	National Clearing Company of Pakistan Limited Disciplinary actions taken against the TRE Certificate Holders						
S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action			
ı	Adeel & Nadeem Securities (Pvt.) Limited	20-Apr-23	NCCPL/CS/106/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM			
2	Msmaniar Financials (Pvt.) Limited	20-Apr-23	NCCPL/CRO/119/23	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX			
3	Arif Latif Securities (Pvt.) Limited - TRR	12-Apr-23	NCCPL/CRO/115/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
1	Trust Securities & Brokerage Limited - TRR	12-Apr-23	NCCPL/CRO/114/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint inspection Regulations			
	Friendly Securities (Pvt.) Limited - TRR	12-Apr-23	NCCPL/CRO/113/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
	Zahid Latif Khan Securities (Pvt.) Limited	12-Apr-23	NCCPL/CRO/112/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015			
,	Value Stock & Commodities (Pvt.) Limited - Showcause & TRR	12-Apr-23	NCCPL/CRO/111/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations			
				2015 and on account of Inspection conducted under Joint Inspection Regulations			
_	Time Securities (Pvt.) Limited	12-Apr-23	NCCPL/CRO/110/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015			
	N. U. A. Securities (Pvt.) Limited	12-Apr-23	NCCPL/CRO/109/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015			
0	Bawany Securities (Pvt.) Limited	12-Apr-23	NCCPL/CRO/108/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015			
1	National Bank of Pakistan	12-Apr-23	NCCPL/CS/100/23	Termination of Margin Trading Clearing Member account under Regulation 18.1.1(i) & 13.5 of NCCPL Regulations, 2015 on account of Self Termination			
,	Cedar Capital (Pvt.) Limited	11-Apr-23	NCCPL/CS/99/23	Termination of Broker Clearing Member account under Regulation 8.1.1(i) 8.1.3 of NCCF Regulations, 2015 on account of Self Termination			
_	Seven Star Securities (Pvt.) Limited	7-Apr-23	NCCPL/CRO/107/23	Termination to Broker Cleaning wenter account under negolation 15.1.1() & 15.3.5 in NCT-1 Regulations, 2015 on account of sen Termination. Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations.			
_			NCCPL/CRO/107/23 NCCPL/CRO/106/23				
<u></u>	Progressive Securities (Pvt.) Limited	7-Apr-23		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015			
_	Pearl Securities (Pvt.) Limited	7-Apr-23	NCCPL/CRO/105/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations			
	Next Capital Limited (Pvt.) Limited	7-Apr-23	NCCPL/CRO/104/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015			
	Enrichers Securities (Pvt.) Limited	7-Apr-23	NCCPL/CRO/103/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015			
3	Brains Securities (Pvt.) Limited	7-Apr-23	NCCPL/CRO/102/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015			
)	Axis Global Limited.(Pvt.) Limited	7-Apr-23	NCCPL/CRO/101/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations			
)	Equity Master Securities (Pvt.) Limited	3-Apr-23	NCCPL/CRO/100/23	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
	Value Stock & Commodities (Pvt.) Limited	29-Mar-23	NCCPL/CRO/99/23	Revocation of Restriction of access to services as Margin Financier pursuant to submission of audited LC			
	Horizon Securities Limited	24-Mar-23	NCCPL/CS/92/23	Termination of Margin Financier Clearing Member and Trading Financier Clearing Member accounts under Rule 12 of the Rules and Regulation 7B.2.4 & 7C.2.4 of NCCPL			
	Khawaja Securities (Pvt.) Limited	24-Mar-23	NCCPL/CS/91/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCN			
	Khawaja Securities (Pvt.) Limited	21-Mar-23	NCCPL/CRO/94/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulation			
	Galaxy Capital Securities (Pvt.) Limited	21-Mar-23	NCCPL/CRO/93/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulation			
,	MoneyLine Securities (Pvt.) Limited	21-Mar-23	NCCPL/CRO/96/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015			
_	K & I Global Capital (Pvt.) Limited	21-Mar-23	NCCPL/CRO/95/23	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015			
	Abbasi & Company (Pvt.) Limited	21-Mar-23	NCCPL/CRO/92/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015			
)	Pasha Securities (Pvt.) Limited	17-Mar-23	NCCPL/CS/82/23	reading issued under negation 13-1.2 or rect regulations, 2015 on story country and story country and rect regulations, 2015 on story country and story country and rect regulations, 2015 on story country and 2015 on			
-	Mannoo Capital (Pvt.) Limited	17-Mar-23	NCCPL/CS/82/23 NCCPL/CS/81/23	RESTITICION OF access to services under regulation 18.1.1(j), 18.1.1(g) & 18.3 or NCVF. Regulations, 2015 upon sei request for closure of account due to appointment of PCN Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCFL Regulations, 2015 upon sei request for closure of account due to appointment of PCN restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCFL Regulations, 2015 upon sei request for closure of account due to appointment of PCN restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCFL Regulations, 2015 upon sei request for closure of account due to appointment of PCN restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCFL Regulations, 2015 upon sei request for closure of account due to appointment of PCN restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCFL Regulations, 2015 upon sei request for closure of account due to appointment of PCN restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCFL Regulations, 2015 upon sei request for closure of account due to appointment of PCN restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCFL Regulations, 2015 upon sei request for closure of account due to appoint access to a			
_	A.S. Securities (Pvt.) Limited	17-Mar-23					
			NCCPL/CRO/91/23	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX			
	A.S. Securities (Pvt.) Limited	16-Mar-23	NCCPL/CRO/90/23	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
	Equity Master Securities (Pvt.) Limited	16-Mar-23	NCCPL/CRO/89/23	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
	Enrichers Securities (Pvt.) Limited	16-Mar-23	NCCPL/CRO/88/23	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
,	Msmaniar Financials (Pvt.) Limited	16-Mar-23	NCCPL/CRO/87/23	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
5	Shaffi Securities (Pvt.) Limited	16-Mar-23	NCCPL/CRO/86/23	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 7B.2.4 of NCCPL Regulations, 2015.			
7	Aba Ali Habib Securities (Pvt.) Limited -LSI	13-Mar-23	NCCPL/CRO/84/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
3	Shajar Capital Pakistan (Pvt.) Limited - LSI	13-Mar-23	NCCPL/CRO/79/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
9	Shajar Capital Pakistan (Pvt.) Limited - TRR	13-Mar-23	NCCPL/CRO/80/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
)	FDM Capital Securities (Pvt.) Limited - LSI	13-Mar-23	NCCPL/CRO/81/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
L	Abbasi & Company (Pvt.) Limited - TRR	13-Mar-23	NCCPL/CRO/82/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
2	Xpert Securities Limited	9-Mar-23	NCCPL/CRO/83/23	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
3	RAH Securities (Pvt.) Limited	17-Feb-23	NCCPL/CS/56/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
4	Mannoo Capital (Pvt.) Limited	17-Feb-23	NCCPL/CRO/78/23	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX			
5	Mannoo Capital (Pvt.) Limited	16-Feb-23	NCCPL/CRO/77/23	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
5	We Financials Services Limited	15-Feb-23	NCCPL/CS/49/23	Termination of Margin Financier Clearing Member account under Rule 12 of the Rules and Regulation 7B.2.4 of NCCPL Regulations, 2015			
	Asian Securities Limited	14-Feb-23	NCCPL/CS/52/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
_	Market 786 (Pvt.) Limited	8-Feb-23	NCCPL/CS/46/23	Termination of Broker Clearing Member, Margin Financing Clearing Member and Debt Market Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL			
				Regulations, 2015 on account of Self Termination			
,	DJM Securities Limited - TRR	3-Feb-23	NCCPL/CRO/15/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
)	Kosmopolitan Securities (Pvt.) Limited - TRR	3-Feb-23	NCCPL/CRO/13/23 NCCPL/CRO/14/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2020 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2020 on account of inspection conducted under Joint Inspection Regulations			
_	Avub Chaudhry Investments (Pvt.) Limited - LSI	3-Feb-23	NCCPL/CRO/14/23 NCCPL/CRO/13/23				
				Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations			
	JSK Securities Limited - LSI Source Char Securities (Dut) Limited	3-Feb-23	NCCPL/CRO/12/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Translation of Marsin Financiar Classification Manufactures and Programmer 14.1 of NCCPL Regulations (NCCPL Regulations) (NCCPL Regu			
_	Seven Star Securities (Pvt.) Limited	3-Feb-23	NCCPL/CS/44/23	Termination of Margin Financier Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
_	Q. Ain khanani Securities (Pvt.) Limited	2-Feb-23	NCCPL/CS/43/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
	RAH Securities (Pvt.) Limited	25-Jan-23	NCCPL/CS/39/23	Termination of Margin Financier, Margin Financee, Trading Financier, Trading Financee and Securities Lending and borrowing systems accounts under Regulation 18.1.1(1)			
_	Lable and Committee (Duck) Use hand	25 1 22	NICCOL ICC IOD IOO	18.3 of NCCPL Regulations, 2015 on account of Self Termination			
_	Lakhani Securities (Pvt.) Limited	25-Jan-23	NCCPL/CS/38/23	Termination of Broker Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
_	CMA Securities (Pvt.) Limited	18-Jan-23	NCCPL/CRO/09/23	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX			
_	Saao Capital (Pvt.) Limited	18-Jan-23	NCCPL/CRO/8/23	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX			
)	Saao Capital (Pvt.) Limited	17-Jan-23	NCCPL/CRO/07/23	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
)	Merchant Investments (Pvt.) Limited	13-Jan-23	NCCPL/CS/25/23	Termination of Broker Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
L	ACM Global (Pvt.) Limited	30-Dec-22	NCCPL/CRO/262/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
2	GPH Securities (Pvt.) Limited	16-Dec-22	NCCPL/CS/336/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCN			
3	High Land Securities (Pvt.) Limited	16-Dec-22	NCCPL/CS/335/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCI			
1	Galaxy Capital Securities (Pvt) limited	6-Dec-22	NCCPL/CRO/235/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX			
_	Khawaja Securities (Pvt.) Limited	1-Dec-22	NCCPL/CRO/234/22	Revocation of Restriction of the Clearing Member pursuant to submission of audited LC			
5	Galaxy Capital Securities (Pvt) limited	1-Dec-22	NCCPL/CRO/233/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
,	Khawaja Securities (Pvt.) Limited	29-Nov-22	NCCPL/CRO/232/22	Restriction of access to services under clause 6(6) of Securities Brokers (Licensing and Operations) Regulations, 2016			
	Millennium Brokerage (Pvt.) Limited - LSI	25-Nov-22	NCCPL/CRO/230/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
)	MRA Securities Limited - LSI	25-Nov-22	NCCPL/CRO/230/22 NCCPL/CRO/229/22	Warning issued under Regulation 14-10 recurrence and the control of the control o			
)	Royal Securities (Pvt.) Limited	15-Nov-22	NCCPL/CRO/229/22	Warming issued union Regulation 14-1. Or NCCF1 Regulation 8, 2013 Oil account of inspection for inspection in regulation regulation 8, 2013 Oil account of inspection of inspection in regulation 8, 2013 Oil account of inspection of inspection of inspection regulation 8, 2017 Pursuant to action taken by PMEX Suspension as Authorized Intermediary under Regulation 8, 2 & 8, 3 of Centralized Rown Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX Suspension as Authorized Intermediary under Regulation 8, 2 & 8, 3 of Centralized Rown Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX Suspension as Authorized Intermediary under Regulation 8.2 & 8, 3 of Centralized Rown Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX Suspension as Authorized Intermediary under Regulation 8.2 & 8, 3 of Centralized Rown Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX Suspension Rown Your Customer Organization Regulation 8.2 & 8, 3 of Centralized Rown Your Customer Organization Regulation 8.2 & 8, 3 of Centralized Rown Your Customer Organization Regulation 8.2 & 8, 3 of Centralized Rown Your Customer Organization Regulation Regulation 8.2 & 8, 3 of Centralized Rown Your Customer Organization Regulation Regulation Regulation 8.2 & 8, 3 of Centralized Rown Your Customer Organization Regulation			
		15-Nov-22 15-Nov-22	NCCPL/CRO/22//22 NCCPL/CRO/226/22				
_	Asad Mustafa Securities (Pvt.) Limited			Suspension as Authorized Intermediary under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX			
2	Azee Securities (Pvt.) Limited	15-Nov-22	NCCPL/CRO/225/22	Suspension as Authorized Intermediary under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX			
3	A.S. Securities (Pvt.) Limited	10-Nov-22	NCCPL/CRO/223/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX			
1	Value Stock & Commodities (Pvt.) Limited	31-Oct-22	NCCPL/CRO/219/22	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 7B.2.4 of NCCPL Regulations, 2015.			
