



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1	Market 786 (Private) Limited	Censure Letter	6-May-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
2	Dawood Equities Limited	Removal of Suspension	11-May-22	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/111/22 dated May 11, 2022	15.6.2
3	Dawood Equities Limited	Suspended	11-May-22	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/110/22 dated May 11, 2022	15.2.1(b)
4	Royal Securities (Private) Limited	Censure Letter	27-Apr-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
5	Spinzer Equities (Private) Limited	Censure Letter	25-Apr-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
6	Fikree's (Private) Limited	Removal of Restriction	20-Apr-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-381 dated April 20, 2022	15.6.2
7	Fikree's (Private) Limited	Restriction	18-Apr-22	Consequent of Restriction on Trading Facility by PSX as notified vide notice no PSX/N-371 dated April 18,2022	15.2.1(a)
8	Moneyline Securities (Private) Limited-MF	Terminated	13-Apr-22	Consequent to the termination by NCCPL as an MF Account Holder vide notice no. NCCPL/CS/121/22 dated April 12, 2022	15.3.7
9	Shajar Capital Pakistan (Private) Limited-MF & MT	Terminated	13-Apr-22	Consequent to the termination by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CS/120/22 dated April 12, 2022	15.3.7
10	Sigma Leasing Corporation Limited	Removal of Suspension	12-Apr-22	Account Holder has settled the CDC outstanding dues	15.6.2
11	Faysal Bank Limited	Restriction + Censure	8-Apr-22	Non-Compliance of CDC Regulations	6.2.2 & 7.1.1
12	Faysal Bank Limited	Censure Letter	8-Apr-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
13	KP Securities (Private) Limited	Restricted	29-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by KP Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
14	Patel Securities (Private) Limited	Censure	24-Mar-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 6.2.6 (b)
15	Akhai Securities (Private) Limited	Restriction + Censure	24-Mar-22	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4,6.2.5,6.2.5A & 6.2.6 (b)
16	Habib Bank Limited -LSE Branch	Restriction + Censure	24-Mar-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4,6.2.5,6.2.5A,6.2A.1 & 7.1.1
17	HP Securities (Private) Limited	Terminated	24-Mar-22	Voluntary Termination	15.10.1
18	KP Securities (Private) Limited	Removal of Restriction	22-Mar-22	Consequent to removal of Restrictions by PSX to change the status as an active TRE Certificate holder vide notice no. PSX/N-284 dated March 22, 2022	15.6.2
19	Strongman Securities (Private) Limited	Removal of Restriction	22-Mar-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-280 dated March 22, 2022	15.6.2
20	Spectrum Securities Limited	Censure Letter	21-Mar-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 7.1.1
21	Darson Securities Limited	Censure Letter	21-Mar-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 7.1.1
22	A. H. M. Securities (Private) Limited	Restriction + Censure	21-Mar-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A, 6.2A.1 & 7.1.1
23	Hamza Farhad Securities (Private) Limited	Censure Letter	21-Mar-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 7.1.1
24	Strongman Securities (Private) Limited	Restriction	21-Mar-22	Consequent of Restriction on Trading Facility by PSX as notified vide notice no PSX/N-265 dated March 21,2022	15.2.1(a)
25	Muhammad Amer Riaz Securities (Private) Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Muhammad Amer Riaz Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
26	Asad Mustafa Securities (Private) Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Asad Mustafa Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
27	Fairway Securities (Private) Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Fairway Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
28	Networth Securities Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Networth Securities Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)



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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
29	Fair Edge Securities (Private) Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Fair Edge Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
30	Habib Ullah Sheikh (Private) Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Habib ullah Sheikh (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
31	Friendly Securities (Pvt.) Limited -MF	Restriction	18-Mar-22	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/67/22 dated March 17, 2022	15.2.1(a)
32	Royal Securities (Pvt.) Limited	Restricted	11-Mar-22	Consequent to continuation of Restriction on Trading Facility by PSX as notified vide notice no PSX/N-242 dated March 11,2022	15.2.1(a)
33	Gulrez Securities (Pvt.) Limited	Restricted	11-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Gulrez Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
34	K.H.S. Securities (Pvt.) Limited	Restricted	11-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by K.H.S. Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
35	Tariq Vohra Securities (Pvt)Limited	Restricted	11-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Tariq Vohra Securities (Pvt) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
36	Patel Securities (Private) Limited	Restricted	11-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Patel Securities (Pvt) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
37	ABM Securities (Pvt.) Limited	Restricted	11-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by ABM Securities (Pvt) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
38	A.I. Securities (Pvt.) Limited	Restricted	4-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by A.I. Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
39	MSD Capital Equities (Private) Limited	Restricted	4-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by MSD Capital Equities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
40	Royal Securities (Pvt.) Limited	Restricted	2-Mar-22	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
41	Arif Habib 1857 (Private) Limited	Terminated	1-Mar-22	Voluntary Termination	15.10.1
42	Nini Securities (Pvt.) Limited	Direct	28-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
43	HH Misbah Securities (Private) Limited	Direct	28-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
44	Pervez Ahmed Capital (Pvt.) Limited	Notice in respect of Participant	24-Feb-22	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
45	Infinite Securities Limited	Notice in respect of Participant	24-Feb-22	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
46	Al Baraka Bank (Pakistan) Limited	Restriction of Sub-Accounts + Censure	23-Feb-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2 & 7.1.1
47	Al Baraka Bank (Pakistan) Limited	Restriction of Sub-Accounts + Censure	23-Feb-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
48	Allied Bank Limited - LSE BRANCH	Restriction of Sub-Accounts + Censure	22-Feb-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2 & 7.1.1
49	Azee Securities pvt Limited	Censure Letter	21-Feb-22	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4,6.2.5,6.2.5A, 6.2.6 (b) and 6.7.2
50	Allied Bank Limited - ISE Branch	Restriction of Sub-Accounts + Censure	18-Feb-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2 & 7.1.1
51	Asad Mustafa Securities (pvt.) Limited	Censure Letter	18-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1



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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
52	Ahsam Securities (Pvt.) Limited	Terminated	18-Feb-22	Voluntary Termination	15.10.1
53	Margalla Financial (Pvt.) Limited	Terminated	18-Feb-22	Voluntary Termination	15.10.1
54	Akik Capital (Private) Limited - Thematic	Censure	9-Feb-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
55	Continental Capital Management (Pvt.) Limited - Thematic	Censure	9-Feb-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
56	Cedar Capital (Private) Limited - Thematic	Censure	8-Feb-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
57	KTrade Securities Limited - Thematic	Censure	8-Feb-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
58	Float Securities (Pvt.) Limited	Terminated	7-Feb-22	Voluntary Termination	15.10.1
59	BankIslami Pakistan Limited	Censure + Restriction of 26 Sub-Accounts	2-Feb-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2 & 7.1.1
60	TS Securities (Pvt.) Limited	Direct	28-Jan-22	Non-Compliance of CDC Regulations	7.1.1
61	K.H.S. Securities (Pvt.) Limited	Censure Letter	24-Jan-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
62	First National Equities Limited	Censure Letter	24-Jan-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
63	Azee Securities (Pvt.) Limited	Notice of Intention to Suspend	18-Jan-22	Failure to settle the CDC outstanding dues.	15.9.1(e)
64	KHS Securities (Pvt.) Limited - Thematic	Direct	14-Jan-22	Non-Compliance of CDC Regulations	6.2.3
65	BIPL Securities Limited	Censure Letter	10-Jan-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
66	Ismail Iqbal Securities (Private) Limited	Censure Letter	10-Jan-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.5A
67	Habib Ullah Sheikh (Pvt.) Limited	Direct	10-Jan-22	Non-Compliance of CDC Regulations	7.1.1
68	Pervez Ahmed Capital (Pvt.) Limited	Restricted	3-Jan-22	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
69	Infinite Securities Limited	Restricted	3-Jan-22	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
70	Khawaja Securities (Private) Limited	Removal of Restriction	29-Dec-21	Consequent to restoration trading terminals by PSX vide notice no.PSX/N-1518 dated December 29, 2021	15.6.2
71	IGI Finex Securities Limited	Restriction + Censure	24-Dec-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
72	MND Investment (Private) Limited	Censure Letter	24-Dec-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
73	Bawany Securities (Private) Limited	Direct	24-Dec-21	Non-Compliance of CDC Regulations	7.1.1
74	B & B Securities (Pvt.) Limited	Direct	24-Dec-21	Non-Compliance of CDC Regulations	7.1.1
75	Brains Securities (Pvt.) Limited	Censure Letter	24-Dec-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
76	Q. Ain Khanani Securities (Private) Limited	Censure Letter	22-Dec-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
77	Asda Securities (Private) Limited	Restriction + Censure	22-Dec-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
78	First Equity Modaraba	Direct	17-Dec-21	Non-Compliance of CDC Regulations	7.1.1
79	Shaffi Securities (Pvt.) Limited -MF	Removal of Restriction	17-Dec-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/418/21 dated December 17, 2021	15.6.2
80	Inveslink Capital (Private) Limited	Restricted	17-Dec-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Inveslink Capital (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
81	Khawaja Securities (Private) Limited	Restricted	17-Dec-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1483 dated December 17, 2021	15.2.1(a)
82	Shajar Capital Pakistan (Private) Limited -MF & MT	Restricted	16-Dec-21	Consequent to imposing the Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/415/21 dated December 15, 2021	15.2.1(a)
83	Equity Master Securities (Private) Limited	Censure Letter	10-Dec-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A
84	Bismillah Securities (Private) Limited	Restricted	9-Dec-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Bismillah Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
85	Saima Qaiser Securities (Pvt.) Limited	Restricted	9-Dec-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Saima Qaiser Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)



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86	Arif Habib 1857 (Private) Limited	Restricted	3-Dec-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Arif Habib 1857 (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
87	Z.A. Ghaffar Securities (Private) Limited	Restricted	3-Dec-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Z.A. Ghaffar Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
88	Muhammad Salim Kasmani Securities (Private) Limited	Restricted	26-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Muhammad Salim Kasmani Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
89	JSK Securities Limited	Removal of Restriction	25-Nov-21	Consequent to restoration trading terminals by PSX vide notice no.PSX/N-1387 dated November 25, 2021	15.6.2
90	New Peak Securities (Private) Limited	Direct	25-Nov-21	Non-Compliance of CDC Regulations	7.1.1
91	128 Securities (Private) Limited	Censure Letter	25-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
92	Horizon Securities Limited	Censure Letter	24-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
93	Float Securities (Private) Limited	Restricted	19-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Float Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
94	BMA Capital Management Limited	Censure Letter	19-Nov-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
95	Icon Capital Management (Private) Limited	Terminated	17-Nov-21	Voluntary Termination	15.10.1
96	Shaffi Securities (Pvt.) Limited -MF	Restriction	16-Nov-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/381/21 dated November 16, 2021	15.2.1(a)
97	Friendly Securities (Pvt.) Limited -MF	Removal of Restriction	16-Nov-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/382/21 dated November 16, 2021	15.6.2
98	JSK Securities Limited	Restriction	16-Nov-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1347 dated November 16, 2021	15.2.1(a)
99	Integrated Equities Limited	Direct	15-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
100	Margalla Financial (Pvt.) Limited	Restricted	12-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Margalla Financial (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
101	Bridge Securities (Pvt.) Limited	Restricted	12-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Bridge Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
102	MSD Capital Equities (Private) Limited	Removal of Restriction	11-Nov-21	Consequent to restoration trading terminals by PSX vide notice no.PSX/N-1332 dated November 11, 2021	15.6.2
103	MSD Capital Equities (Private) Limited	Restriction	9-Nov-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1325 dated November 09, 2021	15.2.1(a)
104	Intermarket Securities Limited	Censure Letter	9-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
105	Saya Securities (Pvt) Ltd.	Restricted	5-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Saya Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
106	ASA Stocks (Pvt.) Limited	Restricted	5-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by ASA Stocks (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
107	Value Stock & Commodities (Pvt.) Limited	Censure Letter	2-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
108	Progressive Securities (Pvt.) Limited	Censure Letter	2-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
109	N.U.A Securities (Pvt.) Limited	Censure Letter	1-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
110	Moneyline Securities (Pvt.) Limited	Direct	29-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
111	RAH Securities (Pvt.) Limited	Censure Letter	29-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
112	Strongman Securities (Pvt.) Limited	Censure Letter	26-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A



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113	Foundation Securities (Pvt.) Limited	Censure Letter	22-Oct-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
114	Ghani Osman Securities (Pvt.) Limited	Direct	22-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
115	Moonaco Securities (Private) Limited	Censure Letter	22-Oct-21	Non-Compliance of CDC Regulations	7.1.1
116	AKY Securites (Private) Limited	Direct	22-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
117	Millennium Brokerage (Private) Limited	Censure letter	22-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
118	We Financial Services Limited -MF	Restriction	20-Oct-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/363/21 dated October 18, 2021	15.2.1(a)
119	Friendly Securities (Pvt.) Limited - MF	Restriction	20-Oct-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/364/21 dated October 18, 2021	15.2.1(a)
120	Moneyline Securities (Pvt.) Limited -MF	Restriction	20-Oct-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/365/21 dated October 18, 2021	15.2.1(a)
121	Escorts Capital Limited	Terminated	14-Oct-21	Voluntary Termination	15.10.1
122	Azee Securities (Pvt.) Limited	Removal of Restriction	13-Oct-21	Consequent to restoration trading terminals by PSX vide notice no.PSX/N-1219 dated October 13, 2021	15.6.2
123	Tannu Securities (Private) Limited	Censure	12-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
124	Salim Sozer Securities (Pvt.) Limited	Restricted	8-Oct-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Salim Sozer Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
125	Azee Securities (Pvt.) Limited	Restricted	7-Oct-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1190 dated October 07, 2021	15.2.1(a)
126	Falki Capital (Pvt.) Limited	Restricted	17-Sep-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Falki Capital (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
127	We Financial Services Limited -MF	Removal of Restrictions	17-Sep-21	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/352/21 dated September 17, 2021	15.6.2
128	Royal Securities (Pvt.) Limited -MF	Restricted	13-Sep-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/347/21 dated September 10, 2021	15.2.1(a)
129	HP Securities (Pvt.) Limited	Restricted	10-Sep-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by HP Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
130	Ahsam Securities (Pvt.) Limited	Restricted	10-Sep-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Ahsam Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
131	Pearl Securities Limited	Censure	8-Sep-21	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
132	Askari Securites Limited	Censure	8-Sep-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
133	Azee Securities (Pvt.) Limited	Penalty + Restriction	8-Sep-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b), 6.2A.1, & 8.2.1 (e)
134	Arif Habib Limited	Restriction & Censure	7-Sep-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.7.2
135	Aba Ali Habib Securities (Pvt.) Limited	Direct	7-Sep-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
136	Seven Star Securities (Pvt.) Limited	Censure	6-Sep-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
137	Sherman Securities (Pvt.) Limited	Censure	6-Sep-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
138	Royal Securities (Pvt.) Limited	Removal of Suspension	8-Sep-21	Pursuant to Court Order dated August 25, 2021 of Honorable High Court of Sind and consequent to restoration of the trading terminals by PSX vide notice no. PSX/N-1080 dated September 08, 2021.	15.6.2
139	MRA Securities Limited	Censure	1-Sep-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
140	Standard Capital Securities (Pvt.) Limited	Censure	1-Sep-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
141	Trust Securities & Brokerage Limited	Censure	1-Sep-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
142	Mayari Securities (Pvt) Limited	Censure	31-Aug-21	Non-Compliance of CDC Regulations	6.2A.1 & 7.1.1
143	R.T. Securities (Pvt) Limited	Censure	26-Aug-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
144	Growth Securities (Pvt) Limited	Censure	20-Aug-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
145	EFG Hermes Pakistan Limited	Censure	20-Aug-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
146	Next Capital Limited	Direct	20-Aug-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
147	Bawa Securities (Pvt) Limited	Direct	16-Aug-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
148	Apex Capital Securities (Pvt) Limited	Censure	16-Aug-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
149	INA Securities (Private) Limited	Restricted	6-Aug-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by INA Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
150	Alfa Adhi Securities (PVT) Limited	Censure	27-Jul-21	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.4, 6.2.5, 6.2.5A, 7.1.1, 6.7.2 and 6.2A.1
151	Vector Securities (PVT) Limited	Direct	27-Jul-21	Non-Compliance of CDC Regulations	7.1.1
152	Y.H. Securities (PVT) Limited	Direct	27-Jul-21	Non-Compliance of CDC Regulations	7.1.1
153	Fawad Yusuf Securities (PVT) Limited	Direct	27-Jul-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 7.1.1, 6.7.2 and 6.2A.1
154	Axis Global Limited	Direct	27-Jul-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
155	We Financial Services Limited	Censure	27-Jul-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
156	Merchant Investments (Pvt.) Limited	Direct	26-Jul-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
157	Time Securities (PVT) Limited	Censure	26-Jul-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
158	Adam Securities Limited	Censure	23-Jul-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
159	Pearl Securities Limited	Censure	12-Jul-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
160	Din Capital Limited	Terminated	25-Jun-21	Voluntary Termination	15.10.1
161	Q. Ain Khanani Securities (Private) Limited	Removal of Restriction	17-Jun-21	Consequent to restoration trading terminals by PSX vide notice no. PSX/N-742 dated June 17, 2021	15.6.2
162	Q. Ain Khanani Securities (Private) Limited	Restricted	16-Jun-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-724 dated June 16, 2021	15.2.1(a)
163	First National Equities Limited	Censure	15-Jun-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
164	Fairtrade Cap. Securities (Pvt.) Ltd.	Censure	11-Jun-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
165	Zafar Securities (Private) Limited	Notice of Restriction & Censure	11-Jun-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 7.1.1 & 8.2.1
166	A. H. M. Securities (Pvt.) Limited	Censure	8-Jun-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
167	Muhammad Amer Riaz Securities (Pvt) Ltd.	Censure	8-Jun-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
168	HMC Stocks (Private) Limited	Censure	8-Jun-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
169	Moneyline Securities (Pvt) Ltd	Censure	29-May-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
170	Friendly Securities (Pvt) Ltd	Censure	27-May-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
171	128 Securities (Private) Limited	Censure	27-May-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
172	Saya Securities (Pvt) Ltd.	Direct	27-May-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
173	Irfan Mazhar Securities (Pvt) Ltd.	Censure	27-May-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
174	Azee Securities (Pvt) Ltd	Removal of Suspension	25-May-21	consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/215/21 dated May 25, 2021	15.6.2
175	Azee Securities (Pvt) Ltd	Suspended	25-May-21	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/214/21 dated May 25, 2021	15.2.1(b)
176	ACM Global (Pvt.) Limited	Censure	24-May-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
177	Infinite Securities Limited	Restricted	18-May-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-608 dated May 18, 2021	15.2.1(a)
178	Iqbal Usman Kodvavi Securities (Pvt) Ltd	Censure	6-May-21	Non-Compliance of CDC Regulations	7.1.1
179	Bank Al Habib Limited	Censure	6-May-21	Censure for assuring compliance of CDC Regulations in every respect	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
180	KP Securities (Private) Limited	Notice in respect of Participant	5-May-21	Participant has complied with the Regulation 6.8.2 CDC Regulations	15.6.2
181	Ayub Chaudhry Invest (Pvt.) Limited	Censure + Restriction	23-Apr-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
182	AL Habib Capital Markets (Pvt.) Limited	Censure	23-Apr-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
183	Yasir Mahmood Securities (Pvt.) Limited	Direct	19-Apr-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
184	Muhammad Tariq Moti Securities (Pvt.) Limited	Censure	16-Apr-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
185	We Financial Services Limited - MF	Restricted	16-Apr-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/187/21 dated April 16, 2021	15.2.1(a)
186	Backers & Partners (Pvt.) Limited	Censure	14-Apr-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
187	Yasir Mahmood Securities (Pvt.) Limited	Direct	14-Apr-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
188	DAWOOD EQUITIES LTD.	Censure + Restriction	13-Apr-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
189	Infinite Securities Limited	Removal of Suspension	9-Apr-21	Consequent to lift the suspension of license of the Participant as Securities Broker by SECP vide order dated April 09, 2021 and restoring the trading terminals by PSX as notified vide notice no. PSX /N- 477 dated April 09, 2021	15.6.2
190	Rafi Securities (Pvt.) Limited	Censure	9-Apr-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
191	M. J. Memon Securities (Private) Limited	Terminated	8-Apr-21	Voluntary Termination	15.10.1
192	SAZ CAPITAL SECURITIES (PVT) LTD.	Censure	8-Apr-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
193	Multiline Securities Limited	Censure	7-Apr-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
194	TS SECURITIES (PVT) LTD.	Censure	6-Apr-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
195	Aziz Dawood Securities (Private) Limited	Terminated	5-Apr-21	Voluntary Termination	15.10.1
196	ShajarPak Securities (Private) Limited	Censure	31-Mar-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
197	Amer Securities (Private) Limited	Censure	31-Mar-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
198	Abbasi Securities (Pvt.) Limited	Suspended	30-Mar-21	Due to non-Compliance of 6.8.2 of CDC regulations after completing 60 business days of restrictions	15.3.7
199	Din Capital Limited	Suspended	30-Mar-21	Due to non-Compliance of 6.8.2 of CDC regulations after completing 60 business days of restrictions	15.3.7
200	First Capital Equities Limited	Suspended	30-Mar-21	Due to non-Compliance of 6.8.2 of CDC regulations after completing 60 business days of restrictions	15.3.7
