Osman Securities (Private) Limited Arif Habib Limited	Case Referred to SECP For Review and Necessary Action Case Referred to SECP For Review and Necessary Action		26-Feb-19 26-Feb-19	ACTIVE ACTIVE
32	058	Dawood Equities Limited	Case Referred to SECP For Review and Necessary Action		26-Feb-19	ACTIVE
33 34	166 001	Topline Securities (Private) Limited Altaf Adam Securities (Private) Limited	Case Referred to SECP For Review and Necessary Action Advised		26-Feb-19 19-Feb-19	ACTIVE ACTIVE
35	112 142	Arear Asam Securities (Private) Limited Standard Capital Securities (Private) Limited Foundation Securities (Pvt.) Limited	Advised Advised Advised		13-Feb-19	ACTIVE ACTIVE
36 37	142 022	Foundation Securities (Pvt.) Limited BMA Capital Management Limited	Advised Advised		13-Feb-19 13-Feb-19	ACTIVE ACTIVE
37	022	BMA Capital Management Limited First Capital Equities Limited	Advised Advised		13-Feb-19 13-Feb-19	APPLIED FOR
39	204	Backers & Partners (Private) Limited	Stern Warning		1-Feb-19	SURRENDER ACTIVE
40 41	024	ASDA Securities (Private) Limited	Fine and confisction of Profit along with Stern Warning	30,000	1-Feb-19 1-Feb-19	ACTIVE
41	049 018	Multiline Securities (Pvt.) Ltd. Ismail Iqbal Securities (Pvt.) Limited	Stern Warning Stern Warning		1-Feb-19 1-Feb-19	ACTIVE ACTIVE
43	036	Time Securities (Private) Limited	Coffscation of Profit along with Stern Warning	13,435	1-Feb-19	ACTIVE
44 45 46	347 052	Amer Securities (Pvt.) Ltd. N.U.A. Securities (Private) Limited	Stern Warning Penalty Imposed along with confiscation of profits	10,054	1-Feb-19 24-Jan-19	ACTIVE ACTIVE
46	045	Bhayani Securities (Private) Limited	Penalty Imposed along with confiscation of profits	98,350	24-Jan-19 24-Jan-19	ACTIVE
47 48	193 023	Akhai Securities (Pvt.) Limited Khanani Securities (Private) Limited	Stern Warning Penalty Imposed	36,320	24-Jan-19 24-Jan-19	ACTIVE ACTIVE
49 50 51	001	Altaf Adam Securities (Private) Limited	Penalty imposed along with confiscation of profits	52,495	24-Jan-19	ACTIVE
50	044 124	IGI Finex Securities Limited EFG Hermes Pak Ltd	Advised Advised		23-Jan-19 23-Jan-19	ACTIVE ACTIVE
52	006	Sherman Securities (Pvt.) Ltd.	Advised		23-Jan-19	ACTIVE
53 54	022 090	BMA Capital Management Limited Darson Securities (Private) Limited	Advised Advised	-	23-Jan-19 10-Jan-19	ACTIVE ACTIVE
54 55	149	JS Global Capital Limited	Advised		10-Jan-19 4-Jan-19	ACTIVE
56 57	052 091	N.U.A. Securities (Private) Limited Intermarket Securities Limited	Strictly Advised Strictly Advised		4-Jan-19 4-Jan-19	ACTIVE ACTIVE
58	102	Growth Securities (Pvt.) Limited	Advised		3-Jan-19	ACTIVE
59 60	166 116	Topline Securities (Private) Limited Patel Securities Pvt) Ltd.	Advised Confiscation of Profits	4,777	1-Jan-19 21-Dec-18	ACTIVE ACTIVE
61 62	159	Rafi Securities (Private) Limited	Confiscation of Profits	56,853	21-Dec-18	ACTIVE