5	ASDA Securities (Pvt.) Limited	18-Oct-22	NCCPL/CRO/215/22	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 7B.2.4 of NCCPL Regulations, 2015.			
5	Xpert Securities Limited	11-Oct-22	NCCPL/CRO/214/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX			
7	Aziz Fidahusein & Company (Pvt.) Limited	6-Oct-22	NCCPL/CS/289/22	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
в —	Value Stock & Commodities (Pvt.) Limited	3-Oct-22	NCCPL/CRO/212/22	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited LC			
	Cedar Capital (Pvt.) Limited	12-Sep-22	NCCPL/CS/272/22	Termination of Margin Financier Clearing Member and Trading Financier Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account in the NCCPL Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account in the NCCPL Regulation 2015 of NCCPL Regulations, 2015 on account in the NCCPL Regulation 2015 of NCCPL Regulations, 2015 on account in the NCCPL Regulation 2015 of NCCP			

National Clearing Company of Pakistan Limited Disciplinary actions taken against the TRE Certificate Holders						
S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action		
80	Ocean Securities Limited	31-Aug-22	NCCPL/CRO/209/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX		
81	ASDA Securities (Pvt.) Limited	17-Aug-22	NCCPL/CRO/208/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX		
82	Ocean Securities Limited	16-Aug-22	NCCPL/CRO/207/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
83	ASDA Securities (Pvt.) Limited	16-Aug-22	NCCPL/CRO/206/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
84	Value Stock & Commodities (Pvt.) Limited	16-Aug-22	NCCPL/CRO/205/22	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 7B.2.4 of NCCPL Regulations, 2015.		
85	Horizon Securities Limited	16-Aug-22	NCCPL/CRO/204/22	Restriction of access to services as Margin Financier under Rule 11(1a) and as Trading Financier under Rule 19(1a) of the Rules and Regulations & 7B.2.4 and 7C.2.4 of NCCPL		
86	AKD Securities Limited (Formerly: BIPL Securities Limited)	10-Aug-22	NCCPL/CRO/203/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
87	Zafar Moti Capital Securities (Pvt.) Limited	10-Aug-22	NCCPL/CRO/192/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
88	Investment Managers Securities (Pvt.) Limited	10-Aug-22	NCCPL/CRO/191/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
89	Bawany Securities (Pvt.) Limited	10-Aug-22	NCCPL/CRO/190/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
90	Alfalah CLSA Securities (Pvt.) Limited	10-Aug-22	NCCPL/CRO/189/22	Warning issued under Regulation 14.3 of NCCPL Regulations, 2015 on account of show-cause notice issued for default of money obligation		
91	Msmaniar Financials (Pvt.) Limited	10-Aug-22	NCCPL/CRO/182/22	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations,		
92	Akhai Securities (Pvt.) Limited	10-Aug-22	NCCPL/CRO/181/22	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations,		
93	Friendly Securities (Pvt.) Limited	10-Aug-22	NCCPL/CRO/180/22	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations,		
94	RAH Securities (Pvt.) Limited	10-Aug-22	NCCPL/CRO/179/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
95	SAAO Capital (Pvt.) Limited	10-Aug-22	NCCPL/CRO/178/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
96	S.D. Mirza Securities (Pvt.) Limited	5-Aug-22	NCCPL/CS/242/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM		
97	Al Habib Asset Management Limited - Islamic Income Fund & Asset Allocation Fund	4-Aug-22	NCCPL/CS/241/22	Termination of Non Broker and Trading Financier Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination		
98	Fairtrade Capital Securities (Pvt.) Limited	22-Jul-22	NCCPL/CS/232/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM		
99	Khawaja Securities (Pvt.) Limited	22-Jul-22	NCCPL/CRO/176/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX		
100	Khanani Securities (Pvt.) Limited	19-Jul-22	NCCPL/CRO/174/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX		
101	Fairtrade Capital Securities (Pvt.) Limited	19-Jul-22	NCCPL/CRO/172/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX		
102	Horizon Securities Limited	19-Jul-22	NCCPL/CRO/171/22	Revocation of Restriction of access to services as Margin Financier and Trading Financier pursuant to submission of unaudited LC		
	ASDA Securities (Pvt.) Limited	19-Jul-22	NCCPL/CRO/170/22	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited LC		
104 105	Khanani Securities (Pvt.) Limited	18-Jul-22 18-Jul-22	NCCPL/CRO/169/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX activities of pages to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX activities of pages to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX activities of pages to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX activities of pages to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX activities of pages to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX activities of pages to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX activities of pages to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX activities of pages to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX activities of the page to the page		
	Fairtrade Capital Securities (Pvt.) Limited		NCCPL/CRO/168/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
106 107	Khawaja Securities (Pvt.) Limited Xpert Securities Limited	18-Jul-22 18-Jul-22	NCCPL/CRO/167/22 NCCPL/CRO/166/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
107	MRA Securities Limited MRA Securities Limited	18-Jul-22 13-Jul-22	NCCPL/CRO/166/22 NCCPL/CRO/163/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
108	Continental Capital Management (Pvt.) Ltd	13-Jul-22 13-Jul-22	NCCPL/CRO/163/22 NCCPL/CRO/160/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015		
110	Khawaja Securities (Pvt.) Ltd	13-Jul-22	NCCPL/CRO/158/22	warring issued under Regulation 14.1 of NCCFL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCFL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCFL Regulations, 2015		
111	First Equity Modaraba	13-Jul-22	NCCPL/CRO/157/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.1 of NCCPL Regulations, 2015		
112	Dosslani's Securities (Pvt.) Ltd	13-Jul-22	NCCPL/CRO/155/22	waiting issued under Regulation 14.1 or NCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.3 of NCPL Regulations, 2015 Warning issued under Regulation 14.3 of NCPL Regulations, 2015		
113	Zillion Capital Securities (Pvt.) Ltd	13-Jul-22	NCCPL/CRO/154/22	Warring issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.1 of NCCPL Regulations, 2015		
114		13-Jul-22	NCCPL/CRO/153/22	Warning issued under Regulation 14-10 rNCCF regulations, 2015 on account of show cause notice issued under Regulation 14-5 of NCCF regulations, 2015 on account of show cause notice issued under Regulation 14-5 of NCCF Regulations, 2015		
115	128 Securities (Pvt.) Limited	1-Jul-22	NCCPL/CS/214/22	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCP. Regulations, 2015 upon self request for closure of account due to appointment of PCM		
116	First Equity Modaraba - Audit of CM	24-Jun-22	NCCPL/CRO/152/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations		
117	Trust Securities & Brokerage Limited - Audit of CM	24-Jun-22	NCCPL/CRO/151/22	Warning issued under Regulation 14.1 of NCCPI. Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPI. Regulations		
118	Dawood Equities Limited - Audit of CM	24-Jun-22	NCCPL/CRO/148/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations		
119	Cedar Capital (Private) Limited - Audit of CM	24-Jun-22	NCCPL/CRO/147/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations		
120	Khawaja Securities (Private) Limited - Audit of CM	24-Jun-22	NCCPL/CRO/146/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations		
121	Ismail Igbal Securities (Private) Limited - Audit of CM	24-Jun-22	NCCPL/CRO/145/22	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations		
122	Gul Dhami Securities (Private) Limited - Audit of CM	24-Jun-22	NCCPL/CRO/144/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations		
123	Baba Equities (Private) Limited - Audit of CM	24-Jun-22	NCCPL/CRO/143/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations		
124	BMA Chundrigar Road Saving Fund	23-Jun-22	NCCPL/CS/204/22	Termination of Non Broker, Debt Market and MTS Financier Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self		
125	Akhai Securities (Private) Limited	21-Jun-22	NCCPL/CRO/150/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX		
126	Akhai Securities (Private) Limited	17-Jun-22	NCCPL/CRO/149/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
127	Azee Securities (Private) Limited	6-Jun-22	NCCPL/CRO/129/22	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation		
128	Azee Securities (Private) Limited	6-Jun-22	NCCPL/CRO/128/22	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation		
129	AWT Income Fund/AWT Asset Allocation Fund	6-Jun-22	NCCPL/CS/192/22	Termination of Non Broker and Debt Market Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination		
130	Azee Securities (Pvt.) Limited	30-May-22	NCCPL/CRO/126/22	Revocation of Suspension of the Clearing Member pursuant to action taken by PSX		
131			NCCPL/CRO/121/22	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
132	HMC Stocks (Pvt.) Limited	23-May-22	NCCPL/CRO/120/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX		
133	B & B Securities (Pvt.) Limited	19-May-22	NCCPL/CRO/117/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX		
134		17-May-22	NCCPL/CRO/116/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
135	HMC Stocks (Pvt.) Limited	17-May-22	NCCPL/CRO/115/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
136	Horizon Securities Limited	17-May-22	NCCPL/CRO/114/22	Restriction of access to services as Margin Financier under Rule 11(1a) and as Trading Financier under Rule 19(1a) of the Rules and Regulations & 7B.2.4 and 7C.2.4 of NCCPL		
137	ASDA Securities (Pvt.) Limited	17-May-22	NCCPL/CRO/113/22	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.		
138	Askari Asset Allocation Fund	16-May-22	NCCPL/CS/138/22	Termination of Non Broker, Debt Market and MTS Financier Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self		
39	Dawood Equities Limited		NCCPL/CRO/111/22	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation		
140	Dawood Equities Limited	11-May-22	NCCPL/CRO/110/22	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation		
141		29-Apr-22	NCCPL/CS/129/22	Termination of Non Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination		
142 143	Fikree's (Pvt.) Limited	20-Apr-22	NCCPL/CRO/99/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX		
	AKD Securities (Pvt.) Limited	19-Apr-22	NCCPL/CRO/80/22	Admonished under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
144	Akhai Securities (Pvt.) Limited	19-Apr-22	NCCPL/CRO/79/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
45	Apex Capital Securities (Pvt.) Limited	19-Apr-22	NCCPL/CRO/78/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
46		18-Apr-22	NCCPL/CRO/81/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
147		12-Apr-22	NCCPL/CS/121/22	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.		
148	Shajar Capital Pakistan (Pvt.) Limited	12-Apr-22	NCCPL/CS/120/22	Restriction of access to services as Margin Financier under Rule 11(1a) and as Trading Financier under Rule 19(1a) of the Rules and Regulations & 7B.2.4 and 7C.2.4 of NCCPL		
149		29-Mar-22	NCCPL/CS/113/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM		
150		28-Mar-22	NCCPL/CS/110/22	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination		
151	Strongman Securities (Pvt.) Limited	22-Mar-22	NCCPL/CRO/76/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX		
152		21-Mar-22	NCCPL/CRO/68/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
53	A.H.M Securities (Pvt.) Limited	21-Mar-22	NCCPL/CRO/69/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
54		21-Mar-22	NCCPL/CRO/70/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
155	Equity Master Securities (Pvt.) Limited	21-Mar-22	NCCPL/CRO/71/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
156		21-Mar-22	NCCPL/CRO/73/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
157	Investment Managers Securities (Pvt.) Limited		NCCPL/CRO/74/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015		
	Strongman Securities (Pvt.) Limited	21-Mar-22	NCCPL/CRO/75/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
	a take a fine to the country to the					
159		18-Mar-22	NCCPL/CS/105/22	Restriction of access to services under Regulation 18.1.(i), 18.1.(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM		
158 159 160	Asad Mustafa Securities (Pvt.) Limited Fair Edge Securities (Pvt.) Limited Fairway Securities (Pvt.) Limited	18-Mar-22	NCCPL/CS/105/22 NCCPL/CS/104/22 NCCPL/CS/102/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCLPL Regulations, 2015 upon self request for closure of account due to appointment of PLM Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request colours of account due to appointment of PCM Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM		

				Clearing Company of Pakistan Limited ons taken against the TRE Certificate Holders
S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
	Habib Ullah Sheikh (Pvt.) Limited Muhammad Amer Riaz Securities (Pvt.) Limited	18-Mar-22 18-Mar-22	NCCPL/CS/100/22 NCCPL/CS/103/22	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
	Networth Securities Limited	18-Mar-22	NCCPL/CS/103/22 NCCPL/CS/101/22	Restriction of access to services under Regulation 18.1.1(j, 18.1.1(g) & 18.3 of NCCF Regulations, 2015 upon self-request for closure of account due to appointment of PCM Restriction of access to services under Regulation 18.1.1(j, 18.1.1(g) & 18.3 of NCCF Regulations, 2015 upon self-request for closure of account due to appointment of PCM
	Friendly Securities (Pvt.) Limited	17-Mar-22	NCCPL/CRO/67/22	Restriction of access to services as Margin Financier under Rule 11(a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations, 2015.