201	IAK Securities (Private) Limited	Suspended	30-Mar-21	Due to non-Compliance of 6.8.2 of CDC regulations after completing 60 business days of restrictions	15.3.7
202	MsManiar Financials (Pvt.) Limited	Restriction & Censure	29-Mar-21	Non-Compliance of CDC Regulations	6.2.2, 6.7.2 & 7.1.1
203	CMA Securities (Pvt) Limited	Notice in respect of Participant	26-Mar-21	Participant has complied with the Regulation 6.8.2 CDC Regulations	15.6.2
204	Insight Securities (Pvt) Limited	Censure	26-Mar-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
205	FDM Capital Securities (Pvt) Limited	Censure	24-Mar-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2A.1, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
206	Baba Equities (Pvt.) Limited	Removal of Restriction	19-Mar-21	Consequent to restoration trading terminals by PSX vide notice no.PSX/N-396 dated March 19, 2021	15.6.2
207	New Peak Securities (Pvt.) Limited	Removal of Restriction	19-Mar-21	Consequent to removal of Restrictions by PSX vide notice no.PSX/N-391 dated March 19, 2021	15.6.2
208	Baba Equities (Pvt.) Limited	Notice in respect of Participant	19-Mar-21	Participant has complied with the Regulation 6.8.2 CDC Regulations	15.6.2
209	AWT Income Fund	Removal of suspension	17-Mar-21	Consequent to the removal of suspension of Account holder by NCCPL as notified vide notice no. NCCPL/CRO/129/21 dated March 17, 2021.	15.6.2
210	AWT Income Fund	Suspended	17-Mar-21	Consequent to the suspension of Account holder by NCCPL as notified vide notice no. NCCPL/CRO/128/21 dated March 17, 2021.	15.2.1(b)
211	Azee Securities (Pvt.) Limited	Restriction & Censure	15-Mar-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
212	Bawany Securities (Private) Limited	Censure	12-Mar-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
213	Y.H. Securities (Pvt.) Limited	Direct	11-Mar-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
214	Muhammad Ashfaq Hussain Securities (Pvt.) Limited	Censure	9-Mar-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
215	First Equity Modaraba	Direct	8-Mar-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
216	H.M. Idrees H. Adam (Pvt.) Limited	Direct	8-Mar-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
217	A. I. Securities (Private) Limited	Direct	8-Mar-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
218	Tannu Securities (Private) Limited	Direct	4-Mar-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
219	JSK Securities Limited	Removal of Restrictions	2-Mar-21	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-295 dated March 01, 2021	15.6.2
220	Dawood Equities Limited.	Restriction & Censure	24-Feb-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
221	Market 786 (Private) Limited	Censure	24-Feb-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
222	Cedar Capital (PVT.) Limited	Censure	24-Feb-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
223	Khadim Ali Shah Bukhari Securities (Pvt) Ltd	Restriction & Censure	16-Feb-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
224	H.P. Byramji & Co. (Pvt.) Limited	Terminated	15-Feb-21	Voluntary Termination	15.10.1
225	Prime Securities (Private) Limited	Censure	9-Feb-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
226	We Financial Services Limited -MF	Removal of Restrictions	3-Feb-21	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/92/21 dated February 03, 2021	15.6.2
227	Venus Securities (Pvt.) Limited	Censure	2-Feb-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
228	ABBASI & COMPANY (PRIVATE) LIMITED	Censure	29-Jan-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.2A & 7.1.1
229	M. J. Memon Securities (Pvt.) Limited	Removal of Restrictions	28-Jan-21	Participant has complied with the Regulation 6.8.2	15.6.2
230	Zafar Moti Capital Securities (Pvt) Ltd.	Censure	26-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
231	Moonaco Securities (Private) Limited	Censure	26-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
232	Creative Capital Securities (Pvt) Ltd.	Censure	26-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
233	Royal Securities (Pvt.) Limited	Suspension	25-Jan-21	Consequent to the suspension of license of the Participant as Securities Broker by SECP vide order dated January 22,2021	15.2.1(b)
234	ALFALAH SECURITIES (PRIVATE) LIMITED	Censure	25-Jan-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
235	SUMMIT CAPITAL (PRIVATE) LIMITED	Censure	22-Jan-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
236	Apex Capital Securities (Pvt) Limited	Censure	22-Jan-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
237	Hamza Farhad Securities (Pvt.) Limited	Censure	19-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
238	NEW PEAK SECURITIES (PVT) LTD.	Censure	19-Jan-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
239	Iqbal Usman Kodvavi Securities (Pvt) Ltd	Censure	18-Jan-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
240	GMI Capital Securities (Pvt) Ltd.	Censure	18-Jan-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
241	Equity Master Securities (PVT.) Limited	Censure	12-Jan-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
242	Mayari Securities (Pvt) Limited	Censure	12-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 6.2.6 (b)
243	Equity Master Securities (PVT.) Limited	Censure	11-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 6.2.6 (b)
244	Gazipura Securities & Services (Private) Limited	Censure	11-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 6.2.6 (b)
245	Horizon Securities Limited	Censure	11-Jan-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
246	Infinite Securities Limited	Suspension	11-Jan-21	Consequent to the suspension of license of the Participant as Securities Broker stands suspended in light of SECP vide order dated November 10,2020 and switched off the trading terminals by PSX as notified vide notice no. PSX /N- 27 dated January 11, 2021.	15.2.1(b)
247	JSK Securities Limited	Notice in respect of Participant	5-Jan-21	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
248	Lakhani Securities (PVT) Limited.	Direct	4-Jan-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
249	M. J. Memon Securities (Pvt.) Limited	Restriction	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
250	Abbasi Securities (Pvt.) Limited	Restriction	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
251	JSK Securities Limited	Restriction	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
252	Din Capital Limited	Restriction	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
253	First Capital Equities Limited	Restriction	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
254	IAK Securities (Private) Limited	Restriction	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
255	INVESTMENT MANAGERS SECURITIES (PVT.) LIMITED	Censure + Restriction	31-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
256	RAFI SECURITIES (PRIVATE) LIMITED	Censure	30-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
257	First National Equities Limited	Censure	28-Dec-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5 & 6.2.5A
258	ROYAL SECURITIES (PVT) LIMITED	Censure	24-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
259	SPECTRUM SECURITIES LIMITED	Restriction & Censure	24-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
260	A. H. M. Securities (Pvt.) Limited	Censure	24-Dec-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
261	BRAINS SECURITIES (PVT) LTD	Restriction & Censure	22-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
262	128 Securities (Private) Limited	Censure	22-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
263	Adeel & Nadeem Securities (Pvt.) Limited	Direct	22-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
264	RAHAT SECURITIES LIMITED	Direct	22-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
265	Amer Securities (Private) Limited - MF	Terminated	18-Dec-20	Voluntary Termination -MF	15.10
266	MND INVESTMENT (PVT) LTD.	Direct	16-Dec-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
267	MEMON SECURITIES (PVT.) LIMITED	Censure	16-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
268	TARIQ VOHRA SECURITIES (PVT) LIMITED	Direct	16-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
269	ISMAIL IQBAL SECURITIES (PVT) LTD.	Censure	15-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A,6.2.3,6.2.2A and 6.2.6 (b)
270	Sakarwala Capital Securities (Pvt.) Limited	Direct	15-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
271	Nini Securities (Pvt.) Limited	Direct	15-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
272	Progressive Securities (Pvt.) limited	Direct	15-Dec-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
273	NETWORTH SECURITIES LIMITED	Direct	14-Dec-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
274	JAVED IQBAL SECURITIES (PVT) LTD.	Censure	14-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
275	SURMAWALA SECURITIES (PRIVATE) LIMITED	Censure	14-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A,6.2.2A and 6.2.6 (b)
276	ABA ALI HABIB SECURITIES (PVT) LIMITED	Direct	14-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
277	N.U.A SECURITIES (PRIVATE) LIMITED	Censure	7-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A,6.2.3,6.2.2A and 6.2.6 (b)
278	INSIGHT SECURITIES (PVT.) LIMITED	Censure	7-Dec-20	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
279	Fortune Securities Limited	Direct	30-Nov-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
280	BMA Capital Management (Pvt.) Limited	Direct	23-Nov-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
281	Friendly Securities (Pvt.) Limited	Censure	23-Nov-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 8.2.1(e)
282	Bawa Securities (Pvt.) Limited	Direct	23-Nov-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
283	Shaukat Shafi Securities (Private) Limited	Terminated	25-Nov-20	Voluntary Termination	15.10.1
284	Akhai Securiteis (Private) Limited	Removal of Restrictions	12-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1274 dated November 12, 2020	15.6.2
285	Q. Ain Khanani Securities (Private) Limited	Removal of Restrictions	11-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1262 dated November 10, 2020	15.6.2
286	Akhai Securiteis (Private) Limited	Restricted	11-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1265 dated November 10, 2020	15.2.1(a)
287	Muhammad Ashfaq Hussain Securities (Private) Limited	Restricted	11-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1263 dated November 10, 2020	15.2.1(a)
288	Muhammad Ashfaq Hussain Securities (Private) Limited	Removal of Restrictions	11-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1268 dated November 11, 2020	15.6.2
289	Continental Capital Management (Private) Limited	Removal of Restrictions	4-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1240 dated November 04, 2020	15.6.2
290	Continental Capital Management (Private) Limited	Restricted	3-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1225 dated November 03, 2020	15.2.1(a)
291	Q. Ain Khanani Securities (Private) Limited	Restricted	3-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1226 dated November 03, 2020	15.2.1(a)
292	Amer Securities (Private) Limited - MF	Restricted	3-Nov-20	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/311/20 dated November 03, 2020	15.2.1(a)
293	We Financial Services Limited - MF	Restricted	3-Nov-20	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/312/20 dated November 03, 2020	15.2.1(a)
294	Fairway Securities (Private) Limited - MF & MT	Removal of Restrictions	3-Nov-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/309/20 dated November 03, 2020	15.6.2
295	A. I. Securities (Private) Limited	Removal of Restrictions	2-Nov-20	Consequent to restoration of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1215 dated November 02, 2020	15.6.2
296	A. I. Securities (Private) Limited	Restricted	29-Oct-20	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-1207 dated October 29, 2020.	15.2.1(a)
297	Darson Securities (Pvt.) Limited	Censure	28-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.2A
298	Next Capital Limited	Censure	28-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
299	A.S. Securities (Pvt.) Limited	Censure + Restrictions	27-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A
300	The Bank of Khyber	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2
301	Silkbank Limited	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
302	Summit Bank Limited	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2
303	Saudi Pak Industrial & Agricultural Investment Co. Limited	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2
304	MRA Securities Limited	Censure + Restrictions	21-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.2A
305	S.D. MIRZA SECURITIES (PVT) LTD.	Censure	19-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
306	MSD CAPITAL EQUITIES (PVT) LTD.	Censure + Restrictions	14-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
307	SINDH BANK LIMITED	Final Report issued	14-Oct-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
308	National Bank of Pakistan	Final Report issued	14-Oct-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
309	IAK Securities (Pvt) Limited - Regular	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
310	SHAJAR CAPITAL PAKISTAN (PRIVATE) LIMITED	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
311	HABIB ULLAH SHEIKH (PVT) LTD.	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
312	BRAINS SECURITIES (PVT) LTD	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
313	KHADIM ALI SHAH BUKHARI SECURITIES (PRIVATE) LIMITED	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
314	Xpert Securities Limited	Notice of Removal of Restriction	7-Oct-20	Consequent to removal of Restrictions by PSX to change the status as an active TRE Certificate holder vide notice no. PSX/N -1116 dated October 07, 2020	15.6.2
315	MSD Capital Equities (Private) Limited	Notice of Removal of Restriction	5-Oct-20	Consequent to removal of Restrictions by PSX to change the status as an active TRE Certificate holder vide notice no. PSX/N -1099 dated October 02, 2020	15.6.2
316	Arch Capital Securities (Private) Limited	Terminated	28-Sep-20	Voluntary Termination	15.10.1
317	Reliance Securities Limited	Notice in respect of Participant	28-Sep-20	Consequent to removal of suspension of Reliance Securities Limited by Pakistan Stock Exchange Limited as notified by PSX vide notice no. PSX/N-1058 dated September 25, 2020. However, Trading terminal has not activated due to the brokerage license of Reliance Securities has been expired.	15.6.2 and 15.2.1(a)
318	R.T SECURITIES (PVT.) LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
319	PUNJAB CAPITAL SECURITIES (PVT) LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
320	Taurus Securities Limited - LSI	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
321	SPECTRUM SECURITIES LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
322	TAURUS SECURITIES LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
323	Horizon Securities Limited	Censure	23-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
324	INA SECURITIES (PVT) LTD	Censure	23-Sep-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
325	SPINZER EQUITIES (PRIVATE) LIMITED	Censure	23-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
326	KHAWAJA SECURITIES (PVT.) LIMITED	Censure	17-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
327	SALMAN MAJEED SECURITIES (PRIVATE) LIMITED	Censure	17-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
328	FIRST STREET CAPITAL (PVT.) LTD.	Censure	17-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
329	New Peak Securities (Private) Limited	Restrictions on opening of New Sub-Accounts	17-Sep-20	Consequent to restriction on opening of new clients' account by the Participant as notified by PSX vide notice no. PSX/N/1017 dated September 17, 2020	15.2.1(a)
330	SAAO CAPITAL (PVT) LIMITED	Censure + Restriction	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
331	ZAFAR SECURITIES (PRIVATE) LIMITED	Censure	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
332	DATTOO SECURITIES (PVT.) LTD.	Censure	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
333	Muhammad Tariq Moti Securities (Pvt) Ltd.	Censure + Restriction	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
334	Dossanis Securities (Pvt) Limited	Censure	10-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
335	Pearl Securities Limited	Censure + Restriction	9-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, & 6.2.5A
336	Faysal Bank Limited	Final Report issued	9-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
337	Time Securities (Pvt.) Ltd. - Regular	Censure	9-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1
338	ASDA Securities (Private) Limited	Removal of Restrictions	3-Sep-20	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/265/20 dated September 03, 2020	15.6.2
339	Trust Securities & Brokerage Limited	Censure	28-Aug-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
340	Rahat Securities Limited - LSI	Censure	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
341	Millennium Brokerage (Pvt.) Limited	Censure	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
342	We Financial Services Limited	Censure	28-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
343	PAKISTAN KUWAIT INVESTMENT COMPANY (PVT) LTD	Final Report Issued	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
344	SAMBA BANK LIMITED	Final Report Issued	28-Aug-20	Non-Compliance of CDC Regulations	6.2.2
345	SONERI BANK LIMITED	Final Report Issued	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
346	RAH SECURITIES (PVT) LIMITED	Censure	27-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
347	KOSMOPOLITAN SECURITIES (PRIVATE) LIMITED	Censure	27-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
348	Zafar Moti Capital Securities (Pvt) Ltd. - Regular	Censure + Restriction	21-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1
349	Friendly Securities (Pvt) Ltd.	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
350	ASIAN SECURITIES LIMITED	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
351	FIRST NATIONAL EQUITIES LIMITED	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
352	ELEVEN STARS SECURITIES (PVT) LTD	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
353	M. M. SECURITIES (PVT.) LIMITED	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
354	Fairtrade Capital Securities (Pvt.) Limited	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
355	Askari Securities Limited	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
356	EFG HERMES PAKISTAN LIMITED	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
357	Amer Securities (Private) Limited	Removal of Restrictions	19-Aug-20	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/248/20 dated August 18, 2020	15.6.2
358	Fair Edge Securities (Private) Limited - Regular	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
359	Growth Securities (Pvt) Ltd. - LSI	Censure + Restriction	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
360	Integrated Equities Limited - Regular	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
361	B & B SECURITIES (PRIVATE) LIMITED	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
362	FAIRWAY SECURITIES (PVT) LIMITED	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
363	HIGH LAND SECURITIES (PVT) LIMITED	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
364	R.A. Securities (Private) Limited	Terminated	30-Jul-20	Voluntary Termination	15.10.1
365	Apex Capital Securities (Pvt) Limited - Regular	Censure + Restriction	24-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1
366	General Invest. & Securities (Pvt) Ltd. - Regular	Censure	24-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
367	MGM Securities (Private) Limited	Censure	24-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
368	GENERAL INVEST. & SECURITIES (PVT) LTD.	Censure	20-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
369	ABM Securities (Pvt.) Limited	Censure	16-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
370	ASDA Securities (Pvt.) Ltd.	Censure + Restriction	16-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
371	Asad Mustafa Securities (Private) Limited - MT & MF	Removal of Restrictions	16-Jul-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/224/20 dated July 16, 2020	15.6.2
372	Patel Securities (Private) Limited	Removal of Suspension	14-Jul-20	Consequent to the removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/222/20 dated July 14, 2020.	15.6.2
373	Patel Securities (Private) Limited	Suspended	14-Jul-20	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/221/20 dated July 14, 2020.	15.2.1(b)
374	MILLENNIUM BROKERAGE (PVT.) LIMITED	Censure	9-Jul-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
375	Mayari Securities (Pvt.) Limited	Censure	8-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
376	Fair Edge Securities (pvt.) limited	Censure	6-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
377	HAMZA FARHAD SECURITIES (PVT.) LIMITED	Censure	6-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
378	Pasha Securities (Pvt.) Limited	Censure	6-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
379	SAZ Capital Securities (Pvt.) Limited - Regular	Censure	1-Jul-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 8.2.1
380	General Invest. & Securities (Pvt) Ltd.	Censure	29-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
381	Progressive Securities (Private) Limited	Censure	29-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
382	Backers & Partners (Pvt.) limited	Censure	26-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
383	PUNJAB CAPITAL SECURITIES (PVT) LIMITED	Censure	26-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
384	Fikree'S (Private) Limited - Regular	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1
385	Value Stock And Commodities (Private) Limited	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
386	Hamza Farhad Securities (Pvt.) Limited - Regular	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
387	High Land Securities (Pvt.) Limited	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
388	JAVED IQBAL SECURITIES (PVT) LTD.	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
389	GULREZ SECURITIES (PRIVATE) LIMITED	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
390	Bawa Securities (Pvt) Ltd.	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
391	DR. ARSLAN RAZAQUE SECURITIES (PVT) LTD.	Notice of Restriction & Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
392	MRA Securities Limited	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
393	Sethi Securities (Pvt) Ltd - Regular	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2A.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
394	Zahid Latif Khan Securities (Pvt.) limited	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.5A
395	MONEYLINE SECURITIES (PRIVATE) LIMITED	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
396	Intermarket Securities Limited	Notice of Restriction & Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
397	Asad Mustafa Securities (Private) Limited - MT & MF	Restricted	16-Jun-20	consequent to imposing the Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/187/20 dated June 16, 2020	15.2.1(a)
398	Shajar Capital Pakistan (Pvt.) Limited	Notice of Removal of Restriction	16-Jun-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/188/20 dated June 16, 2020	15.6.2
399	Creative Capital Securities (Pvt.) Limited	Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
400	Msmaniar Financial (Pvt.) Limited	Notice of Restriction & Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
401	Cedar Capital (Pvt.) Limited	Notice of Restriction & Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
402	Msmaniar Financial (Pvt.) Limited	Notice of Restriction & Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
403	New Peak Securities (Pvt.) Limited	Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
404	ASA Stocks (Pvt.) Limited	Notice of Restriction & Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
405	Askari Bank Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2
406	Bank Alfalah Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
407	Habib Bank Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
408	Al Baraka Bank (Pakistan) Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
409	Bank Islami Pakistan Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
410	Concordia Securities (Private) Limited	Terminated	28-May-20	Voluntary Termination	15.10.1
411	Vecttor Secrities (Private) Limited - MF	Removal of Restrictions	18-May-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/182/20 dated May 18, 2020	15.6.2
412	First Street Capital (Private) Limited - MF & MT	Removal of Restrictions	15-May-20	Consequent to removal of restriction by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/181/20 dated May 15, 2020.	15.6.2
413	Progressive Investment Management (Pvt.) Ltd	Censure	14-May-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
414	Falki Capital (Private) Limited	Censure	14-May-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
415	Bridge Securities (Pvt.) Limited	Notice of Restriction & Censure	14-May-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
416	MCFSL-Trustee Allied Capital Protected Fund	Terminated	23-Apr-20	Voluntary Termination	15.10.1
417	Vecttor Secrities (Private) Limited - MF	Restricted	17-Apr-20	consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/163/20 dated April 17, 2020	15.2.1(a)
418	First Street Capital (Private) Limited - MF & MT	Restricted	17-Apr-20	consequent to imposing the Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/164/20 dated April 17, 2020	15.2.1(a)
419	Zillion Capital Securities (Private) Limited - MF	Restricted	17-Apr-20	consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/162/20 dated April 17, 2020	15.2.1(a)
420	Royal Securities (Pvt.) Ltd.	Censure	10-Apr-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
421	Next Capital Limited	Notice of Restriction & Censure	2-Apr-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
422	Axis Global Limited	Censure	2-Apr-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
423	HMC Stocks (Pvt.) Limited	Censure	2-Apr-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