62	256 050	Progressive Securities (Private) Limited Arif Habib Limited	Confiscation of Profits Strictly Advised	11,539	21-Dec-18 13-Dec-18	ACTIVE ACTIVE
64 65	084 102	Muhammad Munir Muhammad Ahmed Khanani Securities (Pvt.) Ltd	Strictly Advised Advised		13-Dec-18 27-Nov-18	ACTIVE ACTIVE
66 67	102	Growth Securities (Pvt.) Limited Adam Securities (Pvt.) Ltd.	Advised Stern Warning		2-Nov-18	ACTIVE
67 68	120 224	Alfalah Securities (Private) Limited	Stern Warning Stern Warning		2-Nov-18 2-Nov-18	ACTIVE ACTIVE
69	187	K & I Global Capital (Private) Limited SAZ Capital Securities (Pvt.) Ltd.	Stern Warning		2-Nov-18	ACTIVE
70	062	WE Financial Services Limited	Stern Warning		2-Nov-18 1-Nov-18	ACTIVE
71	223 091	Maan Securities (Private) Limited Intermarket Securities Limited	Penalty Imposed Penalty Imposed	5,500 12,500	1-Nov-18	ACTIVE ACTIVE
73 74	128	BIPL Securities Limited Muhammad Munir Muhammad Ahmed Khanani Securities (Pvt.) Ltd	Penalty Imposed	1,050	1-Nov-18 24-Oct-18	ACTIVE ACTIVE
	084 169	Pearl Securities Limited	Advised Stern Warning		9-Oct-18	ACTIVE
76 77	179 212	Continental Capital Management (Pvt) Ltd. Horizon Securities Limited	Stern Warning Stern Warning	-	9-Oct-18 9-Oct-18	ACTIVE ACTIVE
78 79	006	Sherman Securities (Pvt.) Ltd.	Stern Warning		5-Oct-18 5-Oct-18	ACTIVE
79 80	017 018	Summit Capital (Private) Limited Ismail Igbal Securities (Pvt.) Limited	Penalty Imposed Penalty Imposed	10,000 20.000	5-Oct-18 5-Oct-18	ACTIVE ACTIVE
81	077	Best Securities (Private) Limited	Stern Warning	,000	5-Oct-18	ACTIVE
82	108 112	Azee Securities (Pvt.) Ltd. Standard Capital Securities (Private) Limited	Stern Warning Strictly Advised	-	5-Oct-18 25-Sep-18	ACTIVE ACTIVE
83 84	145	Adam Securities (Pvt.) Ltd.	Strictly Advised		25-Sep-18 25-Sep-18	ACTIVE
85 86	194 228	MRA Securities (Private) Limited Al-Haq Securities (Private) Limited	Strictly Advised Advised	-	25-Sep-18 25-Sep-18	ACTIVE ACTIVE
87	091	Intermarket Securities Limited	Advised		25-Sep-18	ACTIVE
88 89	297 267	MSD Capital Equities (Private) Limited Bismillah Securities (Private) Limited	Stern Warning Stern Warning		7-Sep-18 7-Sep-18	ACTIVE ACTIVE
90	022 045	BMA Capital Management Limited Bhayani Securities (Private) Limited	Stern Warning		7-Sep-18	ACTIVE
91 92	045	Optimus Capital Management (Pvt.) Ltd.	Penalty Imposed along with confiscation of profits Stern Warning	12,923	7-Sep-18 7-Sep-18	ACTIVE ACTIVE
93 94	290	K.H.S. Securities (Private) Limited	Stern Warning		7-Sep-18	ACTIVE
94 95	008	Optimus Capital Management (Pvt.) Ltd. Fortune Securities Limited	Stern Warning Penalty Imposed	1,302	7-Sep-18 30-Aug-18	ACTIVE ACTIVE
95 96	046 036	Fortune Securities Limited Time Securities (Private) Limited	Stern Warning		30-Aug-18 30-Aug-18	ACTIVE ACTIVE
97 98	001 102	Altaf Adam Securities (Private) Limited Growth Securities (Pvt.) Limited	Stern Warning Penalty Imposed	10,000	30-Aug-18 30-Aug-18	ACTIVE ACTIVE