	ABM Securities (Pvt.) Limited	11-Mar-22	NCCPL/CS/87/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
167	Gulrez Securities (Pvt.) Limited	11-Mar-22	NCCPL/CS/84/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
	K.H.S Securities (Pvt.) Limited	11-Mar-22	NCCPL/CS/83/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
	Patel Securities (Pvt.) Limited	11-Mar-22	NCCPL/CS/86/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
	Tariq Vohra Securities (Pvt.) Limited A.I. Securities (Pvt.) Limited	11-Mar-22 4-Mar-22	NCCPL/CS/85/22 NCCPL/CS/61/22	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
	MSD Capital Equities (Pvt.) Limited	4-Mar-22	NCCPL/CS/60/22	Restriction of access to services under Regulation 18.1.1(j, 18.1.1(g) & 18.3 of NCCF. Regulations, 2015 upon self-request for closure of account due to appointment of PCM Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCF. Regulations, 2015 upon self-request for closure of account due to appointment of PCM
	Royal Securities (Pvt.) Limited	3-Mar-22	NCCPL/CRO/66/22	Restriction of access to services under Regulation 18.1.1 (c), 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
174	Cedar Capital (Pvt.) Limited - TRR	23-Feb-22	NCCPL/CRO/65/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Continental Capital Management (Pvt.) Limited - TRR	23-Feb-22	NCCPL/CRO/64/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Patel Securities (Pvt.) Limited - TRR	23-Feb-22	NCCPL/CRO/63/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Abbasi Securities (Pvt.) Limited Pearl Securities Limited - TRR	14-Jan-22 7-Jan-22	NCCPL/CS/10/22 NCCPL/CRO/03/22	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
	First National Equities Limited - TRR	7-Jan-22 7-Jan-22	NCCPL/CRO/03/22 NCCPL/CRO/02/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	JSK Securities Limited - JIT	7-Jan-22	NCCPL/CRO/01/22	Warning issued under regulation 14-1 or NeCre Tregulation 20-20 on account or impection conducted under some measurements. Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	Pervez Ahmed Capital (Pvt.) Limited	30-Dec-21	NCCPL/CS/387/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
182	Khawaja Securities (Pvt.) Limited	29-Dec-21	NCCPL/CRO/425/21	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
	M. Ashfaq Hussain Securities (Pvt.) Limited - Audit of CM	21-Dec-21	NCCPL/CRO/401/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	AKY Securities (Pvt.) Limited - Audit of CM	21-Dec-21	NCCPL/CRO/398/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
	Khawaja Securities (Pvt.) Limited Shaffi Securities (Pvt.) Limited	17-Dec-21 17-Dec-21	NCCPL/CRO/419/21 NCCPL/CRO/418/21	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited LC
	Dawood Equities Limited	17-Dec-21 17-Dec-21	NCCPL/CRO/418/21 NCCPL/CRO/417/21	Warning issued under Regulation 14.3 of NCCPL Regulations, 2015 on account of show-cause notice issued for default of money obligation
	High Land Securities (Pvt.) Limited	17-Dec-21 17-Dec-21	NCCPL/CRO/417/21 NCCPL/CRO/416/21	Warning issued under Regulation 14.3 of NCCPL Regulations, 2015 on account of show-cause notice issued for default of money obligation Warning issued under Regulation 14.3 of NCCPL Regulations, 2015 on account of show-cause notice issued for default of money obligation
	Shajar Capital Pakistan (Pvt.) Limited	15-Dec-21	NCCPL/CRO/415/21	Restriction of access to services as Margin Financier under Rule 11(1a) and as Trading Financier under Rule 19(1a) of the Rules and Regulations & 7B.2.4 and 7C.2.4 of NCCPL
	High Land Securities (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/397/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	Rahat Securities Limited - Audit of CM	26-Nov-21	NCCPL/CRO/396/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	Y.H. Securities (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/395/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	Shajarpak Securities (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/394/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	Shaffi Securities (Pvt.) Limited - Audit of CM New Peak Securities (Pvt.) Limited - Audit of CM	26-Nov-21 26-Nov-21	NCCPL/CRO/393/21 NCCPL/CRO/392/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	MND Investments (Pvt.) Limited - Audit of CM		NCCPL/CRO/391/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	Investment Managers Securities (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/390/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
198	Friendly Securities (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/389/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	Brains Securities (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/388/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	AHM Securities (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/387/21 NCCPL/CRO/399/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	JSK Securities Limited Friendly Securities (Pvt.) Limited	25-Nov-21 16-Nov-21	NCCPL/CRO/399/21 NCCPL/CRO/382/21	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB
	Shaffi Securities (Pvt.) Limited	16-Nov-21	NCCPL/CRO/381/21	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations, 2015.
	JSK Securities Limited	16-Nov-21	NCCPL/CRO/378/21	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
205	MSD Capital Equities (Pvt.) Limited	11-Nov-21	NCCPL/CRO/377/21	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
	MSD Capital Equities (Pvt.) Limited	9-Nov-21	NCCPL/CRO/376/21	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	JS Value Fund	22-Oct-21	NCCPL/CS/302/21	Termination of Non Broker Clearing Member account and Debt Market Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of
	Moneyline Securities (Pvt.) Limited Friendly Securities (Pvt.) Limited	18-Oct-21 18-Oct-21	NCCPL/CRO/365/21 NCCPL/CRO/364/21	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015. Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
	We Financial Services Limited	18-Oct-21	NCCPL/CRO/363/21	RESTITUTION of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2.4 of NCCF1 Regulations, 2015. Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2.4 of NCCF1 Regulations, 2015.
	Azee Securities (Pvt.) Limited	13-Oct-21	NCCPL/CRO/358/21	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
	Azee Securities (Pvt.) Limited	7-Oct-21	NCCPL/CRO/353/21	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
		17-Sep-21	NCCPL/CRO/349/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Pasha Securities (Pvt.) Limited - JIT	17-Sep-21	NCCPL/CRO/350/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	WE Financial Services Limited Falls Conital Private Limited	17-Sep-21	NCCPL/CRO/352/21	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB
	Falki Capital Private Limited Ahsam Securities (Pvt) Limited	17-Sep-21 10-Sep-21	NCCPL/CS/259/21 NCCPL/CS/253/21	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
	HP Securities (Pvt) Limited	10-Sep-21	NCCPL/CS/252/21	Restriction of access to services under Regulation 18.1.4(j), 81.1.4(g) & 18.3 of NCC1 Regulations, 2015 upon self-request for closure of account due to appointment of PCM
	Royal Securities (Pvt.) Limited	10-Sep-21	NCCPL/CRO/347/21	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
	Royal Securities (Pvt.) Limited	8-Sep-21	NCCPL/CRO/345/21	Revocation of Suspension of the Clearing Member pursuant to action taken by PSX
	MAC Securities (Pvt.) Limited	27-Aug-21	NCCPL/CS/221/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
	SM Securities (Pvt.) Limited Msmaniar Financials (Pvt.) Limited	27-Aug-21 13-Aug-21	NCCPL/CS/224/21 NCCPL/CRO/343/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	DJM Securities (Pvt.) Limited	13-Aug-21 13-Aug-21	NCCPL/CRO/343/21 NCCPL/CRO/342/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	Salim Sozer Securities (Pvt.) Limited	13-Aug-21	NCCPL/CRO/341/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
226	Time Securities (Pvt) Limited	13-Aug-21	NCCPL/CRO/340/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
227	General Investments & Securities (Pvt) Limited	13-Aug-21	NCCPL/CRO/339/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	New Peak Securities (Pvt.) Limited - JIT	13-Aug-21	NCCPL/CRO/338/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Azee Securities (Pvt.) Limited - JIT Inveslink Capital (Pvt.) Limited	13-Aug-21 9-Jul-21	NCCPL/CRO/337/21 NCCPL/CRO/250/21	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	Fikree's (Pvt.) Limited	9-Jul-21 9-Jul-21	NCCPL/CRO/250/21 NCCPL/CRO/249/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	Surmawala Securities (Pvt.) Limited	9-Jul-21	NCCPL/CRO/252/21	Warning issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of show case notice issued under Regulation 14.5 of MCCPL Regulations, 2015 Warning issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of show case notice issued under Regulation 14.5 of MCCPL Regulations, 2015
	Patel Securities (Pvt.) Limited	9-Jul-21	NCCPL/CRO/253/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
234	M. Ashfaq Hussain Securities (Pvt.) Ltd	9-Jul-21	NCCPL/CRO/251/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
235	RAH Securities (Pvt.) Limited - Audit of CM	9-Jul-21	NCCPL/CRO/244/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	Ayub Chaudhry Investments (Pvt.) Limited - Audit of CM	9-Jul-21	NCCPL/CRO/234/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	Backers & Partners (Private) Limited - Audit of CM	9-Jul-21	NCCPL/CRO/235/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations Vivental investigation of the Chapter of the Ch
	AM Chaudhry Securities (Pvt.) Limited - JIT Vector Securities (Pvt.) Limited - TRR	9-Jul-21 9-Jul-21	NCCPL/CRO/227/21 NCCPL/CRO/237/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	128 Securities (Pvt.) Limited - TRR	9-Jul-21	NCCPL/CRO/236/21	Warning issued under Regulation 14.1 of NCCP. Regulations, 2015 on account of inspection conducted under Joint inspection Regulations and penalty imposed under Regulation 14.1 of NCCP. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	128 Securities (Pvt.) Limited - Niki	30-Jun-21	NCCPL/CRO/243/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations
	Arif Latif Securities (Pvt.) Limited - Audit of CM	25-Jun-21	NCCPL/CRO/241/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations
		25-Jun-21	NCCPL/CRO/239/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations
243	Salim Sozer Securities (Pvt.) Limited - Audit of CM Amer Securities (Pvt.) Limited - Audit of CM		NCCPL/CRO/240/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations

Broker Name ocks (Pvt.) Limited - Audit of CM curities Limited - Audit of CM bal Limited - Audit of CM bal Limited - Audit of CM bal Limited - Audit of CM bahanan Securities (Pvt.) Limited Commodities (Pvt.) Limited Ananan Securities (Pvt.) Limited Securities (Pvt.) Limited - TRR de Equities Limited - TRR audities (Pvt.) Limited - TRR writies (Pvt.) Limited - TRR urities (Pvt.) Limited - TRR urities (Pvt.) Limited - TRR curities (Pvt.) Limited - TRR de Securities (Pvt.) Limited curities (Pvt.) Limited pital Management Limited - LSi Securities (Pvt.) Limited pital Management Limited - LSi Securities (Pvt.) Limited bal Capital (Pvt.) Limited bal Capital (Pvt.) Limited bald Capital (Pvt.) Limited that Securities (Pvt.) Limited bald Capital (Pvt.) Limited chart Securities (Pvt.) Limited chart Securities (Pvt.) Limited	25-Jun-21 25-Jun-21 25-Jun-21 18-Jun-21 18-Jun-21 18-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 13-Jun-21	Order/ Notice Reference NCCPU/CRO/245/21 NCCPU/CRO/245/21 NCCPU/CRO/245/21 NCCPU/CRO/246/21 NCCPU/CRO/246/21 NCCPU/CRO/232/21 NCCPU/CRO/232/21 NCCPU/CRO/233/21 NCCPU/CRO/236/21 NCCPU/CRO/256/21 NCCPU/CRO/225/21 NCCPU/CRO/224/21 NCCPU/CRO/244/21	Description of Disciplinary action Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations Revocation of Restriction of Access to Services Suspension under Regulation 14.2 of RCCPL Regulations (Section 14.1 of NCCPL Regulations) Restriction of access to services under Regulation 18.1 1.1(b) & 18.1 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under
curities Limited - Audit of CM bahani Securities (Px1, Limited commodities (Px7, Limited commodities (Px7, Limited commodities (Px7, Limited bacurities (Px1, Limited - TRR de Equities Limited - TRR de Equities Limited - TRR de	25-Jun-21 25-Jun-21 18-Jun-21 18-Jun-21 18-Jun-21 11-Jun	MCCPU/CR0/246/21 NCCPU/CR0/242/21 NCCPU/CR0/232/21 NCCPU/CR0/232/21 NCCPU/CR0/232/21 NCCPU/CR0/233/21 NCCPU/CR0/233/21 NCCPU/CR0/236/21 NCCPU/CR0/226/21 NCCPU/CR0/226/21 NCCPU/CR0/222/21 NCCPU/CR0/222/21 NCCPU/CR0/221/21 NCCPU/CR0/221/21 NCCPU/CR0/21/21	Warning Issued under Regulation 1.4.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations Warning Issued under Regulation 1.4.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations Revocation of Restriction of Access to Services Suspension under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX Restriction of access to services under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination as Margin Trading Finance under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
curities Limited - Audit of CM bahani Securities (Px1, Limited commodities (Px7, Limited commodities (Px7, Limited commodities (Px7, Limited bacurities (Px1, Limited - TRR de Equities Limited - TRR de Equities Limited - TRR de	25-Jun-21 18-Jun-21 18-Jun-21 18-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 28-May-21 28-May-21 25-May-21 38-May-21 3-May-21 3-May-21 3-May-21	NCCPUCRG/042/21 NCCPUCRG/032/21	Warning Issued under Regulation 1.4.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations Warning Issued under Regulation 1.4.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations Revocation of Restriction of Access to Services Suspension under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX Restriction of access to services under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination as Margin Trading Finance under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
hanani Securities (Pv.) Limited (commodities (Pv.) Limited hanani Securities (Pv.) Limited hanani Securities (Pv.) Limited Securities (Pv.) Limited - TRR ed Equities Limited - TRR ball (Pv.) Limited - TRR urities (Pv.) Limited - TRR urities (Pv.) Limited - TRR urities (Pv.) Limited - TRR re Securities (Pv.) Limited - TRR urities (Pv.) Limited - TRR securities (Pv.) Limited - JIT di Management Limited - JIT di Management Limited - JIT urities (Pv.) Limited curities (Pv.) Limited curities (Pv.) Limited pital Management Limited - ISI Securities (Pv.) Limited pital Management Limited - ISI Securities (Pv.) Limited pital Management Limited - ISI Securities (Pv.) Limited ball Capital (Pv.) Limited ball Capital (Pv.) Limited ball Capital (Pv.) Limited dahar Securities (Pv.) Limited day Limited - TRR urities (Pv.) Limited - TRR urities (Pv.) Limited - TRR urities (Pv.) Limited	18-Jun-21 16-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 28-May-21 28-May-21 25-May-21 25-May-21 3-May-21 3-May-21 3-May-21 3-May-21 3-May-21 3-May-21	NCEPUCRO/322/21 NCEPUCRO/323/21 NCEPUCRO/323/21 NCEPUCRO/323/21 NCEPUCRO/325/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 338 of NCCPL Regulations Revocation of Restriction of Access to Services Suspension under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX Restriction of Access to services under Regulation 13.1.10) & 13.3 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination and Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination as Margin Trading Finances under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Revocation of Suspension of the Clearing Members pursuant to settlement of more yebilations
hanani Securities (Pv.) Limited (commodities (Pv.) Limited hanani Securities (Pv.) Limited hanani Securities (Pv.) Limited Securities (Pv.) Limited - TRR ed Equities Limited - TRR ball (Pv.) Limited - TRR urities (Pv.) Limited - TRR urities (Pv.) Limited - TRR urities (Pv.) Limited - TRR re Securities (Pv.) Limited - TRR urities (Pv.) Limited - TRR securities (Pv.) Limited - JIT di Management Limited - JIT di Management Limited - JIT urities (Pv.) Limited curities (Pv.) Limited curities (Pv.) Limited pital Management Limited - ISI Securities (Pv.) Limited pital Management Limited - ISI Securities (Pv.) Limited pital Management Limited - ISI Securities (Pv.) Limited ball Capital (Pv.) Limited ball Capital (Pv.) Limited ball Capital (Pv.) Limited dahar Securities (Pv.) Limited day Limited - TRR urities (Pv.) Limited - TRR urities (Pv.) Limited - TRR urities (Pv.) Limited	18-Jun-21 16-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 28-May-21 28-May-21 25-May-21 25-May-21 3-May-21 3-May-21 3-May-21 3-May-21 3-May-21 3-May-21	NCEPUCRO/322/21 NCEPUCRO/323/21 NCEPUCRO/323/21 NCEPUCRO/323/21 NCEPUCRO/325/21	Revocation of Restriction of Access to Services Suspension under Regulation 12 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination as Margin Trading Financee under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Revocation of Suspension of the Clearing Members pursuant to settlement of money objections
Commodities (Pvt.) Limited hanani Securities (Pvt.) Limited Securities (Pvt.) Limited - TRR de Equities Limited - TRR aboil (Pvt.) Limited - TRR aboil (Pvt.) Limited - TRR arrities (Pvt.) Limited - TRR urities (Pvt.) Limited - TRR urities (Pvt.) Limited - TRR as Securities (Pvt.) Limited - IIT and Management Limited - IVAFA Islamic Principle Protected Fund-III a Securities (Pvt.) Limited currities (Pvt.) Limited currities (Pvt.) Limited currities (Pvt.) Limited further (Pvt.) Limited currities (Pvt.) Limited securities (Pvt.) Limited beauties (Pvt.) Limited currities (Pvt.) Limited costs (Pvt.) Limited botal Capital (Pvt.) Limited botal Capital (Pvt.) Limited botal Capital (Pvt.) Limited botal Capital (Pvt.) Limited costs (Pvt.) Limited botal Capital (Pvt.) Limited botal Capital (Pvt.) Limited costs (Pvt.) Limited costs (Pvt.) Limited costs (Pvt.) Limited botal Capital (Pvt.) Limited costs (Pvt.) Limite	18-Jun-21 16-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 128-May-21 25-May-21 25-May-21 4-May-21 3-May-21 3-May-21 3-May-21 3-May-21 3-May-21	NCEPUCRO/231/21 NCEPUCRO/232/21 NCEPUCRO/226/21 NCEPUCRO/226/21 NCEPUCRO/226/21 NCEPUCRO/226/21 NCEPUCRO/224/21 NCEPUCRO/224/21 NCEPUCRO/224/21 NCEPUCRO/224/21 NCEPUCRO/224/21 NCEPUCRO/224/21 NCEPUCRO/224/21 NCEPUCRO/214/21 NCEPUCRO/214/21 NCEPUCRO/214/21 NCEPUCRO/214/21 NCEPUCRO/214/21 NCEPUCRO/214/21 NCEPUCRO/214/21 NCEPUCRO/214/21 NCEPUCRO/214/21	Suspension under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX Restriction of access to services under Regulation 13.1.10/b & 13.3 of NCCPL Regulations, 2015 Warring issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warring issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warring issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warring issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warring issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warring issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination and Regulation 14.1 of NCCPL Regulations, 2015 on account of Self Termination Termination as Margin Trading Finances under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Securities [Pvt.] Limited - TRR de Louties Limited - TRR pbal (Pvt.) Limited - TRR curities [Pvt.] Limited - TRR mitties [Pvt.] Limited - TRR mitties [Pvt.] Limited - TRR me Securities [Pvt.] Limited - JIT and Management Limited - NAFA Islamic Principle Protected Fund-II s Securities [Pvt.] Limited curities [Pvt.] Limited curities [Pvt.] Limited curities [Pvt.] Limited curities [Pvt.] Limited pital Management Limited - LSI Securities [Pvt.] Limited - TRR posks [Pvt.] Limited - TRR posks [Pvt.] Limited	11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 28-May-21 28-May-21 25-May-21 25-May-21 18-May-21 3-May-21 3-May-21 3-May-21 3-May-21	NCCPL/CRO/226/21 NCCPL/CRO/225/21 NCCPL/CRO/224/21 NCCPL/CRO/223/21 NCCPL/CRO/223/21 NCCPL/CRO/221/21 NCCPL/CRO/221/21 NCCPL/CS/141/21 NCCPL/CS/141/21 NCCPL/CRO/215/21 NCCPL/CRO/215/21 NCCPL/CRO/215/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21	Restriction of access to services under Regulation 18.1.1(b) 8.18.3 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspections Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination as Margin Trading Financee under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Revocation of Suspension of the Clearing Members pursuant to settlement of money obligation
Securities [Pvt.] Limited - TRR de Louties Limited - TRR pbal (Pvt.) Limited - TRR curities [Pvt.] Limited - TRR mitties [Pvt.] Limited - TRR mitties [Pvt.] Limited - TRR me Securities [Pvt.] Limited - JIT and Management Limited - NAFA Islamic Principle Protected Fund-II s Securities [Pvt.] Limited curities [Pvt.] Limited curities [Pvt.] Limited curities [Pvt.] Limited curities [Pvt.] Limited pital Management Limited - LSI Securities [Pvt.] Limited - TRR posks [Pvt.] Limited - TRR posks [Pvt.] Limited	11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 28-May-21 28-May-21 25-May-21 25-May-21 18-May-21 3-May-21 3-May-21 3-May-21 3-May-21	NCCPL/CRO/226/21 NCCPL/CRO/225/21 NCCPL/CRO/224/21 NCCPL/CRO/223/21 NCCPL/CRO/223/21 NCCPL/CRO/221/21 NCCPL/CRO/221/21 NCCPL/CS/141/21 NCCPL/CS/141/21 NCCPL/CRO/215/21 NCCPL/CRO/215/21 NCCPL/CRO/215/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination and Regulation 14.1 of NCCPL Regulations, 2015 on account of Isself Termination Regulation 14.1 of NCCPL Regulations, 2015 on account of Self Termination Regulation 14.1 of NCCPL Regulations, 2015 on account of Isself Termination as Wargin Trading Finance under Regulation 14.1 of NCCPL Regulations, 2015 on account of Self Termination