424	Khawaja Securities (Pvt.) Limited	Censure	2-Apr-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
425	Baba Equities (Pvt.) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of Restrictions.	15.3.7
426	KP Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
427	M. F. Stocks (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
428	Beaming Investment & Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
429	RUC Securities Private Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
430	Maha Securities (Pvt.) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
431	F.M. Securities (Pvt.) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
432	CMA Securities (Pvt) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
433	A. S. Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
434	Reliance Securities Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
435	Akhai Securities (Private) Limited	Removal of Restrictions	24-Mar-20	Consequent to restoration of trading terminals of Participant by PSX vide notice noPSX/N-407 dated March 24, 2020.	15.6.2
436	Amer Securities (Private) Limited - MF	Restricted	17-Mar-20	Consequent to imposing the Restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/130/20 dated March 17, 2020.	15.2.1(a)
437	Akhai Securities (Private) Limited	Restricted	17-Mar-20	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-353 dated March 17, 2020.	15.2.1(a)
438	JSK Securities Limited	Restricted	17-Mar-20	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-353 dated March 17, 2020.	15.2.1(a)
439	ASDA Securities (Pvt.) Limited - MF	Restricted	17-Mar-20	Consequent to imposing the Restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/127/20 dated March 17, 2020.	15.2.1(a)
440	Zillion Capital Securities Pvt. Limited - MF	Removal of Restrictions	16-Mar-20	Consequent to removal of restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/124/20 dated March 13, 2020.	15.6.2
441	Amer Securities (Private) Limited - MF	Removal of Restrictions	13-Mar-20	Consequent to removal of restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/122/20 dated March 13, 2020.	15.6.2
442	BIPL Securities Limited	Notice of Restriction & Censure	3-Mar-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
443	First Capital Equities Limited	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
444	Din Capital Limited	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
445	Concordia Securities (Private) Limited	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
446	IAK Securities (Private) Limited	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
447	Abbasi Securities (Pvt.) Limited - MT and MF	Restricted	20-Feb-20	Consequent to imposing the restriction by NCCPL as an MF Account Holder and MT Account Holder vide notice no. NCCPL/CRO/103/20 dated February 19, 2020.	15.2.1(a)
448	Fairway Securities (Pvt.) Limited - MT and MF	Restricted	20-Feb-20	Consequent to imposing the restriction by NCCPL as an MF Account Holder and MT Account Holder vide notice no. NCCPL/CRO/102/20 dated February 19, 2020.	15.2.1(a)
449	Shajar Capital Pakistan (Pvt.) Limited - MT and MF	Restricted	20-Feb-20	Consequent to imposing the restriction by NCCPL as an MF Account Holder and MT Account Holder vide notice no. NCCPL/CRO/104/20 dated February 19, 2020.	15.2.1(a)
450	Reliance Securities Limited	Suspended	14-Feb-20	Consequent to suspension of TRE Certificate of Participant by PSX vide notice no. PSX/N-201 dated February 14, 2020.	15.2.1(b)
451	BankIslami Pakistan Limited	Terminated	14-Feb-20	Voluntary Termintaion	15.10.1
452	Azee Securities (Private) Limited	Removal of Suspension	10-Feb-20	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/90/20 dated February 10, 2020	15.6.2
453	Azee Securities (Private) Limited	Suspended	10-Feb-20	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/89/20 dated February 10, 2020.	15.2.1(b)
454	Xpert Securities Limited	Notice in respect of Participant	7-Feb-20	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
455	AMCAP Securities (Private) Limited	Terminated	31-Jan-20	Consequent to the forfeiture of TRE Certificate of the Participant by PSX vide notice no. PSX/N-137 dated January 31, 2020.	15.3.7
456	Luxor Securities (SMC-Private) Limited	Terminated	30-Jan-20	Voluntary Termintaion	15.10.1
457	Foundation Securities (Pvt.) Limited	Notice of Restriction & Censure	27-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
458	Foundation Securities (Pvt.) Limited	Notice of Restriction & Censure	27-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
459	MCFSL-Trustee Askari Islamic Asset Allocation Fund	Terminated	21-Jan-20	Voluntary Termination	15.10.1
460	K & I Global Capital (Pvt.) Limited	Censure	14-Jan-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
461	Amer Securities (Pvt.) Limited	Censure	14-Jan-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
462	Ayub Chaudhary Investment (Pvt.) Limited	Notice of Restriction & Censure	13-Jan-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
463	Habib Metropolitan Financial Services Limited	Censure	10-Jan-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
464	Shajar Capital Pakistan (Private) Limited	Notice of Restriction & Censure	10-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
465	Q. Ain Khanani Securities (Private) Limited	Notice of Restriction & Censure	9-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
466	Oriental Securities (Pvt.) Limited	Censure	7-Jan-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
467	Surmawala Securities (Private) Limited	Censure	7-Jan-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
468	Baba Equities (Pvt.) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
469	KP Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
470	M. F. Stocks (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
471	Xpert Securities Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
472	Beaming Investment & Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
473	Reliance Securities Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
474	RUC Securities Private Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
475	Maha Securities (Pvt.) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
476	F.M. Securities (Pvt.) Ltd.	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
477	CMA Securities (Pvt) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
478	A. S. Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
479	Chenab Stock Services (Private) Limited	Terminated	31-Dec-19	Voluntary Termination	15.10.1
480	ASDA Securities (Pvt.) Limited - MF	Removal of Restriction	20-Dec-19	Consequent to removal of restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/209/19 dated December 19, 2019.	15.6.2
481	Abid Ali Habib Securities (Private) Limited	Terminated	11-Dec-19	Voluntary Termination	15.10.1
482	JS Global Capital Limited	Censure	10-Dec-19	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
483	Bhayani Securities (Pvt) Ltd.	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
484	Akhai Securities (Pvt.) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
485	Muhammad Saim Kasmani Securities (Pvt.) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
486	Growth Securities (Pvt.) limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
487	Fawad Yusuf Securities (Pvt.) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
488	Value Stock & Commodities (Pvt.) limited	Notice of Restriction & Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
489	Ismail Iqbal Securities (Pvt.) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
490	S.D. Mirza Securities (Pvt.) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
491	Alfa Adhi Securities (Pvt.) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
492	Abbasi Securities (Pvt.) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
493	Jamshaid & Hasan Securities (Private) Limited	Terminated	27-Nov-19	Voluntary Termination	15.10.1
494	AL Habib Capital Markets (Pvt.) Limited	Censure	25-Nov-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) & 6.2.2A
495	H.P. Byramji & Co. (Pvt.) Limited	Censure	25-Nov-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
496	High Land Securities (Pvt) Limited	Censure	25-Nov-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
497	Yasir Mahmood Securities (Pvt) Ltd.	Censure	25-Nov-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
498	Techno Fundamental Securities (Private) Limited	Terminated	21-Nov-19	Voluntary Termination	15.10.1
499	Schon Capital Markets Limited	Terminated	18-Nov-19	Voluntary Termination	15.10.1
500	Xpert Securities Limited	Restricted	18-Nov-19	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-1469 dated November 18, 2019 .	15.2.1(a)
501	MSD Capital Equities (Private) Limited	Restricted	18-Nov-19	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-1480 dated November 18, 2019 .	15.2.1(a)
502	Share Centre (Private) Limited	Terminated	7-Nov-19	Voluntary Termination	15.10.1
503	M. Munir M. Ahmed Khanani Securities (Pvt.) Limited	Notice of imposition of Penalty	5-Nov-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.7.3(a)
504	BMA Capital Management Limited	Notice of Restriction & Censure	31-Oct-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
505	Azee Securities (Private) Limited	Suspended	22-Oct-19	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/187/19 dated October 22, 2019.	15.2.1(b)
506	Azee Securities (Private) Limited	Removal of Suspension	22-Oct-19	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/188/19 dated October 22, 2019	15.6.2
507	BankIslami Pakistan Limited	Terminated	16-Oct-19	Voluntary Termination	15.10.1
508	Market 786 (Private) Limited	Notice of Restriction & Censure	14-Oct-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
509	Al-Hoqani Securities & Investment Corporation (Private) Limited	Terminated	10-Oct-19	Voluntary Termination	15.10.1
510	Pervez Ahmed Capital (Pvt.) Limited	Restricted	7-Oct-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1249 dated October 07, 2019 .	15.2.1(a)
511	AAA Securities (Private) Limited	Censure	7-Oct-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
512	Equity Master Securities (Pvt.) Limited	Censure	1-Oct-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
513	Hamza Farhad Securities (Pvt.) Limited	Removal of Restrictions	27-Sep-19	Consequent to restoration of trading terminals of Participant by PSX vide notice no. PSX/N-1201 dated September 27, 2019.	15.6.2
514	South Asian Securities (Private) Limited	Terminated	26-Sep-19	Voluntary Termination	15.10.1
515	Dawood Equities Ltd.	Notice of Restriction & Censure	23-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1 (e)
516	Hamza Farhad Securities (Pvt.) Limited	Restricted	19-Sep-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1162 dated September 19, 2019.	15.2.1(a)
517	ASDA Securities (Pvt.) Limited - MF	Restricted	17-Sep-19	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/127/19 dated September 17, 2019.	15.2.1(a)
518	Progressive Securities (Pvt.) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
519	Rahat Securities Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
520	Adeel & Nadeem Securities (Pvt.) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
521	MND Investment (Pvt.) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
522	Insight Securities (Pvt.) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
523	Salman Majeed Securities (Private) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
524	Dattoo Securities (Pvt.) Ltd.	Notice of Restriction & Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 8.2.1(e), 8.6.1(e), 8.2.2, 8.2.3 and 6.2A.1
525	Gul Dhami Securities (Pvt) Ltd	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
526	We Financial Services Limited	Removal of Suspension	16-Sep-19	Consequent to lift up the suspension of license of Participant by SECP vide Order dated September 16, 2019 as Securities Broker.	15.6.2
527	Zillion Capital Securities Pvt. Limited - MF	Restricted	16-Sep-19	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/122/19 dated September 13, 2019.	15.2.1(a)
528	Amer Securities (Private) Limited - MF	Restricted	16-Sep-19	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/123/19 dated September 16, 2019.	15.2.1(a)
529	Baba Equities (Pvt.) Limited	Restricted	16-Sep-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1132 dated September 16, 2019 .	15.2.1(a)
530	We Financial Services Limited	Suspended	6-Sep-19	Consequent to suspension of the license of Participant by SECP vide order dated September 06, 2019 as Securities Broker.	15.2.1(b)
531	Msmaniar Financial (Pvt.) Limited	Censure	5-Sep-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 and 6.2.5A
532	FDM Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
533	Summit Capital (Pvt.) Limited	Notice of Restriction & Censure	5-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
534	Tariq Sayeed Securities (Pvt) Limited	Terminated	4-Sep-19	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
535	Ashfaq Ashraf Securities (Private) Limited	Terminated	2-Sep-19	Voluntary Termination	15.10.1
536	Nayyar Sheikh Securities (Pvt.) Limited	Terminated	30-Aug-19	Voluntary Termination	15.10.1
537	Haji Abdul Sattar Securities (Pvt.) Limited	Terminated	30-Aug-19	Voluntary Termination	15.10.1
538	M H Securities (Private) Limited	Terminated	27-Aug-19	Voluntary Termination	15.10.1
539	R.F.J. Equity (Private) Limited	Terminated	21-Aug-19	Voluntary Termination	15.10.1
540	Zahid Latif Khan Securities (Pvt.) Limited	Censure	8-Aug-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
541	Memon Securities (Pvt.) Limited	Censure	8-Aug-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
542	Rafi Securities (Pvt.) Ltd	Censure	8-Aug-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
543	Multiline Securities (Pvt) Limited	Censure	31-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
544	Maan Securities (Private) Limited	Censure	26-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
545	Shajarpak Securities (Pvt) Limited	Censure	26-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
546	Nayyar Sheikh Securities (Pvt) Ltd.	Censure	26-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
547	Khawaja Securities (Pvt.) Limited	Censure	25-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
548	IAK Securities (Private) Limited	Removal of Restrictions	18-Jul-19	Consequent to restoration of trading terminals of Participant by PSX, as notified by PSX vide notice no. PSX/N-876 dated July 17, 2019.	15.6.2
549	IAK Securities (Private) Limited	Restricted	16-Jul-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-872 dated July 16, 2019 .	15.2.1(a)
550	Topline Securities Limited	Censure	15-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
551	Aba Ali Habib Securities (Pvt.) Limited	Censure	15-Jul-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 and 6.2.5A
552	Azee Securities (Private) Limited	Removal of Suspension	15-Jul-19	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/104/19 dated July 15, 2019.	15.6.2
553	KP Securities (Private) Limited	Restricted	15-Jul-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-867 dated July 15, 2019.	15.2.1(a)
554	Azee Securities (Private) Limited	Suspended	15-Jul-19	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/103/19 dated July 15, 2019.	15.2.1(b)
555	Alfalah Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Jul-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
556	Taurus Securities Limited	Notice of Restriction & Censure	9-Jul-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
557	Reliance Securities Limited	Removal of Restrictions	28-Jun-19	Consequent to restoration of trading terminals of Participant by PSX, as notified by PSX vide notice no. PSX/N-803 dated June 28, 2019.	15.6.2
558	Dawood Equities Limited	Suspended	26-Jun-19	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/92/19 dated June 26, 2019.	15.2.1(b)
559	Dawood Equities Limited	Removal of Suspension	26-Jun-19	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/93/19 dated June 26, 2019.	15.6.2
560	CMA Securities (Pvt.) Limited	Notice in respect of Participant	21-Jun-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
561	Reliance Securities Limited	Restricted	18-Jun-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-745 dated June 18, 2019.	15.2.1(a)
562	Diyanah Islamic Financial Services (Private) Limited	Terminated	11-Jun-19	Voluntary Termination	15.10.1
563	Standard Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	31-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 and 6.2.5A
564	Din Capital Limited	Censure	31-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
565	Azee Securities (Private) Limited	Notice of Restriction & Censure	30-May-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 and 6.2.5A
566	Nini Securities (Pvt.) Limited	Censure	30-May-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.5A
567	R.T. Securities (Pvt.) Limited	Notice of Restriction & Censure	30-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
568	Khadim Ali Shah Bukhari Securities (Pvt.) Limited	Notice of Restriction & Censure	28-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
569	A. H. M. Securities (Pvt.) Limited	Notice of Restriction & Censure	28-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
570	Omni Capital Management (Private) Limited	Terminated	23-May-19	Voluntary Termination	15.10.1
571	First Capital Equities Limited	Removal of Restriction	21-May-19	Consequent to restoration of trading terminals of Participant by PSX , as notified by PSX vide notice no. PSX/N-638 dated May 21, 2019.	15.6.2
572	First Capital Equities Limited	Restricted	16-May-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-622 dated May 16, 2019.	15.2.1(a)
573	Azee Securities (Private) Limited	Suspended	14-May-19	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/68/19 dated May 14, 2019.	15.2.1(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
574	Azee Securities (Private) Limited	Removal of Suspension	14-May-19	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/69/19 dated May 14, 2019.	15.6.2
575	KSR Stock Brokerage (Pvt) Limited	Terminated	13-May-19	Voluntary Termination	15.10.1
576	Azee Securities (Private) Limited	Suspended	9-May-19	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/66/19 dated May 09, 2019.	15.2.1(b)
577	Azee Securities (Private) Limited	Removal of Suspension	9-May-19	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/67/19 dated May 09, 2019.	15.6.2
578	Spectrum Securities Limited	Notice of Restriction & Censure	9-May-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
579	Beaming Investment & Securities (Private) Limited	Notice in respect of Participant	7-May-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
580	SAL Securities (Pvt) Limited	Terminated	2-May-19	Voluntary Termination	15.10.1
581	Intermarket Securities Limited	Notice of Restriction & Censure	30-Apr-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
582	Royal Securities (Pvt.) Limited	Censure	29-Apr-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
583	EFG Hermes Pakistan Limited	Notice of Restriction & Censure	29-Apr-19	Non-Compliance of CDC Regulations	6.2.2 & 6.2.2A
584	Cassim Investment (Private) Limited	Terminated	19-Apr-19	Voluntary Termination	15.10.1
585	CMA Securities (Pvt) Limited	Suspended	9-Apr-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
586	Beaming Investment & Securities (Private) Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
587	First Fidelity Leasing Modaraba	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
588	Millennium Securities & Investments (Private) Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
589	Diyanah Islamic Financial Services (Private) Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
590	SMAC Investments (Private) Ltd.	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
591	First Pakistan Securities Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business day of restrictions.	15.3.7
592	Multiline Securities (Pvt.) Limited	Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
593	Seven Star Securities (Pvt.) Limited	Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, & 6.2.5A
594	Vector Securities (Pvt.) Limited	Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
595	Muhammad Ashfaq Hussain Securities (Pvt.) Limited	Notice of Restriction & Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
596	Prime Securities (Pvt.) Limited	Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2A.1, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
597	Saao Capital (Pvt.) Limited	Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
598	IAK Securities (Private) Limited	Removal of Restrictions	22-Mar-19	Consequent to restoration of trading terminals of Participant by PSX with effect from Monday, March 25, 2019, as notified by PSX vide notice no. PSX/N-337 dated March 22, 2019.	15.6.2
599	Pine Securities (Private) Limited	Terminated	22-Mar-19	Voluntary Termination	15.10.1
600	RUC Securities (Pvt) Limited	Restricted	18-Mar-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-293 dated March 15, 2019.	15.2.1(a)
601	IAK Securities (Private) Limited	Restricted	18-Mar-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-293 dated March 15, 2019.	15.2.1(a)
602	M.F Stocks (Pvt) Limited	Restricted	18-Mar-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-293 dated March 15, 2019.	15.2.1(a)
603	Best Securities Pvt Ltd	Censure	28-Feb-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, and 6.2.2A
604	Reliance Securities Limited	Censure	28-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
605	Khanani Securities (Pvt.) Limited	Censure	27-Feb-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
606	N.U.A Securities (Pvt.) Limited	Censure	27-Feb-19	Non-Compliance of CDC Regulations	6.2.2A & 6.2.3
607	Fikree'S (Pvt.) Limited	Censure	27-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
608	Insight Securities (Pvt.) Limited	Censure	27-Feb-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
609	Maha Securities (Pvt.) Limited	Notice in respect of Participant	22-Feb-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
610	Maha Securities (Pvt.) Limited	Notice in respect of Participant	22-Feb-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
611	AMCAP Securities (Private) Limited - Lsi	Notice of Restriction & Censure	22-Feb-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
612	Habib Metropolitan Financial Services Limited	Notice of Restriction & Censure	22-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 8.2.1(e)
613	AMCAP Securities (Private) Limited	Suspended	22-Feb-19	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/31/19 dated February 21, 2019.	15.2.1(b)
614	Maha Securities (Pvt.) Limited	Notice in respect of Participant	22-Feb-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
615	Invest Capital Markets Limited	Terminated	21-Feb-19	Consequent to the forfeiture of TRE Certificate of the Participant by PSX vide notice no. PSX/N-207 dated February 21, 2019.	15.3.7
616	128 Securities (Private) Limited	Removal of Restriction for opening of New Sub-Accounts	18-Feb-19	Consequent to removal of restriction for the opening of new clients' accounts by the PSX as notified by PSX vide notice no. PSX/N-194 dated February 18, 2019.	15.6.2
617	South Asian Securities (Private) Limited	Restricted	18-Feb-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-193 dated February 18, 2019.	15.2.1(a)
618	F.M. Securities (Pvt.) Ltd. - LSI	Notice of Restriction & Censure	15-Feb-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
619	Growth Securities (Pvt) Ltd.	Notice of Restriction & Censure	13-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 8.2.1(e)
620	JSK Securities Limited	Censure	13-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 and 6.2.5A
621	Millenium Brokerage (Pvt.) Limited	Censure	13-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.2A.1
622	Pearl Brokerage (Private) Limited	Terminated	31-Jan-19	Voluntary Termination	15.10.1
623	Dalal Securities (Pvt) Ltd.	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1 (e)
624	Galaxy Capital Securities (Pvt) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
625	Fairway Securities (Pvt) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
626	Shajar Capital Pakistan (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
627	Fawad Yusuf Securities (Pvt.) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
628	ASA Stocks (Pvt.) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
629	Foundation Securities (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
630	N.U.A Securities (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
631	Muhammad Salim Kasmani Securities (Pvt.) Ltd.	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
632	Abbasi & Company (Private) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
633	HH Misbah Securities (Private) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
634	ABM Securities (Pvt.) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
635	Saima Qaiser Securities (Pvt.) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2A.1
636	Javed Iqbal Securities (Pvt) Ltd.	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
637	Chenab Stock Services (Pvt) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
638	Alfa Adhi Securities (Pvt) Ltd.	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
639	128 Securities (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
640	HMC Stocks (Private) Limited	Removal of Restriction	23-Jan-19	Consequent to restoration of trading terminals of Participant by PSX with immediate effect as notified by PSX vide notice no. PSX/N-75 dated January 23, 2019.	15.6.2
641	Arif Habib Limited	Notice of Restriction & Censure	22-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, & 6.2.6(b)
642	K.H.S. Securities (Pvt.) Limited	Removal of Restriction	21-Jan-19	Consequent to restoration of trading terminals of Participant by PSX with immediate effect as notified by PSX vide notice no. PSX/N-64 dated January 21, 2019.	15.6.2
643	Fair Deal Securities (Private) Limited	Terminated	16-Jan-19	Voluntary Termination	15.10.1
644	HMC Stocks (Private) Limited	Restricted	16-Jan-19	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-44 dated January 16, 2019.	15.2.1(a)