99	046	Fortune Securities Limited	Penalty Imposed	90,000	30-Aug-18	ACTIVE
100	265 346	Infinite Securities Limited Strongman Securities (Pvt.) Ltd.	Stern Warning Penalty Imposed	10,000	6-Jun-18 6-Jun-18	ACTIVE ACTIVE
102	438	Fair Edge Securities (Private) Limited	Confiscation of Profits	3,250	6-Jun-18	ACTIVE
103	149 346	JS Global Capital Limited Strongman Securities (Pvt.) Ltd.	Stern Warning Stern Warning	-	6-Jun-18 6-Jun-18	ACTIVE ACTIVE
104 105	149 048	JS Global Capital Limited	Confiscation of Profits	450,000	6-Jun-18	ACTIVE
106 107	048 019	Next Capital Limited AKD Securities Limited	Penalty Imposed stern Warning	10,000	30-May-18 30-May-18	ACTIVE ACTIVE
108	048	Next Capital Limited	Penalty Imposed along with confiscation of profits	24,786	30-May-18	ACTIVE
109	048 085	Next Capital Limited Concordia Securities (Pvt.) Ltd.	Penalty Imposed Penalty Imposed	10,000 100,000	30-May-18 18-May-18	ACTIVE ACTIVE
111	085	Concordia Securities (Pvt.) Ltd.	Confiscation of Profits	4,000	18-May-18	ACTIVE
112 113	145 082	Adam Securities (Pvt.) Ltd. Mayari Securities (Private) Limited	Advised Advised		18-May-18 18-May-18	ACTIVE ACTIVE
114	177	Din Capital (Private) Limited	Stern Warning		7-May-18	ACTIVE APPLIED FOR
		1				SURRENDER

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement	Current Status
				(If any)	Actions	
115 116	021	Alfa Adhi Securities (Pvt.) Ltd.	Penalty Imposed along with confiscation of profits	32,160	7-May-18 7-May-18	ACTIVE ACTIVE
117	018 098	Ismail Igbal Securities (Pvt.) Limited Fairtrade Capital Securities (Private) Limited	Advised Advised	- :	4-May-18	ACTIVE ACTIVE
118	098	Fairtrade Capital Securities (Private) Limited	Advised		4-May-18	ACTIVE
119 120	098	Fairtrade Capital Securities (Private) Limited	Advised		4-May-18 4-May-18	ACTIVE
121	098 098	Fairtrade Capital Securities (Private) Limited Fairtrade Capital Securities (Private) Limited	Advised Advised	- :	4-May-18	ACTIVE ACTIVE
122	112	Standard Capital Securities (Private) Limited	Advised		4-May-18	ACTIVE
123	346	Strongman Securities (Pvt.) Ltd.	Advised		4-May-18 13-Apr-18	ACTIVE
125	085 142	Concordia Securities (Pvt.) Ltd. Foundation Securities (Pvt.) Limited	Advised Advised	- :	13-Apr-18 9-Apr-18	ACTIVE ACTIVE
126	006	Sherman Securities (Pvt.) Ltd.	Advised		9-Apr-18	ACTIVE
127	228	Al-Haq Securities (Private)Limited	Advised		6-Apr-18	ACTIVE
128 129	169 442	Pearl Securities Limited General Investment & Securities (Private) Limited.	Advised Advised		6-Apr-18 6-Apr-18	ACTIVE ACTIVE
130	442	General Investment & Securities (Private) Limited. General Investment & Securities (Private) Limited.	Advised		6-Apr-18	ACTIVE
131	345	Pearl Brokerage (Pvt.) Ltd.	Stern Warning		4-Apr-18	SURRENDERED /
132	485	Hamza Farhad Securities (Pvt) Limited	Confiscation of Profits	870	4-Apr-18	REUNQUISHED ACTIVE
133	089	Investment Managers Securities (Private) Limited	Stern Warning		21-Mar-18	ACTIVE