ed Equities Limited - TRR badi (PVL) Limited - TRR curities (PVL) Limited - TRR curities (PVL) Limited - TRR resecurities (PVL) Limited - TRR resecurities (PVL) Limited - JIT di Management Limited - NAFA Islamic Principle Protected Fund-III 5 Securities (PVL) Limited curities (PVL) Limited curities (PVL) Limited securities (PVL) Limited pital Management Limited - ISR Securities (PVL) Limited pital Management Limited - ISR Securities (PVL) Limited bald Capital (PVL) Limited - TRR curities (PVL) Limited - TRR	11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 128-May-21 28-May-21 25-May-21 18-May-21 3-May-21 3-May-21 3-May-21 3-May-21	NCCPL/CRO/225/21 NCCPL/CRO/224/21 NCCPL/CRO/224/21 NCCPL/CRO/223/21 NCCPL/CRO/222/21 NCCPL/CRO/221/21 NCCPL/CS/142/21 NCCPL/CS/144/21 NCCPL/CS/144/21 NCCPL/CRO/215/21 NCCPL/CRO/215/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination as Margin Trading Financee under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
bale (Pt.) Limited - TRR urities (Pt.) Limited - TRR urities (Pt.) Limited - TRR urities (Pt.) Limited - TRR in Securities (Pt.) Limited - JIT d Management Limited - NAFA Islamic Principle Protected Fund-II securities (Pt.) Limited curities (Pt.) Limited curities (Pt.) Limited curities (Pt.) Limited pital Management Limited - LSI Securities (Pt.) Limited - TRR coks (Pt.) Limited - TRR coks (Pt.) Limited phan Jamin (Pt.) Limited phan Lapital (Pt.) Limited char Securities (Pt.) Limited char Securities (Pt.) Limited char Securities (Pt.) Limited	11-Jun-21 11-Jun-21 11-Jun-21 11-Jun-21 128-May-21 28-May-21 25-May-21 18-May-21 4-May-21 3-May-21 3-May-21 3-May-21	NCCPL/CRO/224/21 NCCPL/CRO/223/21 NCCPL/CRO/222/21 NCCPL/CRO/221/21 NCCPL/CS/144/21 NCCPL/CS/144/21 NCCPL/CS/144/21 NCCPL/CRO/215/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/215/21 NCCPL/CRO/215/21	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination as Margin Trading Financee under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Revocation of Suspension of the Clearing Members pursuant to settlement of money obligation
curlites (Pv.). Limited - TRR urities (Pv.). Limited - TRR ine Securities (Pv.). Limited - IRT id Management Limited - NAFA Islamic Principle Protected Fund-II Securities (Pv.). Limited currities (Pv.). Limited currities (Pv.). Limited securities (Pv.). Limited pital Management Limited - US Securities (Pv.). Limited pital Management Limited - US Securities (Pv.). Limited pital Management Limited - US Securities (Pv.). Limited - TRR cocks (Pv.). Limited bald Capital (Pv.). Limited Abart Securities (Pv.). Limited - TRR urities (Pv.). Limited - Use - United - Use -	11-Jun-21 11-Jun-21 11-Jun-21 128-May-21 28-May-21 25-May-21 25-May-21 18-May-21 4-May-21 3-May-21 3-May-21	NCCPL/CRO/223/21 NCCPL/CRO/222/21 NCCPL/CRO/221/21 NCCPL/CS/142/21 NCCPL/CS/141/21 NCCPL/CS/141/21 NCCPL/CRO/215/21 NCCPL/CRO/214/21 NCCPL/CRO/212/21 NCCPL/CRO/212/21 NCCPL/CRO/212/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Itermination and Aragin Trading Financee under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
urities (Pv.) Limited - TRR ne Securities (Pv.) Limited - JIT I di Management Limited - NAFA Islamic Principle Protected Fund-II I Securities (Pv.) Limited Urities (Pv.) Limited Urities (Pv.) Limited Urities (Pv.) Limited Urities (Pv.) Limited Securities Limited I pital Securities (Pv.) Limited I pital Management Limited - LSI Securities (Pv.) Limited - TRR Urities (Pv.) Limited - TRR Urities (Pv.) Limited Urities (Pv.) Limited Urities (Pv.) Limited - TRR Urities (Pv.) Limited - Urities	11-Jun-21 11-Jun-21 28-May-21 28-May-21 25-May-21 25-May-21 18-May-21 3-May-21 3-May-21 3-May-21 3-May-21	NCCPL/CRO/222/21 NCCPL/CRO/221/21 NCCPL/CS/142/21 NCCPL/CS/144/21 NCCPL/CRO/215/21 NCCPL/CRO/214/21 NCCPL/CRO/214/21 NCCPL/CRO/212/21 NCCPL/CRO/217/21	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination as Margin Trading Financee under Regulation 18.1.1()) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Revocation of Suppension of the Clearing Member pursuant to settlement of money obligation
ne Securities (Pvt.) Limited - JIT and Management Limited - NAFA Islamic Principle Protected Fund-III a Securities (Pvt.) Limited currities (Pvt.) Limited currities (Pvt.) Limited Securities (Pvt.) Limited Securities (Pvt.) Limited pital Management Limited - LSI Securities (Pvt.) Limited pital Management Limited - LSI Securities (Pvt.) Limited Debut Capital (Pvt.) Limited Debut Capital (Pvt.) Limited Debut Capital (Pvt.) Limited Debut Securities (Pvt.) Limited Debut Securities (Pvt.) Limited Debut Securities (Pvt.) Limited Debut Securities (Pvt.) Limited - TRR Limites (Pvt.) Limited - TRR Limites (Pvt.) Limited	11-Jun-21 28-May-21 28-May-21 25-May-21 25-May-21 18-May-21 3-May-21 3-May-21 3-May-21 3-May-21	NCCPL/CRO/221/21 NCCPL/CS/142/21 NCCPL/CS/141/21 NCCPL/CRO/215/21 NCCPL/CRO/214/21 NCCPL/CRO/212/21 NCCPL/CS/97/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination as Margin Trading Financee under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
nd Management Limited - NAFA Islamic Principle Protected Fund-II Securities (PvL) Limited curities (PvL) Limited curities (PvL) Limited Securities (PvL) Limited piral Securities (PvL) Limited piral Securities (PvL) Limited piral Securities (PvL) Limited piral Management Limited - LSI Securities (PvL) Limited - TRR cokes (PvL) Limited pial Capital (PvL) Limited pial Capital (PvL) Limited - TRR urities (PvL) Limited - TRR	28-May-21 28-May-21 25-May-21 25-May-21 18-May-21 4-May-21 3-May-21 3-May-21 3-May-21	NCCPL/CS/142/21 NCCPL/CS/141/21 NCCPL/CRO/215/21 NCCPL/CRO/215/21 NCCPL/CRO/212/21 NCCPL/CRO/212/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination as Margin Trading Financee under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
Securities (Pvt.) Limited curities (Pvt.) Limited curities (Pvt.) Limited Securities (Pvt.) Limited Securities (Pvt.) Limited pital Management Limited - LSI Securities (Pvt.) Limited - TRR coks (Pvt.) Limited - TRR book (Pvt.) Limited book (Pvt.	28-May-21 25-May-21 25-May-21 18-May-21 4-May-21 3-May-21 3-May-21 3-May-21	NCCPL/CS/141/21 NCCPL/CRO/215/21 NCCPL/CRO/214/21 NCCPL/CRO/212/21 NCCPL/CS/97/21	Termination as Margin Trading Financee under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
curities (PVL) Limited Securities (IVL) Limited Securities (IVL) Limited Securities (IVL) Limited pital Management Limited - LSI Securities (IVL) Limited - TRR ckc (IVL) Limited - TRR ckc (IVL) Limited - TRR death = Securities (IVL) Limited - TRR urities (IVL) Limited - TRR urities (IVL) Limited - TRR	25-May-21 25-May-21 18-May-21 4-May-21 3-May-21 3-May-21 3-May-21	NCCPL/CRO/215/21 NCCPL/CRO/214/21 NCCPL/CRO/212/21 NCCPL/CS/97/21	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
curities (Pvt.) Limited Securities Limited pital Securities (Pvt.) Limited pital Management Limited - LSI Securities (Pvt.) Limited - LSI Securities (Pvt.) Limited - TRR obic (Pvt.) Limited - TRR urities (Pvt.) Limited - TRR	25-May-21 18-May-21 4-May-21 3-May-21 3-May-21 3-May-21	NCCPL/CRO/214/21 NCCPL/CRO/212/21 NCCPL/CS/97/21	
Securities (Imited) pital Management Limited - LSI Securities (Pv1, Limited) pital Management Limited - LSI Securities (Pv1, Limited - LTRR cks(Pv1, Limited) ball Capital (Pv1, Limited ball Capital (Pv1, Limited - TRR urities (Pv1,	18-May-21 4-May-21 3-May-21 3-May-21 3-May-21	NCCPL/CRO/212/21 NCCPL/CS/97/21	
pital Securities (Pvt.) Limited pital Management Limited - ISI Securities (Pvt.) Limited - TRR ocks (Pvt.) Limited abal Capital (Pvt.) Limited abar Securities (Pvt.) Limited athar Securities (Pvt.) Limited - TRR urities (Pvt.) Limited - TRR urities (Pvt.) Limited - Timited	4-May-21 3-May-21 3-May-21 3-May-21	NCCPL/CS/97/21	
pital Management Limited - LSI Securities [Pv.1] Limited - TRR ocks (Pvt.) Limited Dall Capital [Pvr.] Limited Dall Capital [Pvr.] Limited Dall Capital [Pvr.] Limited Dall Capital [Pvr.] Limited - TRR urities [Pv.1] Limited - TRR urities [Pv.1] Limited - TRR	3-May-21 3-May-21 3-May-21		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
Securities [Pvt.] Limited - TRR ocks [Pvt.] Limited bal Capital [Pvt.] Limited sahar Securities [Pvt.] Limited - TRR urrities [Pvt.] Limited - TRR urrities [Pvt.] Limited	3-May-21 3-May-21		Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
ocks (Pvr.) Limited abal capital (Pvr.), Limited athar Securities (Pvr.), Limited - TRR urities (Pvr.), Limited - TRR urities (Pvr.), Limited	3-May-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
obal Capital (Pvt.) Limited sahar Securities (Pvt.) Limited - TRR urities (Pvt.) Limited - TRR urities (Pvt.) Limited - TRR urities (Pvt.) Limited		NCCPL/CRO/203/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
azhar Securities (Pvt.) Limited - TRR urities (Pvt.) Limited - TRR urities (Pvt.) Limited	3-May-21	NCCPL/CRO/202/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
urities (Pvt.) Limited - TRR turities (Pvt.) Limited		NCCPL/CRO/201/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
curities (Pvt.) Limited		NCCPL/CRO/200/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
		NCCPL/CRO/199/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	3-May-21	NCCPL/CRO/198/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
tional Equities Limited - TRR	3-May-21	NCCPL/CRO/193/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Habib Securities (Pvt.) Limited - TRR	3-May-21	NCCPL/CRO/192/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
aq Hussain Securities (Pvt.) Limited - TRR	23-Apr-21	NCCPL/CRO/190/21	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Securities (Pvt.) Limited - TRR		NCCPL/CRO/186/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Securities (Pvt.) Limited	23-Apr-21	NCCPL/CRO/176/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
ecurities (Pvt) Ltd	23-Apr-21	NCCPL/CRO/175/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
urities Private Limited		NCCPL/CRO/174/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
tock and Commodities (Pvt.) Limited	23-Apr-21	NCCPL/CRO/173/21	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations,
Majeed Securities (Pvt.) Limited		NCCPL/CRO/172/21	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations,
rities Private Limited		NCCPL/CRO/171/21	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations,
ecurities Private Limited		NCCPL/CRO/170/21	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations,
Private Limited	16-Apr-21	NCCPL/CRO/170/21	waiting issued and penalty imposed under Regulation 14.1 and 14.3 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.1 and 14.3 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.1 and 14.3 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 and 18.2 of
Fivate Dillited	10-Apr-21	NCCF L/CNO/107/21	
pital Securities (Pvt.) Limited - JIT	16-Apr-21	NCCPL/CRO/165/21	NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations and penalty imposed
Equities Limited - TRR	16-Apr-21	NCCPL/CRO/163/21	warling issued under Regulation 14.1 of NCFC. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations and penalty imposed Warring issued under Regulation 14.1 of NCFC. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warring issued under Regulation 14.1 of NCFC. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