645	K.H.S. Securities (Pvt.) Limited	Restricted	16-Jan-19	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-44 dated January 16, 2019.	15.2.1(a)
646	CMA Securities (Pvt.) Limited	Restricted	15-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
647	KSR Stock Brokerage (Pvt) Ltd.	Removal of Restriction	15-Jan-19	Participant has complied with the Regulation 6.8.2	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
648	Fair Deal Securities (Pvt) Ltd.	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
649	Beaming Investment & Securities (Private) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
650	Maha Securities (Pvt.) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
651	Invest Capital Markets Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
652	SMAC Investments (Private) Ltd.	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
653	KSR Stock Brokerage (Pvt) Ltd.	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
654	First Pakistan Securities Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
655	Diyanah Islamic Financial Services (Private) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
656	Millennium Securities & Investments (Private) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
657	First Fidelity Leasing Modaraba	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
658	Sigma Leasing Corporation Limited	Suspended	31-Dec-18	Failure to settle the CDC outstanding dues.	-
659	South Asian Securities (Private) Limited	Removal of Suspension	21-Dec-18	Consequent to restoration of the trading terminals by PSX with immediate effect vide notice no. PSX/N-6554 dated December 21, 2018.	15.6.2
660	Iqbal usman kodvavi Securities (Pvt.) Limited	Censure	20-Dec-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
661	RUC Securities (Private) Limited	Removal of Restriction	18-Dec-18	Consequent to restoration of trading terminals of Participant by PSX with immediate effect as notified by PSX vide notice no. PSX/N-6529 dated December 18, 2018	15.6.2
662	GMI Capital Securities (Pvt.) Limited	Censure	14-Dec-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
663	Oriental Securities (Pvt.) Limited	Censure	14-Dec-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
664	Apex Capital Securities (Pvt) Limited	Censure	14-Dec-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
665	Time Securities (Pvt.) Limited	Censure	14-Dec-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
666	JS Bank Limited	Censure	14-Dec-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
667	MRA Securities Limited	Notice of Restriction & Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
668	Creative Capital Securities (Pvt.) Limited	Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
669	B & B Securities (Pvt.) Limited	Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
670	Akhai Securities (Pvt.) Limited	Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
671	Surmawala Securities (Pvt.) Limited	Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
672	Tariq Sayeed Securities (Private) Limited	Removal of Suspension	29-Nov-18	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/217/18 dated November 28, 2018 and restoration of trading terminals by PSX as notified vide notice no. PSX/N-6419 dated November 16, 2018.	15.6.2
673	K&I Global Capital (Pvt.) Limited	Censure	23-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
674	Jahanzaib Securities (Pvt) Limited	Terminated	23-Nov-18	Voluntary Termination	15.10.1
675	Bhayani Securities (Pvt) Ltd.	Notice of Restriction & Censure	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.2A.1
676	Nael Capital (Pvt) Limited	Notice of Restriction & Censure	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
677	TS Securities (Pvt.) Limited	Notice of imposition of Penalty	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.2A.1
678	Dawood Equities Limited	Notice of Restriction & Censure	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
679	Khayyam Securities (Private) Limited	Terminated	16-Nov-18	Voluntary Termination	15.10.1
680	AM Chaudhary Securities (Private) Limited	Removal of Suspension	16-Nov-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-6413 dated November 15, 2018.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
681	RUC Securities (Private) Limited	Restricted	16-Nov-18	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-6418 dated November 16, 2018.	15.2.1(a)
682	Moneyline Securities (Pvt.) Limited	Censure	15-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
683	Gul Dhami Securities (Pvt.) Limited	Censure	15-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
684	CMA Securities (Pvt.) Limited	Censure	15-Nov-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
685	Mayari Securities (Private) Limited	Censure	12-Nov-18	Non-Compliance of CDC Regulations	6.2.3
686	Q. Ain Khanani Securities (Private) Limited	Censure	12-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
687	Friendly Securities (Pvt) Ltd.	Censure	9-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
688	Shaffi Securities (Private) Limited	Censure	9-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b) and 6.2.5A
689	CASSim Investments (Pvt.) Limited	Censure	9-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
690	Khawaja Securities (Pvt.) Limited	Censure	9-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b) and 6.2.5A
691	B & B Securities (Private) Limited	Censure	7-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b), 6.2A.1 and 8.2.1(e)
692	Baba Equities (Pvt.) Limited	Censure	7-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b), 6.2A.1 and 8.2.1(e)
693	F.M. Securities (Private) Limited	Restricted	26-Oct-18	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-6381 dated October 26, 2018.	15.2.1(a)
694	Xpert Securities Limited	Removal of Restriction	25-Oct-18	Consequent to restoration of trading terminals of Participant by PSX with effect from October 25, 2018 as notified by PSX vide notice no. PSX/N-6281 dated October 24, 2018.	15.6.2
695	IGI Investment Bank Limited	Terminated	22-Oct-18	Voluntary Termination	15.10.1
696	Salim Sozer Securities (Pvt.) Limited	Suspended	17-Oct-18	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/184/18 dated October 17, 2018.	15.2.1(b)
697	Salim Sozer Securities (Pvt.) Limited	Removal of Suspension	17-Oct-18	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/185/18 dated October 17, 2018.	15.6.2
698	A.S. Securities (Pvt.) Limited	Restricted	16-Oct-18	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-6081 dated October 16, 2018.	15.2.1(a)
699	CAMCO (Pvt) Limited	Removal of Restriction	12-Oct-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-6007 dated October 11, 2018.	15.6.2
700	Fairtrade Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
701	Unex Securities (Pvt) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 6.2A.1
702	Optimus Capital Management (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
703	EFG Hermes Pakistan Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 and 6.2.6(b)
704	FDM Capital Securities (Pvt) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.2.1(e)
705	Cassim Investments (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.2.1(e)
706	Market 786 (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6(b) and 8.2.1(e)
707	First Capital Equities Limited	Suspended	9-Oct-18	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/175/18 dated October 09, 2018.	15.2.1(b)
708	First Capital Equities Limited	Removal of Suspension	9-Oct-18	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/176/18 dated October 09, 2018.	15.6.2
709	INA Securities (Pvt) Limited	Removal of Restriction	9-Oct-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-5917 dated October 09, 2018.	15.6.2
710	Summit Bank Limited - Summit Custodial Services	Censure	5-Oct-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2A.1, 6.2.4, 6.2.5 & 6.2.6(b)
711	MGM Securities (Private) Limited	Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) and 6.2A.1
712	Fair Deal Securities (Pvt) Ltd.	Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.6.1 (e)
713	Riaz Ahmed Securities (Pvt) Ltd.	Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
714	Arif Latif Securities (Pvt) Ltd.	Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
715	Trust Securities & Brokerage Limited	Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 6.2A.1
716	ASDA Securities (Pvt.) Ltd.	Notice of Restriction & Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.2.1 (e)
717	Zahid Latif Khan Securities (Pvt.) Limited	Notice of Restriction & Censure	25-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.6(b)
718	CMA Securities (Pvt.) Limited	Restricted	19-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5351 dated September 18, 2018.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
719	SMAC Investments (Private) Limited	Restricted	19-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5351 dated September 18, 2018.	15.2.1(a)
720	CAMCO (Pvt.) Limited	Restricted	19-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5351 dated September 18, 2018.	15.2.1(a)
721	Apex Capital Securities (Private) Limited	Removal of Restriction	19-Sep-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-5344 dated September 18, 2018.	15.6.2
722	MSD Capital Equities (Pvt.) Limited	Removal of Restriction	19-Sep-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-5344 dated September 18, 2018.	15.6.2
723	Apex Capital Securities (Private) Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)
724	INA Securities (Pvt) Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)
725	MSD Capital Equities (Pvt.) Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)
726	Xpert Securities Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)
727	Progressive Investment Management (Pvt.) Ltd	Removal of Restriction	18-Sep-18	Participant has removed causes of Restrictions	15.6.2
728	Next Capital Limited	Notice of Restriction & Censure	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
729	Horizon Securities Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b), 6.2.2A & 6.7.3
730	WE Financial Services Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, & 6.7.3(a)
731	Elixir Securities Pakistan (Pvt.) Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, & 6.7.3(a)
732	First Capital Equities Limited	Notice of Restriction & Censure	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.6(b)
733	Darson Securities (Pvt.) Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, & 6.7.3(a)
734	Invest Forum (Private) Limited	Terminated	17-Sep-18	Voluntary Termination	15.10.1
735	Progressive Investment Management (Pvt.) Ltd	Restricted	14-Sep-18	Due to contravention of Section 24 of CD Act 1997 read with Regulation 6.7 of the CDC Regulations.	15.2.1(a)
736	AMCAP Securities (Private) Limited	Further revised Restriction	13-Sep-18	Due to the Prohibitory Order by SECP vide Order dated September 13, 2018.	15.2.1(a)
737	First National Equities Limited	Notice of Restriction & Censure	12-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
738	AMCAP Securities (Private) Limited	Revised Notice of Restriction	10-Sep-18	Consequent to suspension of the trading terminals of Participant by PSX vide notice no. PSX/N-5144 dated September 10, 2018.	15.2.1(a)
739	Fairtrade Capital Securities (Private) Limited	Removal of Restriction	31-Aug-18	Consequent to removal of restriction by PSX as notified by PSX vide notice no. PSX/N-4985 dated August 30, 2018 for opening of new clients account.	15.6.2
740	Saima Qaiser Securities (Pvt.) Limited	Removal of Restriction	20-Aug-18	Consequent to restoration of trading terminals by PSX as notified by PSX vide notice no. PSX/N-4832 dated August 20, 2018.	15.6.2
741	Saima Qaiser Securities (Pvt.) Limited	Restricted	17-Aug-18	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-4761 dated August 16, 2018.	15.2.1(a)
742	Venus Securities (Private) Limited	Removal of suspension	15-Aug-18	Consequent to restoration of trading terminals by PSX as notified by PSX vide notice no. PSX/N-4702 dated August 13, 2018 and in view of letter No. 2(33)SE/SMD/18 dated May 16, 2018 of the SECP.	15.6.2
743	Pearl Securities Limited	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
744	Summit Capital (Pvt.) Limited - Lhr	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
745	Topline Securities Limited	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
746	Zafar Securities (Pvt.) Limited	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
747	HMC Stocks (SMC-Pvt.) Limited	Notice of Restriction & Penalty	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5, 6.2.6(b), 6.2A.1 & 6.7.3(a)
748	Javed Zakaria Gulabi Securities (Pvt.) Limited	Terminated	1-Aug-18	Voluntary Termination	15.10.1
749	Value Stock and Commodities (Private) Limited	Removal of Restriction	1-Aug-18	Consequent to removal of restriction by PSX as notified by PSX vide notice no. PSX/N-4532 dated August 01, 2018 for opening of new clients account.	15.6.2
750	Omni Capital Management (Private) Limited	Removal of Suspension	26-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4384 dated July 24, 2018	15.6.2
751	Ahsam Securities (Pvt.) Limited	Removal of Suspension	24-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4376 dated July 24, 2018	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
752	R.F.J. Equity (Private) Limited	Removal of Suspension	24-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4388 dated July 24, 2018	15.6.2
753	HK Securities (Pvt.) Limited	Terminated	20-Jul-18	Voluntary Termination	15.10.1
754	SMAC Investments (Private) Limited	Removal of Suspension	19-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4269 dated July 18, 2018	15.6.2
755	Interactive Securities (Private) Limited	Removal of Suspension	17-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4225 dated July 13, 2018	15.6.2
756	First Dawood Investment Bank Limited	Terminated	13-Jul-18	Voluntary Termination	15.10.1
757	Darson Securities (Private) Limited	Terminated	9-Jul-18	Voluntary Termination	15.10.1
758	Darson Securities (Pvt) Limited - LSI	Censure	6-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6(b)
759	Javed Iqbal Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
760	Fair Edge Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
761	General Invest. & Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
762	Msmaniar Financial (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
763	Safe Securities (Private) Limited	Terminated	4-Jul-18	Voluntary Termination	15.10.1
764	ASA Stocks (Private) Limited	Removal of Restriction	29-Jun-18	Consequent to restoration of trading terminals by PSX as notified vide notice no. PSX/N-3946 dated June 29, 2018.	15.6.2
765	Sakarwala Capital Securities (Pvt) Ltd.	Censure	27-Jun-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
766	High Land Securities (Pvt.) Limited	Censure	27-Jun-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
767	128 Securities (Private) Limited	Censure	27-Jun-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 6.2A.1 & 8.2.1
768	KP Securities (Private) Limited	Removal of Restriction	27-Jun-18	Consequent to restoration of trading terminals by PSX as notified vide notice no. PSX/N-3897 dated June 27, 2018.	15.6.2
769	Fairtrade Capital Securities (Private) Limited	Restriction on opening of New Sub-Accounts	25-Jun-18	Consequent to the restriction on opening of new clients account by PSX vide notice no. PSX/N-3828 dated June 22, 2018.	15.2.1(a)
770	R.T. Securities (Pvt) Limited - LSI	Censure	21-Jun-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
771	Gulrez Securities (Private) Limited	Censure	21-Jun-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
772	Summit Capital (Private) Limited	Censure	21-Jun-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.6.1 (e)
773	KP Securities (Private) Limited	Restricted	20-Jun-18	Consequent to switching-off the trading terminals by PSX as notified vide notice no. PSX/N-3783 dated June 20, 2018.	15.2.1(a)
774	ASA Stocks (Private) Limited	Restricted	20-Jun-18	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-3783 dated June 20, 2018.	15.2.1(a)
775	AMCAP Securities (Private) Limited	Modification in Restriction	19-Jun-18	Consequent to removal of suspension NCCPL as notified vide notice no. NCCPL/CRO/79/18 dated June 19, 2018. However, Restriction in respect of the opening of new Sub-Account not yet removed.	15.6.2
776	AMCAP Securities (Private) Limited	Suspended	19-Jun-18	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/78/18 dated June 19, 2018.	15.2.1(b)
777	Adeel Zafar Securities (Private) Limited	Terminated	1-Jun-18	Voluntary Termination	15.10.1
778	FDM Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	30-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
779	First Zeiva (Private) Limited	Terminated	29-May-18	Voluntary Termination	15.10.1
780	DJM Securities (Private) Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.2.1 (e)
781	Pearl Brokerage (Private) Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
782	Falki Capital (Private) Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
783	Continental Capital Management (Pvt) Ltd	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
784	Rahat Securities Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
785	Bismillah Securities (Pvt) Ltd.	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
786	Yasir Mahmood Securities (Pvt) Ltd.	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
787	Fair Deal Securities (Private) Limited	Restricted	16-May-18	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-3262 dated May 16, 2018.	15.2.1(a)
788	Standard Capital Securities Pvt Ltd.	Notice of Restriction & Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
789	Patel Securities (Pvt.) Limited	Notice of Restriction & Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
790	Pasha Securities (Pvt.) Limited	Notice of Restriction	7-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
791	Hamza Farhad Securities (Pvt.) Limited	Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
792	Spinzer Equities (Pvt.) Limited	Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
793	JSK Securities Limited	Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
794	Punjab Capital Securities (Pvt.) Limited	Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.2A
795	Progressive Investment Management (Pvt.) Ltd	Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
796	Iqbal Usman Kodvavi Securities (Pvt.) Limited	Censure	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b) & 8.2.1(e)
797	Dossalanis Securities (Pvt) Limited	Censure	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
798	Seven Star Securities (Pvt.) Limited	Censure	25-Apr-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6 (b)
799	First National Equities Limited	Censure	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
800	Pace Investment & Securities (Private) Limited	Terminated	16-Apr-18	Voluntarily termination	15.10.1
801	Fortune Securities Limited	Notice of Restriction & Censure	13-Apr-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
802	Mannoo Capital (Pvt.) Limited	Censure	13-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
803	Askari Securities Limited	Censure	9-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
804	Abbasi Securities (Pvt.) Limited	Censure	6-Apr-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6 (b)
805	S.D. Mirza Securities (Pvt.) Limited	Notice of Restriction & Censure	30-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
806	Brains Securities (Pvt.) Limited	Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
807	Adeel & Nadeem Securities (Pvt.) Limited	Notice of Restriction & Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
808	Amer Securities (Pvt.) Limited	Notice of Restriction & Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
809	MND Investment (Pvt.) Limited	Notice of Restriction & Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
810	Fair Deal Securities (Pvt.) Limited	Censure	28-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b)
811	KP Securities (Pvt.) Limited	Censure	28-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b)
812	Al-Haq Securities (Pvt.) Limited	Notice of Restriction & Censure	27-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
813	Axis Global Limited	Notice of Restriction & Censure	27-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
814	Ali Husain Rajabali Limited	Terminated	22-Mar-18	Voluntary Termination	15.10.1
815	Adam Securities Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
816	Progressive Securities (Pvt.) Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
817	Rahat Securities Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
818	Equity Master Securities (Pvt.) Limited	Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
819	Jamshaid & Hasan Securities (Pvt.) Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
820	Shaffi Securities (Private) Limited	Restricted	19-Mar-18	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-1786 dated March 16, 2018.	15.2.1(a)
821	Maha Securities (Pvt.) Limited	Restricted	19-Mar-18	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-1787 dated March 16, 2018.	15.2.1(a)
822	Shaffi Securities (Private) Limited	Removal of Restriction	19-Mar-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-1802 dated March 19, 2018.	15.6.2
823	Naveed H. M. Idrees (Private) Limited	Terminated	12-Mar-18	Participant has ceased to be Trading Right Entitlement Certificate holder as communicated by PSX vide notice no. PSX/N-1586 dated March 06, 2018.	15.1.1(a)(i) read with 15.2.1
824	Alfalah Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
825	Saya Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 (b)
826	F.M. Securities (Private) Limited	Restriction on opening of New Sub-Accounts	9-Mar-18	Consequent to the restriction on opening of new clients account by PSX as notified vide notice no. PSX/N-1671 dated March 09, 2018.	15.2.1(a)
827	128 Securities (Private) Limited	Notice of Restriction & Penalty	8-Mar-18	Non-Compliance of CDC Regulations	6.2.2 6.7.3 (a) 6.2.2A, 6.2.4 6.2.5 6.2.6 (b)
828	Dossalan Securities (Pvt.) Ltd	Notice of Restriction & Penalty	8-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 (a), 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
829	Ismail Iqbal Securities (Pvt.) Limited	Notice of Restriction & Censure	2-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
830	Aba Ali Habib Securities (Pvt.) Limited	Notice of Restriction & Censure	2-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
831	Summit Capital (Pvt.) Limited	Notice of Restriction & Censure	2-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
832	Aba Ali Habib Securities (Pvt.) Limited	Censure	1-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.7.2, 6.2A.1 & 8.2.1(e)
833	128 Securities (Private) Limited	Restriction on opening of New Sub-Accounts	1-Mar-18	Consequent to the restriction on opening of new clients account by PSX as notified vide notice no. PSX/N-1502 dated March 01, 2018.	15.2.1(a)
834	Royal Securities (Pvt) Limited	Censure	26-Feb-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, & 6.2.6(b)
835	Wisdom Securities (Private) Limited	Terminated	22-Feb-18	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
836	Ali Husain Rajabali Limited	Censure	21-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
837	Ghani Osman Securities (Pvt.) Limited	Notice of Restriction & Censure	21-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
838	HH Misbah Securities (Pvt.) Ltd	Censure	20-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
839	Bawa Securities (Pvt.) Limited	Notice of Restriction & Censure	20-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.7.3
840	F.M. Securities (Pvt.) Limited	Censure	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2A.1 & 8.2.1
841	ICON Capital Management (Pvt.) Limited	Censure	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
842	Fortune Securities Limited - LSI	Censure	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
843	Alfalah Securities (Private) Limited	Censure	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
844	M.M. Securities (Pvt.) Limited	Censure	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 8.2.1
845	MGM Securities (Pvt.) Limited	Notice of Restriction & Censure	15-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
846	New Peak Securities (Pvt.) Limited	Censure	15-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
847	Infinite Securities Limited	Censure	15-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
848	M.A.N Securities (Pvt.) Limited	Terminated	14-Feb-18	Voluntary Termination	15.10.1
849	High Land Securities (Pvt.) Limited	Notice of Restriction & Censure	8-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
850	K.H.S Securities (Pvt.) Limited	Censure	8-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
851	Zafar Moti Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	8-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
852	BlackStone Equities (Private) Limited	Terminated	26-Jan-18	Voluntary Termination	15.10.1
853	Alfa Adhi Securities (Pvt.) Limited	Notice of Restriction & Penalty	25-Jan-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.7.3(a)
854	H. P. Byramji & Co. (Pvt.) Limited	Notice of Restriction & Penalty	23-Jan-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, 6.2A.1 & 6.7.3
855	XPRT Securities (Private) Limited	Removal of Restriction	19-Jan-18	Participant has complied with Regulation 6.8.2 of the CDC Regulations.	15.6.2
856	Millennium Securities & Investments (Private) Limited	Restricted	1-Jan-18	Consequent to suspension of the trading terminals by PSX vide notice no. PSX/N-001 dated January 01, 2018.	15.2.1(a)
857	Pearl Brokerage (Private) Limited	Removal of Restriction	1-Jan-18	Consequent to restoration of trading terminals by PSX w.e.f. January 01, 2018, as notified by PSX vide notice no. PSX/N-29 dated January 01, 2018.	15.6.2
858	Bright Investment and Securities (Pvt.) Limited	Terminated	28-Dec-17	Voluntarily termination and surrender of TREC as communicated by PSX vide notice no. PSX/N-7870 dated December 27, 2017.	15.3.7 (a) read with 15.10
859	Pearl Brokerage (Private) Limited	Restricted	26-Dec-17	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-7866 dated December 26, 2017.	15.2.1(a)
860	Asad Mustufa Securities (SMC-Pvt.) Ltd	Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