134	162	Aba Ali Habib Securities (Private) Limited	Stern Warning	8.565	21-Mar-18 21-Mar-18	ACTIVE
135	166 162	Topline Securities (Private) Limited Aba Ali Habib Securities (Private) Limited	Confiscation of Profits Advised	8,565	21-Mar-18 15-Mar-18	ACTIVE ACTIVE
137	256	Progressive Securities (Private) Limited	Stern Warning		20-Feb-18	ACTIVE
138	232	Arif Latif Securities (Private) Limited	Stern Warning		20-Feb-18	ACTIVE
139 140	442 091	General Investment & Securities (Private) Limited Intermarket Securities Limited	Stern Warning Stern Warning		20-Feb-18 20-Feb-18	ACTIVE ACTIVE
141	091	Intermarket Securities United	Stern Warning Stern Warning		20-Feb-18	ACTIVE
142	091	Intermarket Securities Limited	Stern Warning		20-Feb-18	ACTIVE
143	024	ASDA Securities (Private) Limited	Stern Warning		7-Feb-18	ACTIVE
144	017	Summit Capital (Private) Limited Jobal Usman Kodyavi Securities (Pvt.) Ltd.	Stern Warning Penalty Imposed	7 125	1-Feb-18 1-Feb-18	ACTIVE ACTIVE
146	131	GMI Capital Securities (Private) Limited	Stern Warning		1-Feb-18	ACTIVE
147	045	Bhayani Securities (Private) Limited	Penalty Imposed	2,750	1-Feb-18	ACTIVE
148 149	131 044	GMI Capital Securities (Private) Limited IGI Finex Securities Limited	Stern Warning Stern Warning	- :	1-Feb-18 1-Feb-18	ACTIVE ACTIVE
			•	<u> </u>		TRADING TERMINALS
150	490	Baba Equities (Private) Limited	Penalty Imposed	226,660	13-Dec-17	SUSPENDED
						TRADING TERMINALS
151	490	Baba Equities (Private) Limited	Warned		13-Dec-17	SUSPENDED
152	224	K & I Global Capital (Private) Limited	Advised		12-Dec-17	ACTIVE
153	410	Zahid Latif Khan Securities (Private) Limited	Penalty Imposed	15,597	30-Nov-17	ACTIVE
154 155	482 482	New Peak Securities (Private) Limited	Penalty Imposed	22,950	30-Nov-17 30-Nov-17	ACTIVE
156	482 155	New Peak Securities (Private) Limited B & B Securities (Private) Limited	Penalty Imposed Penalty Imposed	70,650 6.000	30-Nov-17	ACTIVE ACTIVE
157	169	Pearl Securities Limited	Penalty Imposed	240,940	17-Nov-17	ACTIVE
158	052	N.U.A. Securities (Private) Limited	Stern Warning		17-Nov-17	ACTIVE
159 160	052 052	N.U.A. Securities (Private) Limited N.U.A. Securities (Private) Limited	Stern Warning Stern Warning		17-Nov-17 17-Nov-17	ACTIVE ACTIVE
161	052	N.U.A. Securities (Private) Limited N.U.A. Securities (Private) Limited	Stern Warning Stern Warning		17-Nov-17	ACTIVE
162	084	Muhammad Munir Muhammad Ahmed Khanani Securities (Private) Limited	Penalty Imposed	30,496	9-Nov-17	ACTIVE
163 164	169	Pearl Securities Limited	Advised		1-Nov-17 18-Oct-17	ACTIVE
165	032 018	Zafar Moti Capital Securities (Private) Limited Ismail Iqbal Securities (Pvt.) Limited	Penalty Imposed Penalty Imposed	26,740 10,000	18-Oct-17	ACTIVE ACTIVE
166	030	Cedar Capital (Private) Limited	Penalty Imposed	14,500	18-Oct-17	ACTIVE
167	290	K.H.S. Securities (Private) Limited	Advised		28-Aug-17	ACTIVE