ncial Services Limited		NCCPL/CRO/187/21	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
old (Pvt.) Limited		NCCPL/CRO/184/21	Revocation of Suspension of the Authorized Intermediary Pursuant to action taken by PMEX
old (Pvt.) Limited	12-Apr-21	NCCPL/CRO/178/21	Suspension under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX
Securities Limited		NCCPL/CRO/177/21	Revocation of Restriction of Access to Services
oital Management (Pvt.) Limited		NCCPL/CS/86/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
ozer Securities (Pvt.) Limited		NCCPL/CRO/150/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
oital Securities (Pvt.) Limited - TRR	26-Mar-21	NCCPL/CRO/148/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
oti Capital Securities (Pvt.) Limited - TRR		NCCPL/CRO/149/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
ozer Securities (Pvt.) Limited - TRR		NCCPL/CRO/136/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
			Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
ar Financials (Pvt.) Limited	22-Mar-21	NCCPL/CRO/132/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
apital (Pvt) Limited	22-Mar-21	NCCPL/CRO/131/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
curities Limited	22-Mar-21	NCCPL/CRO/127/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
m Securities Limited - JIT	10-Mar-21	NCCPL/CRO/113/21	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
ecurities (Pvt.) Limited - TRR	9-Mar-21	NCCPL/CRO/118/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
d Securities Pvt limited - TRR	9-Mar-21	NCCPL/CRO/116/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
ohra Securities (Pvt.) Limited - TRR	9-Mar-21		Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	9-Mar-21	NCCPL/CRO/122/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
ntal Capital Management Pvt Limited		NCCPL/CRO/123/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
			Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
ecurities (Pvt.) Ltd	9-Mar-21		Warning issued under Regulation 14-10 rNCCF regulations, 2015 on account of show cause notice issued under Regulation 14-5 of NCCF regulations, 2015 on account of show cause notice issued under Regulation 14-5 of NCCF Regulations, 2015
ecurities (Pvt.) Limited			Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
			Warring issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.1 of NCCPL Regulations, 2015
			warning issued under Regulation 1.4.1 of N.C.F. Regulations, 2015 on account of show cause notice issued under Regulation 1.4.5 of N.C.F. Regulations, 2015 Warning issued under Regulation 1.4.5 of N.C.F. Regulations, 2015
			Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 NUMBER OF THE PROPERTY OF THE PROPERT
			Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
			Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
			Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
ffar Securities (Pvt.) Limited			Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
ffar Securities (Pvt.) Limited man Kodvavi Securities (Pvt.) Limited			Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
ffar Securities (Pvt.) Limited man Kodvavi Securities (Pvt.) Limited p Moti Securities (Pvt.) Limited			Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
ffar Securities (Pvt.) Limited man Kodvavi Securities (Pvt.) Limited g Moti Securities (Pvt.) Limited hra Securities (Pvt.) Limited			Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB
ffar Securities (PV.). Limited man Kodvavi Securities (PV.). Limited Moti Securities (PV.). Limited hria Securities (PV.). Limited noial Services Unitited	27-Jan-21	NCCPL/CS/35/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
ffar Securities (Pvt.) Limited man Kodvavi Securities (Pvt.) Limited g Moti Securities (Pvt.) Limited hra Securities (Pvt.) Limited			Suspension under Regulation 18.1.1(a), 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
ffar Securities (Pvt.) Limited man Kodaval Securities (Pvt.) Limited Moti Securities (Pvt.) Limited bria Securities (Pvt.) Limited micial Services Limited la Securities (Pvt.) Limited la Securities (Pvt.) Limited		NCCPL/CRO/27/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations and penalty imposed
flar Securities (PV.). Limited man Kodavia Securities (PV.). Limited) Moti Securities (PV.). Limited hria Securities (PV.). Limited nical Services Imitted la Securities (PV.). Limited social Services Imitted social Services (Imitted	26-Jan-21		
ffar Securities (PVt.) Limited man Kodvavi Securities (PVt.) Limited Moti Securities (PVt.) Limited hria Securities (PVt.) Limited mical Services Limited la Securities (PVt.) Limited curities (PVt.) Limited vurities (PVt.) Limited	26-Jan-21 25-Jan-21	NCCPL/CRO/32/21	Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Inspection Regulations and
flar Securities (Pvt.) Limited man Kodyval Securities (Pvt.) Limited) Moti Securities (Pvt.) Limited hra Securities (Pvt.) Limited notal Services imitted as Securities (Pvt.) Limited courties (Pvt.) Limited us Securities (Pvt.) Limited us Securities (Pvt.) Limited urities Pvt. Limited urities Pvt. Limited - Audit of CM curities (Pvt.) Limited - JTT	26-Jan-21 25-Jan-21 25-Jan-21		Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and
ffar Securities (PV.). Limited man Kodvavi Securities (PV.). Limited Moti Securities (PV.). Limited hria Securities (PV.). Limited hria Securities (PV.). Limited nocial Services Limited la Securities (PV.). Limited courties (PV.). Limited virities (PV.). Limited virities PV. Limited - Juritied virities PV. Limited - Jurities - Juri	26-Jan-21 25-Jan-21 25-Jan-21 25-Jan-21	NCCPL/CRO/31/21	Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and
flar Securities (Pk.). Limited man Kodywal Securities (Pk.). Limited Moti Securities (Pk.). Limited Moti Securities (Pk.). Limited Moti Securities (Pk.). Limited Moti Services Limited ai Securities (Pk.). Limited ai Securities (Pk.). Limited urities (Pk.). Limited - Juti ar Financials Private Limited - JIT Securities (Pk.). Limited - JIT	26-Jan-21 25-Jan-21 25-Jan-21 25-Jan-21 25-Jan-21	NCCPL/CRO/31/21 NCCPL/CRO/30/21	Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations and Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations and
ffar Securities (Pvt.) Limited main Kodvavi Securities (Pvt.) Limited Moti Securities (Pvt.) Limited hria Securities (Pvt.) Limited nical Services Umitted la Securities (Pvt.) Limited curities (Pvt.) Limited Limited Limited (Limited) Limited Limited - Audit of CM curities (Pvt.) Limited Limited - Filmited - JIT Securities Private Limited - JIT Japatal Private Limited - JIT Japatal Private Limited - JIT Japatal Private Limited - JIT	26-Jan-21 25-Jan-21 25-Jan-21 25-Jan-21 25-Jan-21 15-Jan-21	NCCPL/CRO/31/21 NCCPL/CRO/30/21 NCCPL/CRO/8/21	Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations and Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
flar Securities (Pk.) Limited man Kodava Securities (Pk.) Limited Moti Securities (Pk.) Limited office Securities (Pk.) Limited urities (Pk.) Limited office Securities (Pk.) Limited office S	26-Jan-21 25-Jan-21 25-Jan-21 25-Jan-21 25-Jan-21 15-Jan-21 15-Jan-21	NCCPL/CRO/31/21 NCCPL/CRO/30/21 NCCPL/CRO/8/21 NCCPL/CRO/7/21	Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
flar Securities (PV.). Limited man Kodavia Securities (PV.). Limited j Moti Securities (PV.). Limited hria Securities (PV.). Limited mical Services Limited la Securities (PV.). Limited la Securities (PV.). Limited urities (PV.). Limited - Jurities (PV.). Limited - Jurities - Securities (PV.). Limited - Jurities - Securities (PV.). Limited - Jurities - Jurities (PV.). Limited - Jurities - Jurities (PV.). Lid - Jurities - Limited	26-Jan-21 25-Jan-21 25-Jan-21 25-Jan-21 25-Jan-21 15-Jan-21 15-Jan-21 11-Jan-21	NCCPL/CRO/31/21 NCCPL/CRO/30/21 NCCPL/CRO/8/21	Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations and Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
m ec d in ec cu	urities Limited Securities (Pirt.) Limited - TRR Securities (Pirt.) Limited - TRR For Securities (Pirt.) Limited - TRR ran Securities (Pirt.) Limited - TRR ranani Securities (Pirt.) Limited - TRR ranani Securities (Pirt.) Limited - TRR ranani Securities (Pirt.) Limited - Limited	r Financials (Pvt.) Limited 22-Mar-21	r Financials (Pvt.) Limited 22-Mar-21 12-Mar-21 12-

National Clearing Company of Pakistan Limited Disciplinary actions taken against the TRE Certificate Holders						
No	Broker Name		Order/ Notice Reference	Description of Disciplinary action		
7	Ismail Iqbal Securities (Pvt.) Limited	31-Dec-20	NCCPL/CRO/348/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
8	Spinzer Equities (Pvt.) Limited			Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
9	Khadim Ali Shah Bukhari Securities (Pvt.) Limited	31-Dec-20	NCCPL/CRO/349/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
)	Taurus Securities Limited	31-Dec-20	NCCPL/CRO/358/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	Dawood Equities Limited - Audit of CM	31-Dec-20	NCCPL/CRO/359/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations		
!	HP. Byramji & Co. (Pvt.) Limited	24-Dec-20	NCCPL/CS/410/20	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		
	Progressive Securities (Pvt.) Limited - Audit of CM	11-Dec-20	NCCPL/CRO/353/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations		
	MGM Securities (Pvt.) Limited - Audit of CM	11-Dec-20	NCCPL/CRO/352/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations		
,	Khawaja Securities (Pvt.) Limited - Audit of CM		NCCPL/CRO/351/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations		
	ASA Stocks (Pvt.) Limited - Audit of CM	11-Dec-20	NCCPL/CRO/350/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations		
	MSD Capital Equities (Pvt.) Limited		NCCPL/CRO/347/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	Shaukat Shafi Securities (Pvt.) Limited	2-Dec-20	NCCPL/CS/401/20	Termination under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC		
	Amer Securities (Pvt.) Limited		NCCPL/CS/396/20	Termination as Margin Financier under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination		
	Akhai Securities (Pvt) Limited		NCCPL/CRO/333/20	Revocation of Restriction of Access to Services		
	M Ashfaq Hussain Securities (Pvt) Limited		NCCPL/CRO/332/20	Revocation of Restriction of Access to Services		
	M Ashfaq Hussain Securities (Pvt) Limited		NCCPL/CRO/332/20 NCCPL/CRO/329/20	Restriction of necess to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015		
	Akhai Securities (Pvt) Limited		NCCPL/CRO/328/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015		
_	Q. Ain Khanani Securities (Pvt.) Limited		NCCPL/CRO/327/20	Revocation of Restriction of Access to Services		
	Continental Capital Management (Pvt.) Limited		NCCPL/CRO/313/20	Revocation of Restriction of Access to Services		
	We Financials Services Limited	3-Nov-20	NCCPL/CRO/312/20	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.		
	Amer Securities (Pvt.) Limited		NCCPL/CRO/311/20	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.		