861	Rafi Securities (Pvt.) Ltd	Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
862	Fair Edge Securities (Pvt.) Limited	Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2A.1 & 8.2.1e
863	First Capital Equities Limited	Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
864	A. N. Equities (Pvt.) Limited	Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
865	Khawaja Securities (Pvt.) Limited	Notice of Restriction & Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5
866	Strongman Securities (Pvt.) Limited	Censure	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
867	Techno Fundamental Securities (Pvt) Ltd.	Censure	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
868	Maan Securities (Private) Limited	Censure	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
869	Sherman Securities (Private) Limited	Censure	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
870	Muhammad Amer Riaz Securities (Pvt.) Limited	Notice of Restriction & Penalty	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b), 6.2.2A & 6.2A.1
871	N.U.A Securities (Pvt.) Ltd	Notice of Restriction & Penalty	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, 6.7.3 & 6.7.3(a)
872	Nini Securities (SMC-Pvt.) Ltd	Censure	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
873	Memon Securities (Pvt.) Ltd	Censure	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
874	First Zeiva (Private) Limited	Censure	20-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
875	XPRT Securities (Private) Limited	Restricted	20-Dec-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
876	K.H.S. Securities (Private) Limited	Removal of Restriction	19-Dec-17	Consequent to restoration of trading terminals by PSX w.e.f. December 20, 2017, as notified by PSX vide notice no. PSX/N-7742 dated December 19, 2017.	15.6.2
877	A.H.K.D. Securities (Private) Limited	Suspended	14-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
878	HK Securities (Pvt.) Limited	Suspended	14-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
879	Invest Forum (SMC-Private) Limited	Suspended	14-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
880	Invest Forum (SMC-Private) Limited	Restricted	13-Dec-17	Due to the cancellation of liscence by SECP as a securities broker vide order dated December 13, 2017.	15.2.1(a)
881	HK Securities (Private) Limited	Restricted	13-Dec-17	Due to the cancellation of liscence by SECP as a securities broker vide order dated December 13, 2017.	15.2.1(a)
882	Jahanzaib Securities (Pvt.) Limited	Suspended	12-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
883	Shaukat Shaffi Securities (Private) Limited	Suspended	12-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
884	AM Chaudhry Securities (Private) Limited	Suspended	12-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
885	First Pakistan Securities Limited	Restricted	4-Dec-17	Due to refusal of the application for grant of license as securities broker by SECP vide order dated November 29, 2017.	15.2.1(a)
886	AM Chaudhry Securities (Private) Limited	Removal of Restriction	30-Nov-17	Consequent to the restoration of trading terminals by PSX vide notice dated PSX/N-7471 dated November 30, 2017.	15.6.2
887	Topline Securities Limited	Censure	29-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.7.1
888	A.S. Securities (Pvt.) Limited	Censure	28-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b), 6.2.2A & 6.2A.1
889	AM. Chaudhary Securities	Notice of Restriction & Censure	28-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
890	Din Capital Limited	Revised Notice of Restriction	23-Nov-17	Consequent to the restoration of trading terminals by PSX vide notice dated PSX/N-7369 dated November 23, 2017 however opening of new sub-Account is restricted.	15.6.2
891	Tumbi Securities (Private) Limited	Terminated	22-Nov-17	Participant has ceased to be Trading Right Entitlement Certificate holder as communicated by the Pakistan Stock Exchange Limited vide notice no. PSX/N-7317 dated November 21, 2017	15.1.1(a)(i) read with 15.3.7
892	My Securities (Private) Limited	Terminated	22-Nov-17	Participant has ceased to be Trading Right Entitlement Certificate holder as communicated by the Pakistan Stock Exchange Limited vide notice no. PSX/N-7203 dated November 13, 2017	15.1.1(a)(i) read with 15.3.7
893	Ayub Chaudhary Investments (Pvt.) Limited	Notice of Restriction & Censure	21-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
894	Darson Securities (Private) Limited	Notice of imposition of Penalty	17-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6, 6.2A.1, 8.2.1e & 8.6.1e
895	Din Capital Limited	Restricted	17-Nov-17	Consequent to the suspension of liscence by SECP as a securities broker vide order dated November 08, 2017	15.2.1(a)
896	Elixir Securities Pakistan (Pvt.) Limited	Censure	14-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.2.1e
897	Reliance Securities Limited	Censure	14-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6, 6.2A.1 & 8.2.1e
898	Gazipura Securities & Services (Pvt.) Limited	Censure	11-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
899	Concordia Securities (Pvt.) Limited	Censure	11-Nov-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
900	R.T Securities (Pvt.) Limited	Censure	11-Nov-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.6(b) & 6.2.2A
901	Fikree (SMC-Pvt.) Limited	Censure	8-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6, 6.2.3 & 6.2.2A
902	Millennium Securities & Investments (Private) Limited	Notice of Restriction & Censure	8-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
903	MSD Capital Equities (Pvt.) Limited	Notice of Restriction & Censure	8-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
904	First Equity Modaraba	Censure	8-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.2.1e
905	Din Capital Limited	Revised Notice of Restriction	8-Nov-17	Due to advise of PSX vide email dated November 07, 2017	15.6.2
906	Millennium Securities & Investments (Private) Limited	Restricted	6-Nov-17	Consequent FS as of June 30, 2017 submitted by Participant under Regulation 6.8.2 of the CDC Regulations discloses negative Capital Adequacy Level	15.3.1(a)
907	Din Capital Limited	Restricted	6-Nov-17	Consequent to imposition of restriction by PSX as notified vide notice no. PSX/N-7045 dated November 03, 2017	15.2.1(a)
908	Shaukat Shaffi Securities (Private) Limited	Restricted	1-Nov-17	Consequent to the suspension of the trading terminals by PSX as notified vide notice no. PSX/N-6951 dated November 01, 2017	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
909	Safe Securities (Private) Limited	Restricted	31-Oct-17	Consequent to suspension of the trading terminals by PSX vide notice no. PSX/N-6903 dated October 31, 2017	15.2.1(a)
910	K.H.S. Securities (Private) Limited	Restricted	30-Oct-17	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-6826 dated October 30, 2017	15.2.1(a)
911	Sakarwala Capital Securities (Pvt.) Limited	Notice of Restriction & Penalty	26-Oct-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
912	Sunrise Capital (Private) Limited	Further Suspended	20-Oct-17	Due to cancellation of liscence by Securities and Exchange Commission of Pakistan vide order dated September 14, 2017	15.2.1(b)
913	Pak Meezan Securities (Private) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017	15.1.1(b)
914	Kayzone Capital Markets (SMC-Private) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017	15.1.1(b)
915	Faith Securities (Private) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017	15.1.1(b)
916	Stock Vision(Pvt.) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017	15.1.1(b)
917	Value Stock and Commodities (Private) Limited	Notice of Restriction & Penalty	16-Oct-17	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.4, 8.2.1e, 8.6.1e & 6.2A.1
918	Earth Securities (Private) Limited	Terminated	16-Oct-17	Voluntary Termination	15.10.1
919	F.M. Securities (Pvt.) Limited	Notice of Imposition of Penalty	16-Oct-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
920	Value Stock and Commodities (Private) Limited	Notice of Restriction & Penalty	16-Oct-17	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.4, 8.2.1e, 8.6.1e & 6.2A.1
921	Switch Securities (Private) Limited	Suspended	13-Oct-17	Consequent to the suspension of liscence by Securities and Exchange Commission of Pakistan vide order dated October 11, 2017	15.2.1(b)
922	Shaffi Securities (Private) Limited	Censure	4-Oct-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.2.1e, 6.2A.1
923	Security Investment Bank Limited	Terminated	29-Sep-17	Voluntary Termination	15.10.1
924	Kausar Securities (Private) Limited	Terminated	27-Sep-17	Voluntary Termination	15.10.1
925	Abbasi Securities (Pvt.) Limited	Censure & Restriction Letter	27-Sep-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
926	Askari Securities Limited	Censure & Restriction Letter	25-Sep-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.7.3
927	First Zeiva (Private) Limited	Removal of Restriction	22-Sep-17	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-5512 dated September 22, 2017	15.6.2
928	First Zeiva (Private) Limited	Restricted	21-Sep-17	Consequent to switching-off of trading terminal of Participant by PSX vide notice no. PSX/N-5462 dated September 20, 2017	15.2.1(a)
929	AM Chaudhry Securities (Private) Limited	Restricted	21-Sep-17	Consequent to switching-off of trading terminal of Participant by PSX vide notice no. PSX/N-5462 dated September 20, 2017	15.2.1(a)
930	Global Securities Pakistan Limited	Terminated	21-Sep-17	Voluntary Termination	15.10.1
931	Progressive Investment Management (Pvt.) Ltd	Notice of imposition of Penalty	21-Sep-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.2.1e & 6.2A.1
932	Invest Capital Markets Limited	Restricted	18-Sep-17	Consequent to imposing the restriction by NCCPL vide notice no. NCCPL/CRO/237/17 dated September 15, 2017	15.2.1(a)
933	PACE Investment & Securities (Private) Limited	Restricted	7-Sep-17	Consequent to suspension of the trading terminals by PSX vide notice no. PSX/N-5248 dated September 07, 2017	15.2.1(a)
934	Live Securities Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
935	Qasim Mahmood Securities (SMC-Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
936	SMB Securities (Private) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
937	AKD Analytics (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
938	Stable Securities (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
939	Quality Islamic Investments & Securities (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
940	Mian Pervaz Aslam Securities (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
941	Riaz Ahmed Securities (Pvt) Ltd.	Censure	21-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
942	Safe Securities (Private) Limited	Restriction Letter	21-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
943	Adeel Zafar Securities (Pvt.) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
944	IAK Securities (Private) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
945	Shajarpak Securities (Pvt.) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
946	AAA Securities (Private) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
947	K & I Global Capital (Pvt.) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
948	Mannoo Capital (Pvt.) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A.1
949	Haji Abdul Sattar Securities (Pvt.) Limited	Restriction Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.7.3
950	Bridge Securities (Pvt.) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
951	Amanah Investments Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
952	Habib Ullah Sheikh (Pvt.) Limited	Restriction Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
953	Intermarket Securities Limited	Notice of Restriction & Penalty	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
954	Gul Dhami Securities (Pvt.) Limited	Restriction Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
955	Time Securities (Pvt.) Limited	Notice of Restriction & Penalty	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
956	128 Securities (Private) Limited	Removal of Restriction	8-Aug-17	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-4699 dated August 08, 2017	15.6.2
957	Moneyline Securities (Pvt.) Limited	Restriction Letter	8-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
958	Baba Equities (Pvt.) Limited	Restriction Letter	8-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.7.3
959	UNEX Securities (Pvt) Limited	Censure	4-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
960	Strongman Securities (Pvt.) Limited	Censure	4-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
961	128 Securities (Private) Limited	Restricted	3-Aug-17	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-4631 dated August 03, 2017	15.2.1(a)
962	NIB Bank Limited	Terminated	1-Aug-17	Voluntary Termination	15.10.1
963	AMCAP Securities (Private) Limited	Modification in Restriction	24-Jul-17	consequent to restoration of trading terminals by PSX with effect from July 24, 2017 as notified by notice no. PSX/N-4413 dated July 21, 2017 However, PSX has not lifted restriction on opening of new Client Accounts.	15.6.2
964	S. Z. Securities (Pvt.) Limited	Terminated	18-Jul-17	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-4346 dated July 18, 2017	15.3.7
965	Jamshaid & Hasan Securities (Pvt) Ltd	Notice of imposition of Penalty	22-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
966	Zafar Securities (Private) Limited	Notice of imposition of Penalty	22-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
967	Azee Securities (Private) Limited	Suspended	22-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/199/17 dated June 22, 2017	15.2.1(b)
968	Azee Securities (Private) Limited	Removal of Suspension	22-Jun-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/200/17 dated June 22, 2017	15.6.2
969	Aziz Dawood Securities (Private) Limited	Suspended	16-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/197/17 dated June 16, 2017	15.3.7(b)
970	Tariq Sayeed Securities (Private) Limited	Suspended	16-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/195/17 dated June 16, 2017	15.3.7(b)
971	AB Equities (Private) Limited	Suspended	16-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/196/17 dated June 16, 2017	15.3.7(b)
972	Reliance Securities Limited	Censure	13-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
973	Habib Metropolitan Financial Services Limited	Censure	13-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
974	Invest and Finance Securities Limited	Notice of Restriction & Penalty	13-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
975	Dawood Equities Limited	Suspended	5-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/187/17 dated June 05, 2017	15.2.1(b)
976	Dawood Equities Limited	Removal of Suspension	5-Jun-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/188/17 dated June 05, 2017	15.6.2
977	Oriental Securities (Pvt.) Limited	Censure	5-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
978	Value Stock and Commodities (Private) Limited	Restriction on opening of New Sub-Accounts	1-Jun-17	Consequent to imposing restriction on Participant by PSX vide notice no. notice no. PSX/N-3566 dated May 31, 2017 for opening of new sub-accounts	15.2.1(a)
979	Escorts Capital Limited	Suspended	31-May-17	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of Restrictions.	15.3.7(b)
980	Allied Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
981	S. A Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
982	Interactive Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
983	Chippa Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
984	JCR Capital Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
985	Luxor Securities (SMC-Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
986	MAN Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
987	Omni Capital Management (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
988	Jawed Zakaria Gulabi Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
989	MAC Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
990	Muhammad Anaf Kapadia Securities (SMC-Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
991	Motiwala Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
992	MY Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
993	AAU Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
994	Abid Ali Habib Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
995	Ahsam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
996	Ashfaq Ashraf Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
997	BMS Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
998	Bright Investment & Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
999	Fine Securities (SMC-Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1000	Fort Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1001	Fortress Financial Services (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1002	H.H.K. Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1003	Khayyam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1004	Prime Capital Management (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1005	R.F.J. Equity (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1006	S. M. Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1007	Schon Capital Markets Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1008	Sher Capital Equities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1009	SMAC Investments (SMC-Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1010	South Asian Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1011	Union Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1012	Venus Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1013	ZM Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1014	MAS Capital Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1015	R. A. Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1016	Fine Securities (SMC-Private) Limited	Restricted	26-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. notice no. PSX/N-3463 dated May 25, 2017	15.2.1(a)
1017	Luxor Securities (SMC-Pvt.) Limited	Restricted	26-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. notice no. PSX/N-3463 dated May 25, 2017	15.2.1(a)
1018	Mian Pervez Aslam Securities (Private) Limited	Restricted	23-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-3401 dated May 23, 2017	15.2.1(a)
1019	Trust Securities & Brokerage Limited	Restriction Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1020	Switch Securities (Private) Limited	Restriction Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1021	SETHI SECURITIES (SMC-PVT) LTD	Restriction Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1022	ASA STOCKS (PVT.) LIMITED	Censure	18-May-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1023	M. M. SECURITIES (PVT.) LIMITED	Censure	18-May-17	Non-Compliance of CDC Regulations	6.2.3 6.2.4, 6.2.5 & 6.2.6
1024	Live Securities Limited	Restricted	12-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-3196 dated May 12, 2017	15.2.1(a)
1025	MSD Capital Equities (Private) Limited	Removal of Restriction	10-May-17	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-3075 dated May 10, 2017	15.6.2
1026	MAM Securities (Private) Limited	Terminated	10-May-17	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-3074 dated May 10, 2017	15.3.7
1027	Tariq Sayeed Securities (Private) Limited	Removal of Restriction	8-May-17	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-2987 dated May 08, 2017	15.6.2
1028	Shaffi Securities (Private) Limited	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1029	Techno Fundamental Securities (Pvt.) Limited	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1030	NAYYAR SHEIKH SECURITIES (PVT) LTD.	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1031	MAAN SECURITIES (PRIVATE) LIMITED	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1032	Pearl Brokerage (Private) Limited	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1033	INTEGRATED EQUITIES (PRIVATE) LIMITED	Censure	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1034	Gulrez Securities (Pvt.) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1035	Fairway Securities (Pvt.) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1036	Network Securities Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1037	Khawaja Securities (Pvt.) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1038	ABM Securities (Pvt.) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1039	MSD Capital Equities (Private) Limited	Restricted	27-Apr-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-2636 dated April 26, 2017	15.2.1(a)
1040	AMCAP Securities (Private) Limited	Modification in Restriction	25-Apr-17	Consequent to restoration of sale side transactions for only Sub-Accounts of the Participant by PSX vide notice no. PSX/N-2499 dated April 24, 2017	-
1041	AMCAP Securities (Private) Limited	Restricted	5-Apr-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-2131 dated April 05, 2017	15.2.1(a)
1042	CREATIVE CAPITAL SECURITIES (PVT) LTD.	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1043	SAZ CAPITAL SECURITIES (PVT) LTD.	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1044	M. J. Memon Securities (Pvt.) Limited	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1045	SPECTRUM SECURITIES (PVT.) LIMITED	Censure	30-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 3.7
1046	TARIQ VOHRA SECURITIES (PVT) LIMITED	Censure	30-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
1047	GLOBAL SECURITIES PAKISTAN LIMITED	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1048	H.M. IDREES H. ADAM (SMC-PVT.) LIMITED	Censure	30-Mar-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 3.7
1049	Motiwalla Securities (Private) Limited	Notice of Restriction & Penalty	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
1050	H.H.K. Securities (Pvt.) Limited	Notice of Restriction & Penalty	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
1051	MUHAMMAD HUSSAIN ISMAIL SECURITIES (PVT) LTD.	Censure	30-Mar-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6
1052	ACM GLOBAL (PVT.) LIMITED	Censure	30-Mar-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6
1053	JCR Capital Securities (Private) Limited	Notice in respect of Participant	29-Mar-17	Participant has complied with the Regulation 6.8.2	15.6.2
1054	Invest Forum (SMC-Private) Limited	Restricted	17-Mar-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-1742 dated March 16, 2017	15.2.1(a)
1055	HK Securities (Private) Limited	Restricted	17-Mar-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-1743 dated March 16, 2017	15.2.1(a)
1056	Bhayani Securities (Pvt) Ltd.	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1057	First Equity Modaraba	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
1058	MUHAMMAD ASHFAQ HUSSAIN SECURITIES (PVT) LTD	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
1059	Surmawala Securities (Private) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
1060	SEVEN STAR SECURITIES (PVT.) LTD.	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4 & 6.2.6
1061	IQBAL USMAN KODHAVI SECURITIES (PVT) LTD	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4 & 6.2.6
1062	MULTILINE SECURITIES (PVT.) LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
1063	Dattoo Securities (Pvt.) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
1064	SECURITY INVESTMENT BANK LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.6 & 6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1065	S. Z. Securities (Pvt.) Limited	suspended	14-Mar-17	Due to violation of Section 24 of the Central Depositories Act, 1997	15.2.1(b)
1066	KSR Stock Brokerage (Pvt.) Ltd	Notice of Imposition of Penalty	13-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.3A.1 & 6.2A.1
1067	Progressive Securities (Private) Limited	Notice of Imposition of Penalty	13-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 6.7.4 & 6.2A.1
1068	MAM Securities (Private) Limited	Further Suspended	13-Mar-17	Consequent to suspension of TRE Certificate of Participant by PSX vide notice no. PSX/N-1637 dated March 10, 2017.	15.2.1(b)
1069	Tariq Sayeed Securities (Private) Limited	Restricted	7-Mar-17	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1531 dated March 06, 2017 on the Participant request.	15.2.1(a)
1070	ESCORTS CAPITAL LIMITED	Restricted	6-Mar-17	Participant has not complied with Regulation 6.8.1 of the CDC Regulations,	15.2.1(a)
1071	Faith Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1072	Stock Vision(Pvt.) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1073	Kayzone Capital Markets (SMC-Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1074	A.H.K.D. Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1075	Akd Analytics (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1076	SNM Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1077	SMB Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1078	Stable Securities (Pvt) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1079	Qasim Mahmood Securities (Smc-Pvt) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1080	JCR Capital Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1081	Reliance Capital (Pvt) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1082	Fincap Investments (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1083	Allied Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business day of restrictions.	15.3.7(b)
1084	Ab Equities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1085	Universal Equities (Private) Limited	Terminated	2-Mar-17	Voluntary Termination	15.10.1
1086	M. R. Securities (SMC-Private) Limited	Terminated	2-Mar-17	Consequent to the forfeiture of TRE Certificate of the Participant by PSX vide notice no. PSX/N-1460 dated March 01, 2017	15.3.7
1087	AWJ Securities (Private) Limited	Terminated	28-Feb-17	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-1334 dated February 27, 2017	15.3.7
1088	MAM Securities (Private) Limited	Suspended	20-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
1089	Sunrise Capital (Private) Limited	Suspended	17-Feb-17	Due to non-compliances of regulatory provisions	15.2.1(b)
1090	M. R. Securities (SMC-PVT.) Limited	Further Suspended	10-Feb-17	Due to non-compliances of regulatory provisions	15.2.1(b) & 50(2) of the Sec. Act.