168 169	084 036	Muhammad Munir Muhammad Ahmed Khanani Securities (Private) Limited Time Securities (Private) Limited	Warned Warned		28-Aug-17 28-Aug-17	ACTIVE ACTIVE
170	006	Sherman Securities (Pvt.) Ltd.	Advised	- :	28-Aug-17	ACTIVE
171	006	Sherman Securities (Pvt.) Ltd.	Advised		28-Aug-17	ACTIVE
172 173	046 102	Fortune Securities Limited	Advised Warned		28-Aug-17 24-Aug-17	ACTIVE ACTIVE
174	068	Growth Securities (Private) Limited Zafar Securities (Private) Limited	Warned Warned	- :	24-Aug-17 24-Aug-17	ACTIVE
175	102	Growth Securities (Pvt.) Limited	Warned		24-Aug-17	ACTIVE
176	102	Growth Securities (Pvt.) Limited	Warned		24-Aug-17	ACTIVE
177	068	Zafar Securities (Private) Limited Zafar Securities (Private) Limited	Warned Warned	-	24-Aug-17 24-Aug-17	ACTIVE ACTIVE
179	030	Cedar Capital (Private) Limited	Advised		21-Jul-17	ACTIVE
180	019	AKD Securities Limited	Warned		21-Jul-17	ACTIVE
181 182	234 016	Value Stock and Commodities (Private) Limited D.J.M. Securities (Private) Limited	Penalty Imposed Warned	643,699	17-Jul-17 14-Jul-17	ACTIVE ACTIVE
183	169	Pearl Securities (Private) Limited	Warned Warned		14-Jul-17	ACTIVE
184	001	Altaf Adam Securities (Private) Limited	Advised		4-Jul-17	ACTIVE
185 186	028 054	Ghani Osman Securities (Private) Limited Bawa Securities (Private) Limited	Advised Penalty Imposed	55,683	4-Jul-17 21-Jun-17	ACTIVE ACTIVE
187	091	Intermarket Securities Limited	Penalty imposed Advised	33,063	21-Jun-17	ACTIVE
188	188	Apex Capital Securities (Private) Limited	Advised		21-Jun-17	ACTIVE
189	091	Intermarket Securities Limited	Advised		21-Jun-17	ACTIVE
190 191	158 228	Royal Securities (Private) Limited Al-Haq Securities (Private) Limited	Advised Warned	- :	19-Jun-17 16-Jun-17	ACTIVE ACTIVE
192	048	Next Capital Limited	Warned		9-Jun-17	ACTIVE
193	048	Next Capital Limited	Penalty Imposed	70,175	9-Jun-17	ACTIVE
194	048	Next Capital Limited Saward Yusuf Securities (Private) Limited	Warned		9-Jun-17 9-Jun-17	ACTIVE ACTIVE
195 196	088	Fawad Yusuf Securities (Private) Limited Fawad Yusuf Securities (Private) Limited	Warned Penalty Imposed	92,527	9-Jun-17 9-Jun-17	ACTIVE ACTIVE
197	088	Fawad Yusuf Securities (Private) Limited	Penalty Imposed	64,041	9-Jun-17	ACTIVE
198	088	Fawad Yusuf Securities (Private) Limited	Warned		9-Jun-17	ACTIVE
199	057	First Capital Equities Limited	Advised		10-May-17	APPLIED FOR SURRENDER
200	057	First Capital Equities Limited	Advised		10-May-17	APPLIED FOR
201				l	10-May-17	SURRENDER APPLIED FOR
	057	First Capital Equities Limited	Advised			SURRENDER
202	149 017	JS Global Capital Limited Summit Capital (Private) Limited	Advised Stern Warning	-	10-May-17 4-May-17	ACTIVE ACTIVE
203	017 184	Summit Capital (Private) Limited Prime Securities (Private) Limited	Stern Warning Penalty Imposed	71,861	4-May-17 21-Apr-17	ACTIVE ACTIVE
205	047	Zillion Capital Securities (Private) Limited	Penalty Imposed	59,675	7-Apr-17	ACTIVE