	Continental Capital Management (Pvt.) Limited	3-Nov-20	NCCPL/CRO/310/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015		
	Fairway Securities (Pvt.) Limited	3-Nov-20	NCCPL/CRO/309/20	Revocation of Restriction of access to services as Margin Financier and Trading Financier pursuant to submission of audited NCB		
	Q. Ain Khanani Securities (Pvt.) Limited	3-Nov-20	NCCPL/CRO/308/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015		
	A.I Securities (Pvt.) Limited	2-Nov-20	NCCPL/CRO/305/20	Revocation of Restriction of Access to Services		
	A.I Securities (Pvt.) Limited	29-Oct-20	NCCPL/CRO/301/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015		
_	Salman Majeed Sec	27-Oct-20	NCCPL/CRO/290/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	Rafi Securities (Pvt.) Limited		NCCPL/CRO/296/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	Memon Securities (Pvt.) Limited	27-Oct-20	NCCPL/CRO/293/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
_	Next Capital Limited		NCCPL/CRO/289/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations		
7	N. U. A. Securities (Pvt.) Limited		NCCPL/CRO/291/20	waiting issued under Regulation 14.1.0 MCCPL Regulations, 2013 on account of inspection conducted under Joint inspection Regulations Warring issued under Regulation 14.1.0 MCCPL Regulations, 2013 on account of inspection conducted under Joint inspection Regulations		
3	Brains Securities (Pvt.) Ltd	27-Oct-20 27-Oct-20	NCCPL/CRO/295/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations		
)			NCCPL/CRO/294/20			
	Topline Securities Limited - Audit of CM			Warning issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of MCCPL Regulations		
	Patel Securities Pvt Limited - Audit of CM		NCCPL/CRO/288/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations		
	Millennium Brokerage (Pvt.) Limited - Audit of CM	27-Oct-20	NCCPL/CRO/292/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations		
	Xpert Securities (Pvt.) Limited	7-Oct-20	NCCPL/CRO/286/20	Revocation of Restriction of Access to Services		
	MSD capital Equities (Pvt.) Limited	5-Oct-20	NCCPL/CRO/285/20	Revocation of Restriction of Access to Services		
	Reliance Securities Limited		NCCPL/CRO/284/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015		
	Asa Stocks Pvt Limited- TRR		NCCPL/CRO/271/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
6	Arif Latif securities Pvt Limited		NCCPL/CRO/273/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
7	Fikree's (Pvt) Ltd		NCCPL/CRO/274/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
3	Kosmopolitan Securities	28-Sep-20	NCCPL/CRO/272/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
9	Cedar Capital (Pvt.) Limited		NCCPL/CRO/275/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
)	General Investments & Securities (Pvt) Limited	28-Sep-20	NCCPL/CRO/277/20	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
i	Hamza Farhad Securities (Pvt) Limited		NCCPL/CRO/279/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
2	Saz Capital Securities (Pvt.) Limited		NCCPL/CRO/280/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	FM Securities (Pvt) Limited		NCCPL/CS/299/20	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination		
<u> </u>	New Peak Securities (Pvt.) Limited		NCCPL/CRO/278/20 NCCPL/CS/302/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination		
	Arch Capital Securities (Pvt) Limited					
5	ASDA Securities (Pvt) Limited	3-Sep-20	NCCPL/CRO/265/20	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB		
,	Amer Securities (Pvt.) Limited		NCCPL/CRO/248/20	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB		
_	We Financial Services Limited		NCCPL/CRO/249/20	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB		
	Asian Securities (Pvt.) Limited- TRR		NCCPL/CRO/241/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	Dattoo Securities (Pvt.) Limited - TRR		NCCPL/CRO/242/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	Eleven Stars Securities (Pvt.) Limited - TRR	17-Aug-20	NCCPL/CRO/243/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	Friendly Securites (Pvt.) Limited- TRR		NCCPL/CRO/244/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	Interactive Sec (Pvt.) Limited - TRR	17-Aug-20	NCCPL/CRO/245/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	Msmaniar Financials (Pvt.) Limited-TRR		NCCPL/CRO/246/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	RAH Securities (Pvt.) Limited- TRR		NCCPL/CRO/247/20	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	128 securities (Pvt) Limited	12-Aug-20	NCCPL/CS/265/20	Termination as MTS fianancee under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination		
	Horizon Securities Limited	30-Jul-20	NCCPL/CS/263/20	Termination of SLB account on account of Self Termination		
_	Asad Mustafa Securities (Pvt.) Limited	16-Jul-20	NCCPL/CRO/224/20	Revocation of Sets account of Sets records of Sets account of		
)	Patel Securities (Pvt.) Limited	14-Jul-20	NCCPL/CRO/222/20	Revocation of Restriction of access to services as warging manufactural manufacturation of Suspension of the Clearing Member pursuant to settlement of money obligation		
)	Patel Securities (Pvt.) Limited	14-Jul-20	NCCPL/CRO/221/20	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation		
		3-Jul-20		Properties on smooth regulation as 1.14 of NCCF. Regulations, 2015 on account of sending or intolley obligation. We reliable the send under a possibility of 1.14 of NCCF. Descriptions, 2015 on account of sending or intolley obligation.		
	Askari Securities (Pvt) Limited - Audit of CM		NCCPL/CRO/215/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations		
<u>:</u>	Summit Capital (Pvt) Limited - Audit of CM	3-Jul-20	NCCPL/CRO/214/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations		
_	SAAO Capital (Pvt.) Limited	3-Jul-20	NCCPL/CRO/209/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	Sethi Securities (Pvt.) Limited	3-Jul-20	NCCPL/CRO/211a/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
_	Royal Securities (Pvt.) Limited	3-Jul-20	NCCPL/CRO/211/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and penalty imposed		
	Dosslani Securities (Pvt.) Limited	3-Jul-20	NCCPL/CRO/212/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and penalty imposed		
	Growth Securities (Pvt.) Limited	24-Jun-20	NCCPL/CRO/194/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
Ξ	Gulrez Securities (Pvt.) Limited	24-Jun-20	NCCPL/CRO/195/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	Fair Edge Securities (Pvt.) Limited	24-Jun-20	NCCPL/CRO/196/20	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
<u> </u>	Tariq Moti Securities (Pvt.) Limited		NCCPL/CRO/197/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations		
_	Creative Capital Securities (Pvt.) Limited	24-Jun-20	NCCPL/CRO/198/20	warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations		
_	Asad Mustafa Securities (Pvt.) Limited		NCCPL/CRO/187/20	Restriction of access to services as Margin Financier and Trading Financier under 12.3.18(j) of NCCPL Regulations, 2015.		
_	Elixir Securities Pakistan (Pvt.) Limited		NCCPL/CS/214/20	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination		
Į.	Vector Securities (Pvt) Limited	18-May-20	NCCPL/CRO/182/20	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB		
	First Street Capital (Pvt.) Limited		NCCPL/CRO/181/20	Revocation of Restriction of access to services as Margin Financier and Trading Financier pursuant to submission of unaudited NCB		
	Mayari Securities (Pvt.) Limited	5-May-20	NCCPL/CRO/180/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
	Bawa Securities (Pvt.) Limited		NCCPL/CRO/174/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		
7	Falki Capital (Pvt.) Limited	5-May-20	NCCPL/CRO/173/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations		

March Control Contro		National Clearing Company of Pakistan Limited Disciplinary actions taken against the TRE Certificate Holders						
20	. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action			
1. 1. 1. 1. 1. 1. 1. 1.					Warning issued under Regulation 14.1 of NCCPI Regulations, 2015 on account of Inspection conducted under loint Inspection Regulations			
19. Stranger Search From From Learner 19.								
1.5 An observation of the Section (1.5) An observation of the Section (1.5) An observation (1.5) An obse					Warning issued under Regulation 14.1 of NCCPI Regulations, 2015 on account of inspection conducted under Injection Regulations			
15. April 10. Control of the c		Alliad Pank Limited-Cattling Pank Pranch			warning issued under regulation 14-1.00 meets regulations, 2015 on account of inspection to muder during inspection regulations. 2015 on account of inspection to muder the inspection regulations. 2015 on account of inspection to muder the inspection regulations.			
Sept. Sept. 1								
Pages removes the Segment (In Christoff 15.4 p. 1) In Christoff 15.4 p. 1) I								
Part Company					Harring issued under Perulation 14.1 of MCCII. Perulations 2015 on account of Inspection conducted under Institutions.			
					Warning Issued under Regulation 14.1 of NCCE Regulations, 2015 on account of inspection conducted under Joint inspection regulations. Warning Issued under Regulation 14.1 of NCCE Regulations, 2015 on account of inspection conducted under Joint inspection regulations.			
20					Warning issued under regulation 14.1 of NCPF regulations, 2015 on account of inspection conducted under Joint inspection regulations. Magning issued under regulation 14.1 of NCPF regulations, 2015 on account of inspection conducted under Joint Inspection regulations.			
Section Control of								
12								
20. Best Control C								
32								
Section Company Comp								
3. Amin								
3			26-Mar-20					
22 Marcine Perfusioned 17 Mar 20 COCK-COLUMN Securition of a count to accome under the graphetics 1.1.00 E.1.0 M.C.C. Perfusioned 1.0 M.								
25 Securitation 17 March 20 Ma								
20 March Security Deli Limited 17 May 20 CCC/LOCATION Security Control and Security								
20								
Part Control Principal Principal State P								
13 January 1								
13 American Port Limberd 13 American Security 15 American S								
39. A Marchian Port Limited 1. A Marchian Port Limited 1		Amer Securities (Pvt.) Limited	13-Mar-20	NCCPL/CRO/122/20	Revocation of Restriction of the Clearing Member as Margin Financier pursuant to submission of audited NCB			
3. Money Secretar (PM) Limited 1.04 (2.05) Extension Conference (PM) Engineties (1.10) (2.05) Extension Conference (1.06) Extension Conference (Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
Processor Securities United 17-66-20 COCCACCADUS Comments and Passage Coccasion and Passage								
General Securities Port Limited Audit of COA 14-16-20 CCCV_CVCCCCCCCCCCCCCCCCCCCCCCCCCCCCCC					Terrandon under Regulation 19 1 1/h) 8, 19 2 of NCCD Regulation, 2015 Director to action taken by DCV			
27 Prints Pounder 14-16-20 COCYCOONING	36	Galaxy Canital Securities (Pyt) limited - Audit of CM	14-Feb-20	NCCPI /CRO/94/20	Warning issued under Regulation 14 of NCCD1 Regulations, 2015 on account of inspection conducted under Chapter 12D of NCCD1 Regulations			
Auto- Security (Pol. Limited. Auto of CM 1476-25 NCCCCCCCCCCCCCCCCCCCCCCCCCCCCCCCCCCC								
30 Main Secretis (Pol Limented Audel of CM 144-62 NCCPLCR00927702 Warring touched under Regulation 1.5.1 of NCCPL Regulations, 201 and early file of the Company of National Compa								
20 Mile Securities Port Limited - Audit of CM			14-Feb-20	NCCPL/CRU/96/20				
Modificación (Prof.) Intended 14-99-20 NCOP/CSO/SE/SE/SE November Port Limited 14-99-20 NCOP/CSO/SE/SE/SE/SE November Port Limited 14-99-20 NCOP/CSO/SE/SE/SE/SE/SE/SE/SE/SE/SE/SE/SE/SE/SE/								
20								
April Company Compan								
A	42	AMCAP Securities (Pvt) Limited	11-Feb-20	NCCPL/CS/75/2020	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
Comparison Com	43	Azee Securities (Pvt) Limited	10-Feb-20	NCCPL/CRO/90/20	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation			
Some Comparison (Comparison of the Comparison					Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation			
Bose Securities (Ph.1 Limited 9-30-20 NCCUNCIS-12/2000 Termination under Regulation (1.1) in a 1.5 of NCCP, Regulations, 2015 on account of Self Termination (1.5 of NCCP) (1.5					Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
Concord Securities (PA) Limited 9-lan-20 NCDU/CNS/SS/2000 Termination under Regulation (1.1.10 & 1.1.1 of NCP. Regulations, 20.15 on account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Image: Account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Image: Account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Image: Account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Image: Account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Image: Account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Image: Account of Image: Account of Self Termination (1.1.10 of NCP. Regulations, 20.15 on account of Image: Acc								
Botton Securities Published 27-Dec.19 NCCPL/GO2/1419 Notice issued to resolve open observation intelligent conducted under joint impaction fleegations, 2015 and penalty improed					Termination under Regulation 18.1.1(i) & 18.3 of NCCPI Regulations, 2015 on account of Self Termination			
Source Post Internation Company Source Post Internation Company Source Source Post Internation Source								
Securities (Ps) Limited 3.9 bec; 3 (ECU/(ECO/2073)) As Securities (Ps) Limited 3.9 bec; 3 (ECU/(ECO/2073)) Available (Ps) Limited 3.9 bec; 3 (ECU/(ECO/2073)) As Securities (Ps) Limited 4.0 bec; 3 (ECU/(ECO/2073)) As Securities (Ps) Limited 4.0 bec; 3 (ECU/		Datton Securities (But) Limited						
Securities (Port.) Liter Securities (Port.)		ACDA Cocurities (Put) Limited			Product issues for resource open doservation incrimined union inspection conducted under John inspection Regulations, 2015 Designation of Description of the Clearing Member ourselvent to subscission of audited NCP.			