1091	MAM Securities (Private) Limited	Notice of Imposition of Penalty	8-Feb-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2A.1 & 8.2.1e
1092	M. R. Securities (SMC-PVT.) Limited	Intention of further Suspension	6-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
1093	M. R. Securities (SMC-PVT.) Limited	Suspended	1-Feb-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/20/17 dated February 01, 2017	15.2.1(b)
1094	AWJ Securities (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
1095	Sunrise Capital (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
1096	Zafar Securities (Private) Limited	Restricted	30-Jan-17	Participant has not complied with Regulation 6.8.1 of the CDC Regulations,	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1097	Zafar Securities (Private) Limited	Removal of Restriction	30-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1098	Sonia Shahzad Securities (Private) Limited	Terminated	24-Jan-17	Voluntary Termination	15.10.1
1099	Pak Meezan Securities (Private) Limited	Notice in respect of Participant	18-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1100	Zafar Moti Capital Securities (Private) Limited	Removal of Suspension	18-Jan-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/36/17 dated January 17, 2017.	15.6.2
1101	Zafar Moti Capital Securities (Private) Limited	Suspended	17-Jan-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/36/17 dated January 17, 2017	15.2.1(b)
1102	AM Chaudhry Securities (Private) Limited	Removal of Restriction	13-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1103	AWJ Securities (Private) Limited	Removal of Suspension	13-Jan-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/31/17 dated January 13, 2017.	15.6.2
1104	Mashhadi Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
1105	SIS Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
1106	AWJ Securities (Private) Limited	Suspended	12-Jan-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/26/17 dated January 11, 2017	15.2.1(b)
1107	Allied Bank Limited - LSE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
1108	Allied Bank Limited- ISE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
1109	Allied Bank Limited- ISE Branch	Extension of intention of Regulatory Action	9-Jan-17	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
1110	Allied Bank Limited- KSE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
1111	Allied Bank Limited- KSE Branch	Extension of intention of Regulatory Action	9-Jan-17	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
1112	Allied Bank Limited - LSE Branch	Extension of intention of Regulatory Action	9-Jan-17	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
1113	Sherman Securities (Pvt.) Limited	Notice of Restriction	6-Jan-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, & 6.2.6
1114	Diyanah Islamic Financial Services (Private) Limited	Notice in respect of Participant	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1115	Malik Securities (Private) Limited	Terminated	6-Jan-17	Voluntary Termination	15.10.1
1116	S A Securities (Pvt) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1117	SIS Securities (Private) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1118	A.H.K.D. Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1119	Ab Equities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1120	AKD Analytics (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1121	Allied Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1122	AM Chaudhry Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1123	Diyanah Islamic Financial Services (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1124	Escorts Capital Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1125	Faith Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1126	Fincap Investments (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1127	JCR Capital Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1128	Kayzone Capital Markets (SMC-Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1129	Malik Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1130	Mashhadi Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1131	Pak Meezan Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1132	Qasim Mahmood Securities (Smc-Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1133	Reliance Capital (Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1134	S A Securities (Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1135	SIS Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1136	SMB Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1137	SNM Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1138	Stable Securities (Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1139	Stock Vision(Pvt.) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1140	Allied Bank Limited- KSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
1141	Allied Bank Limited - LSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
1142	Allied Bank Limited- ISE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
1143	Allied Bank Limited- KSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
1144	Allied Bank Limited - LSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
1145	Allied Bank Limited- ISE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
1146	Sunrise Capital (Private) Limited	Restricted	21-Dec-16	Due to contravention of provisions of the CDC Regulations	15.2.1(a)
1147	Apex Capital Securities (Private) Limited	Notice of Restriction	20-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.25, 6.2.6
1148	Apex Capital Securities (Private) Limited	Notice of Restriction	20-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4 & 6.2.6
1149	A. I. Securities (Private) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1150	B & B Securities (Private) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1151	Continental Capital Management (Pvt) Ltd	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1152	Fawad Yusuf Securities (Pvt.) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1153	Irfan Mazhar Securities (Pvt.) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1154	Khanani Securities (Pvt.) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1155	M H Securities (Pvt.) Limited	Censure	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6
1156	Muhammad Tariq Moti Securities (Pvt) Ltd.	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1157	Vector Securities (Pvt.) Ltd.	Censure	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6, 3.7
1158	Z.A. Ghaffar Securities (Private) Ltd.	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1159	Ghory's Securities (Pvt.) Limited	Terminated	9-Dec-16	Voluntary Termination	15.10.1
1160	Paramount Securities (SMC-Private) Limited	Terminated	8-Dec-16	Voluntary Termination	15.10.1
1161	AM Chaudhry Securities (Private) Limited	Removal of Restriction	7-Dec-16	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-6981 dated December 07, 2016.	15.6.2
1162	Y.S. Stocks (Private) Limited	Terminated	2-Dec-16	Voluntary Termination	15.10.1
1163	AM Chaudhry Securities (Private) Limited	Restricted	30-Nov-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-6865 dated November 30, 2016.	15.2.1(a)
1164	A. H. M. Securities (Pvt.) Limited	Notice of Restriction	22-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.25, 6.2.6, 3.7
1165	Moonaco Securities (Pvt.) Ltd	Notice of Restriction	22-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1166	Invest Forum (SMC-Private) Limited	Removal of Restriction	16-Nov-16	Consequent to restoration of opening of new sub-accounts and trading in the House Account of Participant by PSX vide notice no. PSX/N-6619 dated November 16, 2016.	15.6.2
1167	First Punjab Modaraba	Terminated	14-Nov-16	Voluntary Termination	15.10.1
1168	MYM Equities (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
1169	Fort Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
1170	Abid Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
1171	Shajar Capital Pakistan (Pvt.) Limited	Notice of Restriction	4-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.25, 6.2.6, 3.7
1172	Friendly Securities (Pvt.) Limited	Notice of Restriction	4-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.25, 6.2.6, 3.7
1173	Al Habib Capital Markets (Pvt.) Limited	Notice of Restriction	1-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1174	Icon Capital Management (Private) Limited	Censure	1-Nov-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6, 3.7
1175	Sunrise Capital (Private) Limited	Censure	1-Nov-16	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6, 3.7
1176	JCR Capital Securities (Private) Limited	Restricted	31-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-6216 dated October 31, 2016	15.2.1(a)
1177	DJM Securities (Pvt.) Limited	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1178	Muhammad Salim Kasmani Securities	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1179	Prime Securities (Pvt.) Limited	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1180	Q. Ain Khanani Securities (Pvt.) Limited	Notice of Restriction	27-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1181	SAAO Capital (Pvt.) Limited	Notice of Restriction	27-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1182	Akbani Securities (SMC-PVT) Limited	Terminated	25-Oct-16	Voluntary Termination	15.10.1
1183	Cassim Investments (Pvt.) Limited	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1184	Ample Securities (Private) Limited	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1185	Gmi Capital Securities (Pvt) Ltd.	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1186	Al-Hogani Securities & Investment Corporation (Pvt.) Ltd	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1187	Dalal Securities (Pvt.) Limited	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1188	Investment Managers Securities (Pvt.) Ltd	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1189	Zillion Capital Securities (Pvt.) Limited	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1190	H. P. Byramji & Co. (Pvt.) Limited	Removal of Restriction	18-Oct-16	Participant has complied with Regulation 6.8.1 of the CDC Regulations,	6.8.1
1191	Prosperity Securities (Private) Limited	Terminated	18-Oct-16	Voluntary Termination	15.10.1
1192	H. P. Byramji & Co. (Pvt.) Limited	Restricted	14-Oct-16	Participant has not complied with Regulation 6.8.1 of the CDC Regulations,	15.6.2
1193	Stock Vision Securities (Private) Limited	Restricted	13-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5666 dated October 13, 2016	15.2.1(a)
1194	Growth Securities (Pvt) Limited	Notice of Restriction	10-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1195	TS Securities (Pvt.) Limited	Notice of Restriction	10-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1196	Escorts Capital Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016	15.2.1(a)
1197	Omni Capital Management (Private) Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016	15.2.1(a)
1198	Pak Meezan Securities (Private) Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016	15.2.1(a)
1199	Aziz Dawood Securities (Private) Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016	15.2.1(a)
1200	Star Securities (Private) Limited	Terminated	10-Oct-16	Voluntary Termination	15.10.1
1201	Beaming Investment and Securities (Private) Limited	Restricted	30-Sep-16	Due to suspension of all trading terminals of Participant by PSX vide notice no. PSX/N-5372 dated September 30, 2016	15.2.1(a)
1202	Asian Securities Limited	Notice of Restriction	29-Sep-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1203	Mayari Securities (Private) Limited	Notice of Restriction	29-Sep-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1204	MBJ Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
1205	Taha Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
1206	Faith Securities (Private) Limited	Restricted	26-Sep-16	Due to suspension of all trading terminals of Participant by PSX vide notice no. PSX/N-5259 dated September 26, 2016	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1207	Taha Securities (Private) Limited	Restricted	22-Sep-16	Due to suspension of all trading terminals of Participant by PSX vide notice no. PSX/N-5179 dated September 21, 2016	15.2.1(a)
1208	Smart Investments Capital Management (Pvt.) Limited	Terminated	8-Sep-16	Voluntary Termination	15.10.1
1209	Pace Investment & Securities (Pvt.) Limited	Removal of Suspension	7-Sep-16	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/446/16 dated September 07, 2016	15.6.2
1210	Pace Investment & Securities (Pvt.) Limited	Suspended	7-Sep-16	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/445/16 dated September 06, 2016	15.2.1(b)
1211	Nizam Securities (Private) Limited	Terminated	1-Sep-16	Voluntary Termination	15.10.1
1212	SNM Securities (Private) Limited	Restricted	31-Aug-16	Consequent to switch off of trading terminals of Participant by PSX vide notice no. PSX/N-4841 dated August 31, 2016	15.2.1(a)
1213	AB Equities (Private) Limited	Removal of Suspension	26-Aug-16	Participant has complied with the Regulation 6.8.2	15.6.2
1214	Quality Islamic Investments & Securities (Pvt) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
1215	A.H.K.D. Securities (Private) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
1216	Stable Securities (Pvt) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
1217	Qasim Mahmood Securities (Smc-Pvt) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
1218	Mashhadi Securities (Private) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
1219	SMB Securities (Private) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
1220	H.M.Y. Securities (Private) Limited	Terminated	19-Aug-16	Voluntary Termination	15.10.1
1221	Saima Qaiser Securities (Pvt.) Limited	Suspended	17-Aug-16	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/410/16 dated August 17, 2016	15.2.1(b)
1222	Saima Qaiser Securities (Pvt.) Limited	Removal of Suspension	17-Aug-16	consequent to removal of suspension National Clearing Company of Pakistan vide notice no. NCCPL/CS/411/16 dated August 17, 2016	15.6.2
1223	Cassim Investments (Private) Limited	Removal of Restriction	12-Aug-16	Participant has complied with Regulation 6.8.1 of the CDC Regulations,	15.6.2
1224	Cassim Investments (Private) Limited	Restricted	11-Aug-16	As the Participant has not complied 6.8.1 of the CDC Regulation	15.3.1(a)
1225	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
1226	Alpha Beta Capital Markets (Private) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
1227	Amin Tai Securities (Private) Limited	Terminated	20-Jul-16	Voluntary Termination	15.10.1
1228	Concept Securities (Private) Limited	Terminated	13-Jul-16	Voluntary Termination	15.10.1
1229	Malik Securities (Private) Limited	Restricted	11-Jul-16	Consequent to imposing restriction by PSX vide notice no. no. PSX/N-4021 dated July 11, 2016	15.2.1(a)
1230	Invest Forum (SMC-Private) Limited	Restricted	29-Jun-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-3911 dated June 29, 2016	15.2.1(a)
1231	Platinum Capital Management (Private) Limited	Terminated	24-Jun-16	Voluntary Termination	15.10.1
1232	Infinite Securities Limited	Suspended	22-Jun-16	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/308/16 dated June 22, 2016	15.2.1(b)
1233	Infinite Securities Limited	Removal of Suspension	22-Jun-16	consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/309/16 dated June 22, 2016	15.6.2
1234	Stock Street (Private) Limited	Terminated	13-Jun-16	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-3611 dated June 13, 2016	15.3.7
1235	Dugan Securities (Private) Limited	Terminated	6-Jun-16	Voluntary Termination	15.10.1
1236	Shehzad Chamdia Securities (Pvt.) Limited	Terminated	3-Jun-16	Voluntary Termination	15.10.1
1237	Stock Street (Private) Limited	Suspended	2-Jun-16	Consequent to suspension of Participant by PSX vide notice no. PSX/N-3457 dated June 01, 2016	15.3.7
1238	Switch Securities (Private) Limited	Restricted	31-May-16	Consequent to imposing restriction by PSX vide letter no. PSX/RAD-0-250 dated May 30, 2016	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1239	Mikon Securities (Pvt.) Limited	Terminated	27-May-16	Voluntary Termination	15.10.1
1240	Sohail Raza Moosani (SMC-Pvt) Limited	Terminated	25-May-16	Voluntary Termination	15.10.1
1241	Main Muhammad Akram Securities (Pvt.) Limited	Terminated	18-May-16	Voluntary Termination	15.10.1
1242	Muhammad Bashir Kasmani Securities (Pvt.) Limited	Terminated	17-May-16	Voluntary Termination	15.10.1
1243	Munaf Sattar Securities (Pvt.) Limited	Terminated	9-May-16	Voluntary Termination	15.10.1
1244	Stock Street (Private) Limited	Restricted	2-May-16	Consequent to suspension of trading terminals by PSX vide notice no. PSX/N-2883 dated May 02, 2016	15.2.1(a)
1245	Pak Meezan Securities (Private) Limited	Removal of Restriction	28-Apr-16	Consequent certificate of registration as broker is granted by SECP and PSX declared the Participants as active broker vide notice no. PSX/N-2565 dated April 26, 2016	15.6.2
1246	Uzma Shabbir Securities (Private) Limited	Terminated	12-Apr-16	Voluntary Termination	15.10.1
1247	H.R. Securities & Brokerage (Private) Limited	Terminated	7-Apr-16	Voluntary Termination	15.10.1
1248	Al Asar Securities (Private) Limited	Terminated	6-Apr-16	Voluntary Termination	15.10.1
1249	Akd Analytics (Private) Limited	Removal of Suspension	5-Apr-16	Participant has complied with the Regulation 6.8.2	15.6.2
1250	Samba Bank Limited	Terminated	25-Mar-16	Voluntary Termination	15.10.1
1251	Quality Islamic Investments & Securities (Pvt) Limited	Removal of Restriction	25-Mar-16	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-1869 dated March 25, 2016	15.6.2
1252	Quality Islamic Investments & Securities (Pvt) Limited	Restricted	16-Mar-16	Consequent to Switching off trading terminals by PSX vide notice no. PSX/N-1701 dated March 16, 2016	15.2.1(a)
1253	A.H.K.D. Securities (Private) Limited	Removal of Suspension	4-Mar-16	Participant has complied with the Regulation 6.8.2	15.6.2
1254	A.H.K.D. Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1255	Ab Equities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1256	Akd Analytics (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1257	Pak United Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1258	Invisor Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1259	QF Securities (Pvt) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1260	Khoja'S Capital Management (Pvt.) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1261	Al-Mal Securities & Services Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1262	Mohammed Hanif Moosa	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1263	Investec Securities Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1264	Javed Omer Vohra & Company Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1265	Yousuf Ebrahim	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1266	Shahid Hassan Awan	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1267	Mohammad Tanveer Malik	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1268	Islamabad Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1269	Orion Investments (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1270	Tariq Sayeed Securities (Private) Limited	Removal of Restriction	1-Mar-16	Participant has complied with the Regulation 6.8.2	15.6.2
1271	Elixir Securities Pakistan (Pvt.) Limited	Restricted	24-Feb-16	As the Participant has not complied 6.8.1 of the CDC Regulation	15.3.1(a)
1272	Elixir Securities Pakistan (Pvt.) Limited	Removal of Restriction	24-Feb-16	Participant has complied with the Regulation 6.8.1	15.6.2
1273	Fincap Investments (Private) Limited	Notice in respect of Participant	3-Feb-16	Participant has complied with the Regulation 6.8.2	15.6.2
1274	Pak Meezan Securities (Private) Limited	Notice in respect of Participant	3-Feb-16	Participant has complied with the Regulation 6.8.2	15.6.2
1275	Trust Capital (Private) Limited	Suspended	25-Jan-16	on the completion of 60 days of Restriction.	15.3.7(b)
1276	Saima Qaiser Securities (Pvt.) Limited	Removal of Restriction	22-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
1277	Safe Securities (Private) Limited	Terminated	18-Jan-16	Voluntary Termination	15.10.1
1278	JCR Capital Securities (Private) Limited	Removal of Restriction	13-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
1279	Kayzone Capital Markets (SMC-Private) Limited	Notice in respect of Participant	7-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
1280	SMB Securities (Private) Limited	Removal of Restriction	30-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1281	Kayzone Capital Markets (SMC-Private) Limited	Restricted	23-Dec-15	Duet to switching off of all trading terminals by the LSE vide notice no.6621 Dated December 22, 2015 received by CDC on December 23, 2015.	15.2.1(a)
1282	Trust Securities & Brokerage Limited	Removal of Restriction	22-Dec-15	Consequent to restoration of all trading terminals by the LSE vide notice no.6620 Dated December 22, 2015	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1283	Faith Securities (Private) Limited	Removal of Restriction	18-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1284	Trust Securities & Brokerage Limited	Restricted	14-Dec-15	Due to switching off of all trading terminals by the LSE vide notice no.6245 Dated December 11, 2015 received by CDC on December 14, 2015.	15.2.1(a)
1285	AKD Analytics (Private) Limited	Restricted	14-Dec-15	Due to switching off of all trading terminals by the LSE vide notice no.6248 Dated December 11, 2015 received by CDC on December 14, 2015.	15.2.1(a)
1286	Faith Securities (Private) Limited	Restricted	14-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1287	Aziz Fidahusseini & Company (Pvt.) Limited	Suspended	11-Dec-15	Consequent to suspension of Participant by KSE vide notice no. KSE/N-6454 dated December 10, 2015	15.2.1(b)
1288	Shaukat Shaffi Securities (Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1289	First Fidelity Leasing Modaraba	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1290	Sohail Raza Moosani (Smc-Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1291	JCR Capital Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1292	Saima Qaiser Securities (Pvt.) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1293	SMB Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1294	A.H.K.D. Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1295	AB Equities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1296	Shaukat Shaffi Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1297	AKD Analytics (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1298	H.R. Securities & Brokerage (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1299	Kayzone Capital Markets (SMC-Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1300	Sohail Raza Moosani (SMC-Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1301	Tariq Sayeed Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1302	Pak United Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1303	Aziz Fidahuseini & Company (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1304	Pak Meezan Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1305	Invisor Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1306	QF Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1307	First Fidelity Leasing Modaraba	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1308	Khoja's Capital Management (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1309	Al-Mal Securities & Services Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1310	Mohammed Hanif Moosa	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1311	Investec Securities Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1312	Javed Omer Vohra & Company Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1313	Yousuf Ebrahim	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1314	Shahid Hassan Awan	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1315	Mohammad Tanveer Malik	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1316	Islamabad Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1317	Fincap Investments (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1318	Orion Investments (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1319	Trust Capital (Private) Limited	Restricted	26-Nov-15	Participant under Regulation 6.8.2 of the CDC Regulations discloses negative Capital Adequacy Level	15.3.1(a)