206	159	Rafi Securities (Private) Limited	Penalty Imposed	51,470	7-Apr-17	ACTIVE
207	159 173	Raff Securities (Private) Limited Spectrum Securities (Private) Limited	Penalty Imposed Warned	50,000	7-Apr-17 24-Mar-17	ACTIVE ACTIVE
209	173	Invest and Finance Securities Limited	Advised		10-Mar-17	ACTIVE
210	129	Taurus Securities Limited	Advised		27-Feb-17	ACTIVE
211	129	Taurus Securities Limited Muhammad Munir Muhammad Ahmed Khanani Securities (Private) Limited	Advised	144,795	27-Feb-17	ACTIVE
212	084 021	Muhammad Munir Muhammad Ahmed Khanani Securities (Private) Limited Alfa Adhi Securities (Private) Limited	Penalty Imposed Penalty Imposed	1,230,452	23-Feb-17 23-Feb-17	ACTIVE ACTIVE
214		Elixir Securities Pakistan (Private) Limited	Advised		22-Feb-17	ACTIVE

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement Actions	Current Status
215	046	Fortune Securities Limited	Advised		3-Feb-17	ACTIVE
216	438	Fair Edge Securities (Private) Limited	Advised		3-Feb-17	ACTIVE
217	056	Nael Capital (Private) Limited	Advised		3-Feb-17	ACTIVE
218	466	UNEX Securities (Private) Limited	Advised		3-Feb-17	ACTIVE
219	183	R.T. Securities (Private) Limited	Advised		31-Jan-17	ACTIVE
220	010	Sakarwala Capital Securities (Private) Limited	Advised		31-Jan-17	ACTIVE
221	297	MSD Capital Equities (Private) Limited	Advised		31-Jan-17	ACTIVE
222	181 203	First Equity Modaraba	Advised Advised		31-Jan-17 31-Jan-17	ACTIVE ACTIVE
224	010	Brains Securities (Private) Limited			31-Jan-17 31-Jan-17	
225	010	Sakarwala Capital Securities (Private) Limited AKD Securities Limited	Advised Advised		31-Jan-17	ACTIVE ACTIVE
226	221	Millennium Brokerage (SMC-Pvt) Limited	Advised	-	25-Jan-17	ACTIVE
227	482	New Peak Securities (Private) Limited	Advised	-	25-Jan-17	ACTIVE
228	490	Baba Equities (Private) Limited	Advised		25-Jan-17	TRADING TERMINALS SUSPENDED
229	166				25-Jan-17	ACTIVE
230		Topline Securities (Private) Limited	Advised		25-Jan-17 25-Jan-17	
231	485 085	Hamza Farhad Securities (Private) Limited	Advised Advised		24-Jan-17	ACTIVE ACTIVE
232		Concordia Securities (Private) Limited			24-Jan-17 19-Jan-17	
232	116	Patel Securities (Private) Limited Sunrise Capital (Private) Limited	Penalty Imposed Penalty Imposed	50,000	19-Jan-17 17-Jan-17	ACTIVE TRADING TERMINALS
				,		SUSPENDED
234	017	Summit Capital (Private) Limited	Advised		3-Jan-17	ACTIVE
235	017	Summit Capital (Private) Limited	Advised		3-Jan-17	ACTIVE
236	012	Reliance Securities Limited	Advised		30-Dec-16	APPLIED FOR SURRENDER
237	054	Bawa Securities (Private) Limited	Advised		30-Dec-16	ACTIVE APPLIED FOR
238	012	Reliance Securities Limited	Advised		30-Dec-16	SURRENDER
239	066	Iqbal Usman Kodvavi Securities (Private) Limited	Advised		28-Dec-16	ACTIVE
240 241	229	Fairway Securities (Private) Limited	Advised		28-Dec-16 26-Dec-16	ACTIVE
	102	Growth Securities (Private) Limited	Advised			ACTIVE