1320	A.H.K.D. Securities (Private) Limited	Removal of Intention to Suspend	24-Nov-15	Participant has settled the CDC outstanding dues.	15.9.1 (e)
1321	Mian Muhammad Akram Securities (Pvt.) Limited	Removal of Suspension	17-Nov-15	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/537/15 dated November 17, 2015	15.6.2
1322	Mian Muhammad Akram Securities (Pvt.) Limited	Suspended	16-Nov-15	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/536/15 dated November 16, 2015	15.2.1(b)
1323	A.H.K.D. Securities (Private) Limited	Final Notice of Intention to Suspend	16-Nov-15	Failure to settle the CDC outstanding dues.	15.9.1 (e)
1324	A.H.K.D. Securities (Private) Limited	Extension of intention to suspend	30-Oct-15	Failure to settle the CDC outstanding dues.	15.9.1 (e)
1325	A.H.K.D. Securities (Private) Limited	Notice of Intention to Suspend	15-Oct-15	Failure to settle the CDC outstanding dues.	15.9.1 (e)
1326	Hamza Farhad Securities (Private)	Suspended	29-Sep-15	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/469/15 dated September 29, 2015	15.2.1(b)
1327	Hamza Farhad Securities (Private)	Removal of Suspension	29-Sep-15	consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/470/15 dated September 29, 2015	15.6.2
1328	Invest Capital Markets Limited	Revised Notice of Restriction	28-Sep-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1329	BMS Capital (Private) Limited	Removal of Restriction	28-Sep-15	Consequent to restoration of trading terminals by LSE vide notice no. 4848 dated September 28, 2015	15.6.2
1330	Allied Securities (Private) Limited	Removal of Restriction	21-Sep-15	Consequent to restoration of trading terminals by LSE vide notice no. 4810 dated September 21, 2015	15.6.2
1331	Hatim Investments & Securities (Pvt.) Limited	Terminated	18-Sep-15	Voluntary Termination	15.10.1
1332	First National Equities Limited	Revised Notice of Restriction	15-Sep-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1333	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	31-Aug-15	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1334	Allied Securities (Private) Limited	Restricted	31-Aug-15	Consequent to Switching off trading terminals by LSE vide notice no. 4535 dated August 31, 2015	15.2.1(a)
1335	QF Securities (Private) Limited	Restricted	31-Aug-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1336	BMS Capital (Private) Limited	Restricted	28-Aug-15	Consequent to expiry of broker registration of Participant as notified by LSE vide notice no. 4478 dated August 26, 2015 received on August 28, 2015	15.2.1(a)
1337	Live Securities Limited	Removal of Restriction for opening of New Sub-Accounts	5-Aug-15	consequent to lifting of restriction of Participants for opening of new sub-accounts by KSE vide notice no. KSE/GEN-6177 dated August 03, 2015	15.6.2
1338	Darson Securities (Private) Limited	Removal of Restriction for opening of New Sub-Accounts	5-Aug-15	consequent to lifting of restriction of Participants for opening of new sub-accounts by KSE vide notice no. KSE/GEN-6188 dated August 04, 2015	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1339	AZEE Securities (Private) Limited	Removal of Restriction for opening of New Sub-Accounts	5-Aug-15	consequent to lifting of restriction of Participants for opening of new sub-accounts by KSE vide notice no. KSE/GEN-6173 dated August 04, 2015	15.6.2
1340	WE Financial Services Limited	Notice of Imposition of Penalty	24-Jul-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1341	Live Securities Limited	Restriction on opening of New Sub-Accounts	22-Jul-15	Due to imposed restriction on Participants for opening of new sub-accounts by KSE vide order no. KSE/GEN-5746 dated July 16, 2015.	15.2.1(a)
1342	Darson Securities (Private) Limited	Restriction on opening of New Sub-Accounts	22-Jul-15	Due to imposed restriction on Participants for opening of new sub-accounts by KSE vide order no. KSE/GEN-5747 dated July 16, 2015	15.2.1(a)
1343	Aziz Fidahusein & Company (Private) Limited	Restricted	22-Jul-15	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by KSE vide notice no. KSE/N-3626 dated July 16, 2015	15.2.1(a)
1344	AZEE Securities (Private) Limited	Restriction on opening of New Sub-Accounts	22-Jul-15	Due to imposed restriction on Participants for opening of new sub-accounts by KSE vide order no. KSE/GEN-5721 dated July 16, 2015	15.2.1(a)
1345	Aziz Fidahusein & Company (Private) Limited	Restricted	14-Jul-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1346	H. P. Byramji & Co. (Pvt.) Limited	Notice of Restriction & Penalty	6-Jul-15	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1347	Harvest Smartrend Securities (Private) Limited	Terminated	6-Jul-15	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by LSE vide notice no.3069 dated July 03, 2015	15.2.1(a)
1348	AZEE Securities (Private) Limited	Removal of Restriction	2-Jul-15	Participant represented to CDC vide letter dated July 02, 2015 to consider removing the Restriction against deposit amount sufficient to settle the claims.	15.6.2
1349	Pak Meezan Securities (Private) Limited	Restricted	1-Jul-15	Due to suspension of registration Participant as Broker by Securities Exchange Commission of Pakistan vide order dated June 30, 2015	15.2.1(a)
1350	Reliance Capital (Private) Limited	Restricted	1-Jul-15	Due to suspension of registration Participant as Broker by Securities Exchange Commission of Pakistan vide order dated June 30, 2015	15.2.1(a)
1351	AZEE Securities (Private) Limited	Restricted	1-Jul-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1352	Investforum (Smc-Pvt) Limited	Notice of Imposition of Penalty	19-Jun-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1353	ACE Securities (Private) Limited	Terminated	18-May-15	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by KSE vide notice no. KSE/N-2793 dated May 15, 2015.	15.3.7
1354	First National Equities Limited	Restricted	14-May-15	Due to contravention of provision of Regulation 6.7.3 of the CDC Regulations	15.2.1(a)
1355	ACE Securities (Private) Limited	Suspended	14-May-15	Consequent to suspension of Participant by KSE vide notice no. KSE/N-2754 dated May 13, 2015	15.2.1(b)
1356	Invest Capital Markets Limited	Imposition of Penalty & Restricted	13-May-15	Due to contravention of provision of Regulation 6.7.3 of the CDC Regulations	14.3.1 (b) and 15.2.1(a)
1357	MAK Securities (Private) Limited	Terminated	30-Apr-15	Voluntary Termination	15.10.1
1358	ACE Securities (Private) Limited	Suspended	27-Apr-15	Consequent to Switching off trading terminals by KSE vide email dated April 27, 2015 and Directive of SECP vide Letter no. 4(BRK-129)SE/SMD/2001 dated April 27, 2015.	15.2.1(b)
1359	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1360	Alfa Adhi Securities (Pvt.) Limited	Censure	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1361	Ali Husain Rajabali Limited	Censure	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1362	AWJ Securities (Private) Limited	Censure	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1363	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Censure	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1364	Prime Securities (Pvt.) Limited	Censure	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1365	AZEE Securities (Private) Limited	Notice of Imposition of Penalty	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1366	Alfalah Securities (Private) Limited	Notice of Imposition of Penalty	14-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1367	Aziz Fidahusein & Company (Pvt.) Limited	Notice of Imposition of Penalty	14-Apr-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
1368	KASB Securities Limited	Removal of Restriction	14-Apr-15	Pursuant to directive issued vide letter no. SMD/SE/2(20)2014 dated April 13, 2015 of the SECP.	-
1369	First National Equities Limited	Notice of Imposition of Penalty	2-Apr-15	Non-Compliance of CDC Regulations	6.2.2, 6.2.6 & 6.7.3
1370	Capital Vision Securities (Private) Limited	Terminated	31-Mar-15	Consequent to declaring the participant as defaulter by Lahore stock Exchange Limited vide notice no. LSE/1417 dated March 31, 2015.	15.3.7
1371	Patel Securities (Pvt.) Limited	Notice of Imposition of Penalty	9-Mar-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1372	Moosani Securities (Pvt.) Limited	Terminated	6-Mar-15	Voluntary Termination	15.10.1
1373	Mian Muhammad Akram Securities (Pvt.) Limited	Notice of Imposition of Penalty	5-Mar-15	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1374	A.H.K.D. Securities (Private) Limited	Removal of Restriction	3-Mar-15	Consequent to restoration of trading terminals by the Karachi Stock Exchange Limited vide notice no. 1188 dated March 03, 2015	15.6.2
1375	Capital Vision Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Feb-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1376	Motiwala Securities (Private) Limited	Removal of Suspension	18-Feb-15	Consequent to Change of status of participant as an active TRE Holder of Karachi Stock Exchange as notified by KSE vide notice no. KSE/N-702 dated February 17, 2015.	15.6.2
1377	Universal Equities (Private) Limited	Removal of Restriction	16-Feb-15	Consequent to Restoration of Trading terminals of participant by Lahore Stock Exchange as notified by LSE vide notice no. 0643 dated February 13, 2015.	15.6.2
1378	Excel Securities (Pvt.) Limited	Terminated	13-Feb-15	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE vide notice no. 035 of 2015 dated February 13, 2015.	15.3.7
1379	H.H.K. Securities (Pvt.) Limited	Removal of suspension	29-Jan-15	Consequent to Restoration of Trading of participant by Karachi Stock Exchange as notified by KSE vide notice no. KSE/N-419 dated January 29, 2015.	15.6.2
1380	A. S. Securities (Private) Limited	Removal of suspension	22-Jan-15	Consequent to Restoration of Trading of participant by Lahore Stock Exchange as notified by LSE vide notice no. 0276 dated January 16, 2015.	15.6.2
1381	Aazeb Securities (Private) Limited	Terminated	24-Dec-14	Voluntary Termination	15.10.1
1382	Dossanis Securities (Pvt.) Limited	Censure	12-Dec-14	Non-Compliance of CDC Regulations	6.2.6
1383	KASB Securities Limited	Relaxation on Restriction	3-Dec-14	Pursuant to directive issued vide letter no. SMD/SE/2(20)2014 dated December 02, 2014 of the SECP.	-
1384	KASB Securities Limited	Restricted	18-Nov-14	Pursuant to directive issued vide letter no. SMD/SE/2(20)2014 dated November 17, 2014 of the SECP.	-
1385	Harvest Smartrend Securities (Private) Limited	Restricted	31-Oct-14	Consequent to switching off of all trading terminals by the LSE vide notice no.7910 Dated October 31, 2014.	15.2.1(a)
1386	Invest Capital Markets Limited	Restricted	24-Sep-14	Due to contravention of provision of Regulation 6.7.3 of the CDC Regulations	15.2.1(a)
1387	AFIC Securities (Private) Limited	Terminated	4-Sep-14	Voluntary Termination	15.10.1
1388	AFIC Securities (Private) Limited	Restricted	3-Sep-14	Consequent to Switching off trading terminals by LSE on the request of AFIC Securities (Private) Limited	15.2.1(a)
1389	Ismail Iqbal Securities (Pvt.) Limited	Notice of Imposition of Penalty	25-Aug-14	Non-Compliance of CDC Regulations	6.2.2, 6.2.6 & 6.7.3
1390	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	6-Aug-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
1391	Beaming Investment and Securities (Private) Limited	Removal of Suspension	25-Jul-14	Consequent to Revocation of Suspension of participant by Karachi Stock Exchange as notified by KSE vide notice no. ISE/RAD/205 dated July 25, 2014.	15.6.2
1392	Diyanah Islamic Financial Services (Pvt.) Limited	Restricted	20-Jun-14	Consequent to broker registration of the Participant has expired as notified by ISE vide notice no. ISE/RAD/161 dated June 16, 2014	15.1.1(a) (ii) to (iv)
1393	Ghory's Securities (Private) Limited	Removal of suspension	18-Jun-14	Consequent to change of status of participant as an active TRE Certificates holder of Karachi Stock Holder as notified by KSE vide notice no. KSE/N-3337 dated June 18, 2014.	15.6.2
1394	Ghory's Securities (Private) Limited	Suspended	11-Jun-14	Consequent to completion of 60 Business Day of Restriction	15.3.7(b)
1395	Invest Capital Markets Limited	Notice of Imposition of Penalty	10-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1396	High Land Securities (Pvt.) Limited	Censure	5-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1397	Din Capital (Pvt.) Limited	Censure	8-May-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
1398	Ayub Chaudhry Investments (Pvt.) Limited	Censure	24-Apr-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1399	Muhammad Tariq Moti Securities (Pvt.) Limited	Censure	10-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
1400	SAAO Capital (Pvt.) Limited	Censure	9-Apr-14	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1401	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	9-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
1402	K. H. S. Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1403	Islamabad Securities (Private) Limited	Suspended	7-Apr-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE	15.2.1(b)
1404	Aziz Fidahusein & Company (Pvt.) Limited	Censure	26-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1405	Highlink Capital (Private) Limited	Terminated	26-Mar-14	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE vide notice no. 1585 dated March 24, 2014	15.3.7
1406	SNM Securities (Private) Limited	Removal of Restriction	25-Mar-14	Consequent to change of status of participant as an active TRE Certificates holder of Karachi Stock Holder as notified by KSE vide notice no. KSE/N-1624 dated March 24, 2014.	15.2.1(b)
1407	Alfalah Securities (Private) Limited	Censure	21-Mar-14	Non-Compliance of CDC Regulations	6.2.6
1408	Excel Securities (Pvt.) Limited	Suspended	21-Mar-14	Pursuant to directive dated February 20, 2014 of the SECP.	15.2.1(b)
1409	Ghory's Securities (Private) Limited	Restricted	19-Mar-14	Consequent to Switching off trading terminals by KSE on the request of Ghory's Securities (Private) Limited	15.2.1(a)
1410	Multiline Securities (Pvt.) Limited	Censure	13-Mar-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
1411	Apex Capital Securities (Private) Limited	Censure	4-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1412	Pearl Brokerage (Private) Limited	Notice of Imposition of Penalty	4-Mar-14	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1413	Maximus Securities (Private) Limited	Terminated	4-Mar-14	Voluntary Termination	15.10.1
1414	FINCAP Investments (Private) Limited	Suspended	21-Feb-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE vide notice no. ISE/2014/050 dated February 21, 2014.	15.2.1(b)
1415	Highlink Capital (Private) Limited	Suspended	20-Feb-14	Pursuant to order dated February 20, 2014 of the SECP.	15.2.1(b)
1416	Highlink Capital (Private) Limited	Restricted	18-Feb-14	Consequent to switching off of all trading terminals by the LSE vide notice no.856 Dated February 17, 2014, due to Suspension of its registration as a Broker by SECP.	15.2.1(a)
1417	Capital Vision Securities (Pvt.) Limited	Censure	14-Feb-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
1418	First National Equities Limited	Notice of Imposition of Penalty	14-Feb-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 and 6.2A.1
1419	Nasir Ali Shah Bukhari	Terminated	14-Feb-14	Voluntary Termination	15.10.1
1420	Prime Securities (Pvt.) Limited	Censure	13-Feb-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1421	Escorts Capital Limited	Notice of Imposition of Penalty	31-Jan-14	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1422	G. R. Securities (SMC-Pvt.) Limited	Terminated	30-Jan-14	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE	15.3.7
1423	Maximus Securities (Private) Limited	Restricted	29-Jan-14	Consequent to expiry of broker registration as notified by LSE.	15.2.1(a)
1424	G. R. Securities (SMC-Pvt.) Limited	Suspended	13-Jan-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE	15.1.1(a) (ii) to (iv)
1425	Diyanah Islamic Financial Services (Pvt.) Limited	Restricted	31-Dec-13	Consequent to switching off of all trading terminals by the ISB and Cancellation of its registration as a Broker by SECP.	15.1.1(a) (ii) to (iv)
1426	SNM Securities (Private) Limited	Restricted	26-Dec-13	Consequent to deactivation of all trading terminals by the KSE	15.1.1(a)
1427	M. J. Memon Securities (Pvt.) Limited	Censure	18-Dec-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1428	Maha Securities (Pvt.) Limited	Censure	9-Dec-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1429	Highlink Capital (Private) Limited	Restricted	29-Nov-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1430	Highlink Capital (Private) Limited	Removal of Restriction	29-Nov-13	Consequent to restoration of all trading terminals by the LSE in view of order dated 29-11-2013 of Court of Senior Civil Judge, Lahore	15.6.2
1431	Hameed Mukhtar Chaudhry	Terminated	27-Nov-13	Voluntary Termination	15.10.1
1432	Excel Securities (Pvt.) Limited	Censure	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1433	Mian Muhammad Akram Securities (Pvt.) Limited	Censure	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1434	MTM Securities (Private) Limited	Terminated	20-Nov-13	Voluntary Termination	15.10.1
1435	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Nov-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1436	MTM Securities (Private) Limited	Restricted	18-Nov-13	Consequent to Switching off trading terminals by LSE on the request of MTM Securities (Private) Limited	15.2.1(a)
1437	Trade-In-Securities (Pvt.) Limited	Censure	7-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1438	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	6-Nov-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1439	MCFSL - Trustee MCFSL Trustee Atlas Fund of Funds	Terminated	6-Nov-13	Voluntary Termination	15.10.1
1440	Jamshaid & Hasan Securities (Pvt.) Limited	Notice of Imposition of Penalty	5-Nov-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1441	Time Securities (Pvt.) Limited	Notice of Imposition of Penalty	5-Nov-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.6
1442	Ghani Osman Securities (Private) Limited	Removal of Restriction	28-Oct-13	Pursuant to Order dated October 26, 2013 of the Honorable High Court of Sindh at Karachi in Civil Suit No. 1346 of 2013	Court Order
1443	Ghani Osman Securities (Private) Limited	Restricted	25-Oct-13	Consequent to Suspension of registration of Participant by SECP vide Order dated October 25, 2013	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1444	Fair Edge Securities (Pvt.) Limited	Censure	24-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1445	AZEE Securities (Private) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1446	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1447	Apex Capital Securities (Private) Limited	Removal of Intention to Suspend	4-Oct-13	Participant has settled the fine imposed by CDC	15.9.1(e)
1448	Dossanis Securities (Pvt.) Limited	Notice of Imposition of Penalty	2-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1449	Gul Dhami Securities (Pvt.) Limited	Censure	30-Sep-13	Non-Compliance of CDC Regulations	6.2.6
1450	AMCAP Securities (Private) Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1451	First Pakistan Securities Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1452	Dattoo Securities (Pvt.) Limited	Censure	27-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1453	Intermarket Securities Limited	Censure	26-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1454	Apex Capital Securities (Private) Limited	Imposition of Penalty / Notice of Intention to Suspend	23-Sep-13	Penalty imposed on non-compliances highlighted in Inspection of Participant Record and Intention to Suspend in case of non removing discrepancies and failure to pay amount of fine.	14.3.1 (b)
1455	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1456	Oriental Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1457	Standard Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1458	Ismail Iqbal Securities (Pvt.) Limited	Notice of Imposition of Penalty	28-Aug-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1459	SNM Securities (Private) Limited	Censure	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1460	Axis Global Limited	Notice of Imposition of Penalty	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1461	Sakarwala Capital Securities (Pvt.) Limited	Censure	20-Aug-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1462	Akhai Securities (Pvt.) Limited	Notice of Imposition of Penalty	31-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1463	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Terminated	29-Jul-13	Consequent to forfeiture of Trading Right Entitlement Certificate of the Participant by the KSE	15.3.7
1464	DJM Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-Jul-13	Non-Compliance of CDC Regulations	6.7.2 & 6.2A.1
1465	Live Securities Limited	Notice of Imposition of Penalty	19-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1466	Invest Capital Markets Limited	Notice of Imposition of Penalty	11-Jul-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.1
1467	Diyanah Islamic Financial Services (Pvt.) Limited	Notice of Imposition of Penalty	10-Jul-13	Non-Compliance of CDC Regulations	6.2A.1 & 6.2.6
1468	Dalia Securities (Private) Limited	Removal of Restriction	5-Jul-13	Consequent of re-registration as broker under the Brokers & Agents Registration Rules (the "Rules").	15.6.2
1469	Arif Majid Chaudhary	Removal of Restriction	26-Jun-13	Consequent to restoration of trading right entitlement by the LSE and withdrawal of directives of SECP	Rule 7
1470	Arif Majid Chaudhary	Terminated	26-Jun-13	Voluntary Termination	15.10.1
1471	Continental Capital Management (Pvt.) Limited	Censure	21-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1472	Irfan Mazhar Securities (Pvt.) Limited	Censure	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1473	KASB Securities Limited	Censure	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1474	Dawood Equities Limited	Notice of Imposition of Penalty	21-Jun-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.2.6
1475	Mian Nusrat-Ud-Din	Notice of Imposition of Penalty	21-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1476	Darson Securities (Private) Limited	Censure	19-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1477	M.R.A. Securities (Pvt.) Limited	Censure	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1478	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
1479	Live Securities Limited	Removal of Restriction	17-Jun-13	As the Participant has provided the evidence in form of Sub-Account Opening Form from the Complainant	15.6.3
1480	Live Securities Limited	Extension of Restricted Period	10-Jun-13	Due to non-resolution of investor's complaint against the Participant	15.3.1
1481	Alfalah Securities (Private) Limited	Notice of Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.7.3
1482	Progressive Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.6
1483	Live Securities Limited	Restricted	5-Jun-13	Restriction Imposed due to no clarification is given by the Participant w.r.t. Investor complaint	15.3.1
1484	Ghani Osman Securities (Pvt.) Limited	Censure	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1485	Multiline Securities (Pvt.) Limited	Censure	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6
1486	Moonaco Securities (Pvt.) Limited	Censure	3-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1487	Bawa Securities (Pvt.) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1488	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
1489	Alfa Adhi Securities (Pvt.) Limited	Censure	24-May-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1490	Adeel & Nadeem Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1491	Aziz Fidahusein & Company (Pvt.) Limited	Notice of Imposition of Penalty	22-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1492	Hameed Mukhtar Chaudhry	Removal of Restriction	21-May-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
1493	K. H. S. Securities (Pvt.) Limited	Notice of Imposition of Penalty	17-May-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1494	ZHV Securities (Private) Limited	Terminated	15-May-13	Consequent to Forfeiture of TRE Certificate by KSE	15.3.7
1495	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Suspended	15-May-13	Consequent to suspension of TRE Certificate by KSE	15.2.1(b)
1496	Saliha Haroon	Terminated	15-May-13	Voluntary Termination	15.10.1
1497	B & B Securities (Pvt.) Limited	Notice of Imposition of Penalty	14-May-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.7.3
1498	We Financial Services Limited	Notice of Imposition of Penalty	14-May-13	Non-Compliance of CDC Regulations	6.2.2 and 6.7.3
1499	Zahid Ali Habib	Terminated	14-May-13	Voluntary Termination	15.10.1
1500	SAZ Capital Securities (Pvt.) Limited	Censure	9-May-13	Non-Compliance of CDC Regulations	6.2.6
1501	Arif Latif	Terminated	9-May-13	Voluntary Termination	15.10.1
1502	Mian Nusrat-Ud-Din	Terminated	9-May-13	Voluntary Termination	15.10.1
1503	Mohammad Amer Riaz	Terminated	9-May-13	Voluntary Termination	15.10.1
1504	M. Ayub Ch.	Terminated	9-May-13	Voluntary Termination	15.10.1
1505	Sajid Masood	Terminated	9-May-13	Voluntary Termination	15.10.1
1506	Saima Qaiser	Terminated	9-May-13	Voluntary Termination	15.10.1
1507	First Fidelity Leasing Modaraba	Restricted	8-May-13	Consequent to Switching off trading terminals by the ISE	15.2.1(a)
1508	Investforum (Smc-Pvt) Limited	Notice of Imposition of Penalty	7-May-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.6 & 6.2A.1
1509	Seven Star Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1510	Arif Latif	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1511	Mian Nusrat-Ud-Din	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1512	Mohammad Amer Riaz	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1513	Zahid Ali Habib	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1514	Arif Majid Chaudhary	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1515	Saliha Haroon	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1516	M. Ayub Ch.	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1517	Hameed Mukhtar Ch.	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1518	Nasir Ali Shah Bukhari	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1519	Sajid Masood	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1520	Saima Qaiser	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1521	H. M. Idrees H. Adam	Terminated	6-May-13	Voluntary Termination	15.10.1
1522	Tewfiq Mohammad Amin Fikree	Terminated	6-May-13	Voluntary Termination	15.10.1
1523	Muhammad Tariq Moti	Terminated	6-May-13	Voluntary Termination	15.10.1
1524	Raymund J.H.P Byramji	Terminated	6-May-13	Voluntary Termination	15.10.1
1525	Dawood Mohammad	Terminated	6-May-13	Voluntary Termination	15.10.1
1526	Surmawala Securities (Private) Limited	Notice of Imposition of Penalty	18-Apr-13	Non-Compliance of CDC Regulations	6.2.6, 6.2A.1 & 6.7.3
1527	Apex Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	16-Apr-13	Penalty imposed on non-compliances highlighted in Inspection of Participant Record and Intention to Suspend in case of non removing discrepancies and failure to pay amount of fine.	6.2.2, 6.2.6, 6.2A.1, 6.7.2, & 6.7.3
1528	A. I. Securities (Private) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1529	G. R. Securities (SMC-Pvt.) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
1530	Sajid Masood	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1531	Stock Street (Private) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.2A.1 & 9.1.1
1532	ZHV Securities (Private) Limited	suspended	11-Apr-13	Consequent to suspension of TRE Certificate by the KSE	15.2.1(b)
1533	Dalia Securities (Pvt.) Limited	Censure	9-Apr-13	Non-Compliance of CDC Regulations	6.2.6
1534	Pearl Brokerage (Private) Limited	Censure	9-Apr-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
1535	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	suspended	9-Apr-13	Consequent to suspension of clearing member account by the NCCPL	15.2.1(b)
1536	BlackStone Equities (Private) Limited	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1537	Creative Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1538	Prosperity Securities (SMC-Pvt.) Limited	suspended	3-Apr-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
1539	N.U.A Securities (Pvt.) Limited	Notice of Imposition of Penalty	28-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1540	Techno Fundamental Securities (Pvt.) Limited	Censure	27-Mar-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
1541	Fair Deal Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1542	Maan Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Mar-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1543	A. H. M. Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Mar-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 & 6.7.3
1544	Ms. Saliha Haroon	Notice of Imposition of Penalty	26-Mar-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1545	Alfalalah Securities (Private) Limited	Removal of Restriction	25-Mar-13	Consequent to restoration of trading right entitlement certificate by the KSE	15.6.2
1546	First National Equities Limited	Removal of Intention to Suspend	18-Mar-13	Participant has settled the fine imposed by CDC	15.9.1(e)
1547	Switch Securities (Private) Limited	Censure	15-Mar-13	Non-Compliance of CDC Regulations	6.2.6
1548	Alfalalah Securities (Private) Limited	Restricted	15-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
1549	ZHV Securities (Private) Limited	Restricted	13-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
1550	Friendly Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1551	Khanani Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.2A.1
1552	Harvest Smartrend Securities (Pvt.) Limited	Notice of Imposition of Penalty	4-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2A.1 & 9.1.1
1553	First National Equities Limited	Notice of Intention to Suspend	4-Mar-13	Due to failure to pay the fine to CDC	15.9.1(e)
1554	M. J. Memon Securities (Pvt.) Limited	Censure	27-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1555	Dalia Securities (Private) Limited	Restricted	26-Feb-13	Consequent to switching off the trading terminal by the ISE due to non-submission of renewal of registration document to SECP	15.2.1(a)
1556	Sherman Securities (Pvt.) Limited	Notice of Imposition of Penalty	20-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1557	GMI Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	19-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1558	KSR Stock Brokerage (Pvt.) Limited	Censure	15-Feb-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 9.1.1
1559	Arif Majid Chaudhry	Restricted	15-Feb-13	SECP directive pursuant to Rule 7 of Central Depository Companies (Establishment and Regulation) Rules, 1996	-
1560	Baba Equities (Pvt.) Limited	Censure	12-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
1561	MCBFSL - Trustee AH Dow Jones Pak Titans 15 Index Fund	Terminated	12-Feb-13	Voluntary Termination	15.10.1
1562	Safe Securities (Private) Limited	Censure	11-Feb-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1563	SAAO Capital (Pvt.) Limited	Notice of Imposition of Penalty	11-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 & 6.7.3
1564	Arif Majid Chaudhry	Removal of Suspension	11-Feb-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
1565	First National Equities Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.7.3, 9.1.1 & 6.2A.1
1566	Habib Metropolitan Financial Services Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1567	Infinite Securities Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1568	Muhammad Ayub Chaudhry	Notice of Imposition of Penalty	28-Jan-13	Non-Compliance of CDC Regulations	6.2.2 & 9.1.1
1569	Jahanzaib Gondal	Terminated	24-Jan-13	Voluntary Termination	15.10.1
1570	A. S. Securities (Private) Limited	Suspended	11-Jan-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
1571	Prosperity Securities (SMC-Pvt) Limited	Restricted	7-Jan-13	Consequent to Switching off trading terminals by the ISE, on the request of the Participant	15.2.1(a)
1572	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Removal of Intention to Suspend	4-Jan-13	Participant has settled the fine imposed by CDC	15.9.1(e)
1573	AWJ Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1574	Excel Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
1575	Zafar Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1576	Imperial Investments (Private) Limited	Terminated	24-Dec-12	Consequent to expulsion of Participant by the KSE.	15.3.7
1577	ACE Securities (Private) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1578	Maha Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2A.1 & 9.1.1
1579	Time Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.2.3, 6.2.6, 6.2A.1 & 6.7.3
1580	Ahmad Shoaib Akram	Terminated	18-Dec-12	Voluntary Termination	15.10.1
1581	Arif Majid Chaudhry	Suspended	17-Dec-12	Consequent to suspension of trading right entitlement certificate by the LSE	15.2.1(b)
1582	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Intention to Suspend	17-Dec-12	Due to failure to pay the fine to CDC	15.9.1(e)
1583	Arif Majid Chaudhry	Restricted	14-Dec-12	Consequent to Switching off trading terminals by the LSE	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1584	First National Equities Limited	Restricted	12/3/2012	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1585	Arif Majid Chaudhry	Intention to Suspend	30-Nov-12	Due to failure to pay CDC dues	15.9.1(e)
1586	Moosa, Noor Mohammad, Shahzada & Co (Pvt.) Limited	Notice of Imposition of Penalty	20-Nov-12	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.6, 6.7.2 & 6.7.3
1587	Imperial Investments (Private) Limited	Suspended	13-Nov-12	Consequent to suspension of trading right entitlement certificate by the ISE	15.2.1(b)
1588	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	30-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1589	Imperial Investments (Private) Limited	Notice of Imposition of Penalty	24-Oct-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.6 & 9.1.1
1590	Imperial Investments (Private) Limited	Suspended	22-Oct-12	Due to non-compliance of regulatory requirements with respect to transfer of securities and non payment of Penalty	15.2.1(b)
1591	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	19-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1592	Pearl Securities Limited	Notice of Imposition of Penalty	18-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1593	A. S. Securities (Private) Limited	Restricted	15-Oct-12	Consequent to Switching off trading terminals by the LSE on the request of the Participant.	15.2.1(a)
1594	Invisor Securities (Private) Limited	Restricted	12-Oct-12	Consequent to Switching off trading terminals by the KSE on the request of the Participant.	15.2.1(a)
1595	Imperial Investments (Private) Limited	Restricted	12-Oct-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1596	Dattoo Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1597	H. P. Byramji & Co. (Pvt.) Limited	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1598	Rayomund J.H.P. Byramji	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1599	Pearl Capital Management (Private) Limited	Terminated	4-Oct-12	Membership suspended by the KSE.	15.3.7
1600	Intermarket Securities Limited	Notice of Imposition of Penalty	3-Oct-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.3 and 6.2.6
1601	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	28-Sep-12	Non-Compliance of CDC Regulations	6.2 & 6.2.6
1602	Gul Dhami Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Sep-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1603	F.M. Securities (Pvt.) Limited	Notice of Imposition of Penalty	14-Sep-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
1604	Jamshaid & Hasan Securities (Pvt.) Limited	Notice of Imposition of Penalty	13-Sep-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1605	Pearl Capital Management (Private) Limited	Notice of Imposition of Penalty	13-Sep-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.2, 6.7.3 & 9.1.1
1606	Jahangir Siddiqui & Company Limited	Terminated	11-Sep-12	Voluntary Termination	15.10.1
1607	Dossanis Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1608	Pearl Capital Management (Private) Limited	Restricted	24-Aug-12	Consequent to Switching off trading terminals by the KSE on the request of the Participant.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1609	Pearl Capital Management (Private) Limited	Suspended	24-Aug-12	Membership suspended by the KSE.	15.2.1(b)
1610	NBP Trustee - NI(UT) (LOC) Fund	Terminated	15-Aug-12	Voluntary Termination	15.10.1
1611	First Pakistan Securities Limited	Notice of Imposition of Penalty	9-Aug-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
1612	Switch Securities (Private) Limited	Removal of Intention	8/3/2012	Participant has settled the CDC outstanding dues	15.9.1(e)
1613	Unex Securities (Pvt.) Limited	Censure	1-Aug-12	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
1614	AMCAP Securities (Private) Limited	Notice of Imposition of Penalty	1-Aug-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1615	Arif Majid Chaudhry	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1616	Live Securities Limited	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1617	Hum Securities Limited	Notice of Imposition of Penalty	25-Jul-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1618	Hum Securities Limited	Notice of Imposition of Penalty	24-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 9.1.1
1619	Salma	Terminated	20-Jul-12	Voluntary Termination	15.10.1
1620	YKD Securities (Pvt.) Limited	Terminated	19-Jul-12	Voluntary Termination	15.10.1
1621	Al-Hamd Investment and Securities (Private) Ltd.	Terminated	19-Jul-12	Voluntary Termination	15.10.1
1622	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
1623	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
1624	Darson Securities (Private) Limited	Notice of Imposition of Penalty	25-Jun-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1625	Al-Hamd Investment and Securities (Private) Ltd.	Suspended	25-Jun-12	Consequent to completion of 60 Business Days of Restrictions	15.3.7(b)
1626	Salman Capital Investments (Private) Limited	Terminated	22-Jun-12	Voluntary Termination	15.10.1
1627	Invisor Securities (Private) Limited	Removal of Restriction	18-Jun-12	Consequent to change of status as an Active Member by KSE	15.6.2
1628	Dawoodi Alibhoy Morkas	Terminated	14-Jun-12	Voluntary Termination	15.10.1
1629	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Terminated	13-Jun-12	Consequent to cancellation of the membership by the ISE	15.3.7
1630	Beaming Investment and Securities (Private) Limited	Suspended	8-Jun-12	Consequent to Suspension of Membership by the ISE.	15.2.1(b)
1631	United Capital Securities (Private) Limited	Terminated	6/3/2012	Consequent to expulsion of Participant by the KSE.	15.3.7
1632	H.H.K. Securities (Pvt.) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1633	Khoja's Capital Management (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1634	Mr. Haroon Suleman	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1635	MAK Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1636	Motiwala Securities (Private) Limited	Restricted	3-Jun-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1637	Naveed H. M. Idrees	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1638	Latif Suleman Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1639	H.H.K. Securities (Pvt.) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
1640	Motiwala Securities (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
1641	Khoja's Capital Management (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
1642	Khawaja Securities (Pvt.) Limited	Removal of Suspension	30-May-12	Consequent to restoration of trading terminals	15.6.2
1643	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Suspended	28-May-12	Consequent to Suspension of membership by the ISE.	15.2.1(b)
1644	Beaming Investment and Securities (Private) Limited	Restricted	28-May-12	Consequent to Switching off trading terminals by the ISE.	15.2.1(a)
1645	Beaming Investment and Securities (Private) Limited	Censure	25-May-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.3 & 6.2.6
1646	SAL Securities (Pvt.) Limited	Censure	25-May-12	Non-Compliance of CDC Regulations	6.2.6 & A041
1647	A.H.K.D. Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1648	Invisor Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)
1649	Arif Habib Securities Limited	Terminated	23-May-12	Voluntary Termination	15.10.1
1650	Escorts Investment Bank Limited	Terminated	22-May-12	Voluntary Termination	15.10.1
1651	MCPSL - Trustee UBL Capital Protected Fund-II	Terminated	22-May-12	Voluntary Termination	15.10.1
1652	Stock Master Securities (Private) Limited	Terminated	16-May-12	Consequent to Expulsion of the membership by the LSE	15.3.7
1653	Latif Suleman Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
1654	Aqeel Karim Dhedhi Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
1655	Hum Securities Limited	Terminated	8-May-12	Voluntary Termination	15.10.1
1656	Khoja's Capital Management (Private) Limited	Intention to Suspend	30-Apr-12	Due to failure to pay CDC dues	15.9.1(e)
1657	Naveed H. M. Idrees	Terminated	30-Apr-12	Voluntary Termination	15.10.1
1658	Beaming Investment and Securities (Private) Limited	Restricted	27-Apr-12	Consequent to Switching off of trading terminals by the ISE.	15.2.1(a)
1659	Y. S. Securities & Services (Private) Limited	Terminated	24-Apr-12	Consequent to Expulsion by the LSE	15.3.7
1660	Trust Capital (Private) Limited	Restricted	18-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
1661	Arif Majid Chaudhry	Removal of Intention to Suspend	18-Apr-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1662	Darson Securities (Private) Limited	Restricted	12-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1663	Darson Securities (Private) Limited	Restricted	12-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1664	Salman Capital Investments (Private) Limited	Restricted	12-Apr-12	Consequent to change of status as inactive member	15.2.1(a)
1665	Stock Master Securities (Private) Limited	Suspended	10-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(b)
1666	Y. S. Securities & Services (Private) Limited	Suspended	10-Apr-12	Consequent to Suspension of membership by the LSE.	15.2.1(b)
1667	Y. S. Securities & Services (Private) Limited	Restricted	9-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
1668	Stock Master Securities (Private) Limited	Restricted	5-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1669	Dawoodi Alibhoy Morkas	Restricted	5-Apr-12	Consequent to Switching off trading terminals by the ISE.	15.2.1(a)
1670	Al-Haq Securities (Pvt.) Limited	Censure	30-Mar-12	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1671	Ms. Saliha Haroon	Censure	30-Mar-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1672	Al-Hamd Investment and Securities (Private) Ltd.	Restricted	30-Mar-12	Consequent to Switching off of trading terminals by the LSE.	15.2.1(a)
1673	Stock Master Securities (Private) Limited	Intention to Restrictions	30-Mar-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.1.1(b)(iii)
1674	Dossanis Securities (Pvt.) Limited	Intention to Restrictions	30-Mar-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.1.1(b)(iii)
1675	Harvest Smartrend Sec. (Private) Limited	Removal of Intention	27-Mar-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1676	Universal Equities (Private) Limited	Restricted	26-Mar-12	Non-Renewal of Broker Registration Certificate	15.2.1(a)
1677	MAK Securities (Private) Limited	Terminated	22-Mar-12	Voluntary Termination	15.10.1
1678	Haroon Suleman	Terminated	22-Mar-12	Ceasing of as Member of KSE	15.2.1(c)
1679	First National Equities Limited	Removal of Restriction	22-Mar-12	Participant complied with Regulatory requirements relating to transfer of securities	15.2.1(a)
1680	Mr. Shahid Nauman Rana	Terminated	16-Mar-12	Due to declaration of the Participant as defaulter by the LSE	15.2.1(c)
1681	Hum Securities Limited	Restricted	13-Mar-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1682	Javed Iqbal Securities (Pvt.) Limited	Censure	28-Feb-12	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1683	National Bank of Pakistan	Terminated	28-Feb-12	Voluntary Termination	15.10.1
1684	AKY Securities (Pvt.) Limited	Terminated	27-Feb-12	Voluntary Termination	15.10.1
1685	Value Stock Securities (Pvt.) Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1686	First Dawood Investment Bank Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1687	Pak United Securities (Private) Limited	Restricted	14-Feb-12	Consequent to non-renewable of broker registration certificate	15.2.1(a)
1688	Shehzad Chamdia Securities (Private) Limited	Terminated	2/3/2012	Voluntary Termination	15.10.1
1689	Trustee of AH-Pak Brunei Islamic Income Fund	Terminated	2/3/2012	Voluntary Termination	15.10.1
1690	Switch Securities (Private) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1691	Harvest Smartrend Securities (Pvt.) Ltd.	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1692	Mr. Arif Majid Chaudhry	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1693	Value Stock Securities (Pvt.) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1694	First Dawood Investment Bank Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1695	United Capital Securities (Private) Limited	Suspended	1-Feb-12	Consequent to suspension of membership by the KSE.	15.2.1(b)
1696	United Capital Securities (Private) Limited	Restricted	31-Jan-12	Consequent of Switching off of trading terminals by the KSE.	15.2.1(a)
1697	First National Equities Limited	Notice of Imposition of Penalty	23-Jan-12	Non-Compliance of CDC Regulations	6.7.3 & 4.19
1698	AFIC Securities (Private) Limited	Censure	18-Jan-12	Non-Compliance of CDC Regulations	6.2.6
1699	Standard Securities (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
1700	Elite Stock Services (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
1701	United Capital Securities (Private) Limited	Revised Notice of Intention to suspend	3-Jan-12	Extending the period of Restriction.	9.1.1
1702	Zafar Moti Capital Securities (Private) Limited	Removal of Restriction	2-Jan-12	Pursuant to Court Order dated 30-12-2011.	Court Order