242 243	018 112	Ismail Iqbal Securities (Pvt.) Limited Standard Capital Securities (Private) Limited	Advised Advised		26-Dec-16 26-Dec-16	ACTIVE ACTIVE
244					26-Dec-16 22-Dec-16	
245	045	Bhayani Securities (Private) Limited	Advised		22-Dec-16	ACTIVE
245	142 016	Foundation Securities (Private) Limited D.I.M. Securities (Private) Limited	Advised Advised		21-Dec-16	ACTIVE ACTIVE
247	046	Fortune Securities Limited	Advised	-	20-Dec-16	ACTIVE
248	490	Baba Equities (Private) Limited	Advised		20-Dec-16	TRADING TERMINALS SUSPENDED
249	224	K & I Global (Private) Limited	Advised		20-Dec-16	ACTIVE
250	224	K & I Global (Private) Limited K & I Global (Private) Limited	Advised	-	20-Dec-16	ACTIVE
251	348	AMCAP Securities (Private) Limited	Advised		1-Dec-16	TRADING TERMINALS SUSPENDED
252	090	Darson Securities (Private) Limited	Penalty Imposed	50,000	1-Dec-16	ACTIVE
253	177	Din Capital (Private) Limited	Penalty Imposed	52,479	1-Dec-16	APPLIED FOR
254	037	HH Misbah Securities (Private) Limited	Advised		29-Nov-16	SURRENDER ACTIVE
255	062	WE Financial Services Limited	Advised		28-Nov-16	ACTIVE
256	028	Ghani Osman Securities (Private) Limited	Advised	-	22-Nov-16	ACTIVE
257	072	TS Securities (Private) Limited	Penalty Imposed	89.701	18-Nov-16	ACTIVE
258	006	Sherman Securities (Private) Limited	Penalty Imposed	248 773	14-Nov-16	ACTIVE
259	097	Invest Capital Markets Limited	Advised	140,773	8-Nov-16	FORFEITED
260	107	Seven Star Securities (Private) Limited	Advised		8-Nov-16	ACTIVE
261	101	Global Securities Pakistan Limited	Advised		8-Nov-16	SURRENDERED / RELINCUISHED
262	053	M H Securities (Private) Limited	Advised		4-Nov-16	SURRENDERED / RELINQUISHED
263	109	Dalal Securities (Private) Limited	Advised		4-Nov-16	ACTIVE
264	410	Zahid Latif Khan Securities (Private) Limited	Advised		4-Nov-16	ACTIVE
265	030	Cedar Capital (Private) Limited	Advised		4-Nov-16	ACTIVE
266	880	Fawad Yusuf Securities (Private) Limited	Advised		4-Nov-16	ACTIVE
267 268	068	Zafar Securities (Private) Limited	Advised		4-Nov-16 4-Nov-16	ACTIVE
268 269	096	MSMANIAR Financials (Private) Limited	Advised Advised		4-Nov-16 27-Oct-16	ACTIVE ACTIVE
269	010 194	Sakarwala Capital Securities (Private) Limited M.R.A. Securities (Private) Limited	Advised Penalty Imposed	50.486	27-Oct-16 26-Oct-16	ACTIVE ACTIVE
270				50,486 52,250	26-Oct-16 26-Oct-16	ACTIVE ACTIVE
271	194	M.R.A. Securities (Private) Limited	Penalty Imposed	52,250	26-Oct-16 26-Oct-16	
273	194	M.R.A. Securities (Private) Limited	Advised Advised		25-Oct-16	ACTIVE
	102	Growth Securities (Private) Limited	Advised Penalty Imposed	303,839	25-Uct-16 10-Oct-16	ACTIVE ACTIVE
274	032	Zafar Moti Capital Securities (Private) Limited Topline Securities (Private) Limited		303,033		
	032 166 022	Zatar Moti Capital Securities (Private) Limited Topline Securities (Private) Limited BMA Capital Management Limited	Advised Advised	303,033	10-Oct-16 4-Oct-16	ACTIVE ACTIVE