22 In Programs and Co Privil Immitted 13-Dec-19 NCCP_(CR)(207631/19 Warring isseed under Regulation 2.015 on account of Impaction conducted under joint Inspection Regulations 3.0 An Exhibit Charles Park Intelligence 2.0 National Park Intelligence 2.0					nerocation or near return or the Cleaning member pursuant to submission or address NCB			
Same Table Cognital Markets PM (Ltd) 13-Dec-19 NCCPV_(CRO)205/19 Warning issued under Regulation 14.1.1 of NCCP. Regulations, 2015 on account of inspection conducted under joint inspection flower plantations (NCCPV_CRO)205/19 Warning issued under Regulation 14.1.1 of NCCP. Regulations, 2015 on account of inspection conducted under joint inspection flower plantations (NCCPV_CRO)205/19 Warning issued under Regulation 14.1.1 of NCCP. Regulations, 2015 on account of inspection conducted under joint inspection flower plantations (NCCPV_CRO)205/19 Warning issued under Regulation 14.1.1 of NCCP. Regulations, 2015 on account of inspection conducted under joint inspection flower plantations (NCCPV_CRO)205/19 Warning issued under Regulation 14.1.1 of NCCP. Regulations, 2015 on account of inspection conducted under joint inspection flower plantations (NCCPV_CRO)205/19 Warning issued under Regulation 14.1.1 of NCCP. Regulations, 2015 on account of inspection conducted under joint inspection flower plantations (NCCPV_CRO)205/19 Warning issued under Regulation 14.1.1 of NCCP. Regulations, 2015 on account of inspection conducted under joint inspection					reminiation under neguration 18.1.1(1) & 18.5 or NCLPL Regulations, 2015 on account of Self Termination			
Society Description 13 Dec-19 NCCPV_CRO(200479) Warring issued under Regulation 14.1 of NCCP. Regulations, 2015 on account of inspection conducted under lorst inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection conducted under lorst inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection conducted under lorst inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection conducted under lorst inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection conducted under lorst inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection conducted under lorst inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection conducted under lorst inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection conducted under lorst inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspection Regulations 14.1 of NCCP. Regulations, 2015 on account of inspectio								
Securities PAT LEG 22-Nov-19 NCCPV(R00)P9/19 Warring issued under Regulation 14.1 of NCCR, Regulations, 2015 on account of Imspection conducted under Joint Imspection Regulations NCCPV(R00)P9/19 Warring issued under Regulation 14.1 of NCCR, Regulations, 2015 on account of Imspection conducted under Joint Inspection Regulations NCCPV(R00)P9/19 Warring issued under Regulation 14.1 of NCCR, Regulations, 2015 on account of Imspection conducted under Joint Inspection Regulations NCCPV(R00)P9/19 Warring issued under Regulation 14.1 of NCCR, Regulations, 2015 on account of Imspection conducted under Joint Inspection Regulations NCCPV(R00)P9/19 Warring issued under Regulation 14.1 of NCCR, Regulations, 2015 on account of Imspection conducted under Joint Inspection Regulations NCCPV(R00)P9/19 Warring issued under Regulation 14.1 of NCCR, Regulations, 2015 on account of Imspection conducted under Joint Inspection Regulations NCCPV(R00)P9/19 Warring issued under Regulation 14.1 of NCCR, Regulations, 2015 on account of Imspection conducted under Joint Inspection Regulations NCCPV(R00)P9/19 Warring issued under Regulation 14.1 of NCCR, Regulations, 2015 on account of Imspection Conducted under Joint Inspection Regulations NCCPV(R00)P9/19 Warring issued under Regulation 14.1 of NCCR, Regulations, 2015 on account of Regulations NCCPV(R00)P9/19 Warring issued under Regulation 14.1 of NCCR, Regulations, 2015 on account of Regulations NCCPV(R00)P9/19 Warring issued under Regulation 14.1 of NCCR, Regulations, 2015 on account of Regulations NCCPV(R00)P9/19 Warring issued under Regulation 14.1 of NCCR, Regulations, 2015 on account of Regulations NCCPV(R00)P9/19 Warring issued under Regulations NCCPV(R00)P9/19 War					warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
Securities Prict 1					Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
Varing issued under Regulation 14.1 of PCCP, Regulations, 2015 on account of imspection conducted under joint inspection Regulations 14.1 of PCCP, Regulations, 2015 on account of imspection conducted under joint inspection Regulations 14.1 of PCCP, Regulations, 2015 on account of imspection conducted under joint inspection Regulations 14.1 of PCCP, Regulations, 2015 on account of imspection conducted under joint inspection Regulations 14.1 of PCCP, Regulations, 2015 on account of imspection conducted under joint inspection Regulations 14.1 of PCCP, Regulations, 2015 pursuant to action taken by PSC					Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
Variety Sound Control (Pril List) Variety Sound under Regulation 14.1.1 of NCTR Regulations, 2015 on account of imspection conducted under joint imspection Regulations (Variety Sound under Regulation 14.1.1 of NCTR Regulations, 2015 on account of imspection conducted under joint imspection Regulations (Variety Sound under Regulations) Variety Sound under Regulations (Variety Sound under Regulations) Variety Sound under Regulations (Variety) Variety Sound under Regulations (Variety) Variety Sound under Regulations) Variety Sound under Regulations (Variety) Variety Sound under Variety Variety Variety (Variety) Variety Variety Variety Variety Variety (Variety) Variety								
Same Facilities (PA) Limited 22-Nov-19 NCCPV(RCD/195179) Warning issued under Regulation 14.1.1 of NCCP Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations State Stat	57	Rafi Securities (Pvt) Ltd	22-Nov-19		Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
Securities (PA1 Limited 12-No-19 NCEPL/(END/139/19 Warning issued under Regulation (A1.10 NCEPL Regulations), 2015 on account of impection conducted under John Hospection Regulations (A1.10 N EA) NCEPL/(END/139/19 Securities (PA1 Limited 12-No-19 NCEPL/(END/139/1					Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
MCCPL(RO/2011) Restriction of access to services under Regulation 18.1.10 8.19. of MCCP. Regulations, 2015 Pursuant to action taken by PSX	59		22-Nov-19	NCCPL/CRO/196/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations			
Sea	60	MSD Capital Equities (Pvt) Ltd	18-Nov-19	NCCPL/CRO/201/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
22 das Equities (PA) Limited 22 do 1.74 No.PU/CS/07/81/19 Termination under Regulation 18.1.1() & 18.3 of NCCP. Regulations, 2015 on account of feath of money obligation of Superishing Control of NCCP. Regulations, 2015 on account of feath of money obligation (Superishing Control of Superishing Control of NCCP. Regulations, 2015 on account of Inspection Regulations (Superishing Control of Superishing Control								
33 Aze Sescurities (Px1, Limited 22-01-19 NCCPL/CR0/J887) Suspension under Regulation 18.1.1(g) of NCCPL Regulations, 2015 on account of default of money obligation 55 Perve Ahmed Capital (Px1, Limited 7-01-19 NCCPL/CR0/J887) Suspension on the Clearing Member pursuant to settlement of money obligation 6 Gul Dhamis Securities (Px1, Limited 4-01-19 NCCPL/CR0/J887) Suspension under Regulation 18.1.1(g) & (b) of NCCPL Regulations, 2015 on account of notice issued by SECP Gul Dhamis Securities (Px1, Limited 4-01-19 NCCPL/CR0/J47) Warning issued under Regulation 18.1.1 of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations 18.1.1 of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations 18.1.1 of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations 18.1.1 of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations 18.1.1 of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations 18.1.1 of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations 18.1.1 of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations 18.1.1 of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations 18.1.1 of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations 18.1.1 of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations, 2015 on account of Inspection Conducted under Joint Inspection								
A Rec Securities [Prt.] Limited 2-20-13 NCCPL/(Roh/188/19 Suspension norther Regulation 15.11-10] & (Do In NCCPL Regulations, 2015 on account of integration conducted under ionit Inspection Regulations 15.11-10] & (Do In NCCPL Regulations, 2015 on account of inspection conducted under ionit Inspection Regulations 15.11-10] & (Do In NCCPL Regulations, 2015 on account of inspection conducted under ionit Inspection Regulations 15.11-10] & (Do Integration Conducted under ionit Inspection Regulations) account of inspection conducted under ionit Inspection Regulations 15.11-10 NCPL Regulations, 2015 on account of inspection conducted under ionit Inspection Regulations 15.11-10 NCPL Regulations, 2015 on account of inspection conducted under ionit Inspection Regulations 15.11-10 NCPL Regulations, 2015 on account of inspection conducted under ionit Inspection Regulations 15.11-10 NCPL Regulations, 2015 on account of inspection conducted under ionit Inspection Regulations 15.11-10 NCPL Regulations, 2015 on account of inspection conducted under ionit Inspection Regulations 15.11-10 NCPL Regulations, 2015 on account of inspection regulations 15.11-10 NCPL Regulations, 2015 on account of inspection Regulations 15.11-10 NCPL Regulations, 2015 on account of inspection Regulations 15.11-10 NCPL Regulations, 2015 on account of inspection Regulations 15.11-10 NCPL Regulations, 2015 on account of inspection Regulations 15.11-10 NCPL Regulations, 2015 on account of inspection Regulations 15.11-10 NCPL Regulations, 2015 on account of inspection Regulations 15.11-10 NCPL Regulations, 2015 on account of Part Part Part Part Part Part Part Part								
56 February Ahmed Capital (PA.) Limited 57 Subman Majeed Securities (PA.) Limited 58 Capital (PA.) Limited 59 Subman Majeed Securities (PA.) Limited 50 Subman Majeed Securities (PA.) Limited 50 Subman Majeed Securities (PA.) Limited 51 Subman Majeed Securities (PA.) Limited 52 Subman Majeed Securities (PA.) Limited 53 Subman Majeed Securities (PA.) Limited 54 Chc.19 55 Subman Majeed Securities (PA.) Limited 55 Subman Majeed Securities (PA.) Limited 56 Subman Majeed Securities (PA.) Limited 57 Subman Majeed Securities (PA.) Limited 58 Zabil Lattif (PA.) Limited 59 Hamas Farhad Securities (PA.) Limited 50 Subman Majeed Securities (PA.) Limited 51 Subman Majeed Securities (PA.) Limited 52 Subman Majeed Securities (PA.) Limited 52 Subman Majeed Securities (PA.) Limited 53 Subman Majeed Securities (PA.) Limited 54 Subman Majeed Securities (PA.) Limited 54 Subman Majeed Securities (PA.) Limited 55 Subman Majeed Securities (PA.) Limited 56 Subman Majeed Securities (PA.) Limited 57 Subman Majeed Securities (PA.) Limited 58 Subman Majeed Securities (PA.) Limited 59 Subman Majeed Securities (PA.) Limited 50 Subman Majeed Securities (PA.) Limited 50 Subman Majeed Securities (PA.) Limited 51 Subman								
Marning issued under Regulation 3.1.1 of NCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations								
4-Oct-19 NCEPURGO/142/19 Warning issued under Regulation 3.1.1.0 in NCEP Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations 4.0-Oct-19 NCEPURGO/143/19 Warning issued under Regulation 3.1.1.0 in NCEP Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations 4.0-Oct-19 NCEPURGO/143/19 Warning issued under Regulation 1.4.1.1 of NCEP Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations 2.2-Sep-19 NCEPURGO/143/19 Warning issued under Regulation 1.4.1.1 of NCEP. Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations 2.2-Sep-19 NCEPURGO/142/19 Warning issued under Regulation 1.4.1.1 of NCEP. Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations 2.2-Sep-19 NCEPURGO/142/19 Warning issued under Regulation 1.4.1.1 of NCEP. Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations 2.2-Sep-19 NCEPURGO/142/19 Warning issued under Regulation 1.4.1.1 of NCEP. Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations 2.2-Sep-19 NCEPURGO/142/19 Warning issued under Regulation 1.4.1.1 of NCEP. Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations 2.2-Sep-19 NCEPURGO/142/19 Warning issued under Regulation 1.4.1.1 of NCEP. Regulations, 2015 Pursuant to action taken by PSX and submitted 1.2-Sep-19 NCEPURGO/142/19 Restriction of access to services as Margin Financier under Regulation 1.4.1.1 of NcEP. Regulations, 2015 on account of Self Termination and Trading in Financier under Regulation 1.4.1 of the Rules and Regulations and 78.2.4 of NCEPURGO/142/19 Restriction of access to services as Margin Financier under Regulations, 2015 Pursuant to action taken by PSX and submitted 1.2-Sep-19 NCEPURGO/142/19 Restriction of access to services as Margin Financier under Regulations, 2015 on account of Self Termination 1.2-Sep-19 NCEPURGO/142/19 Restriction of access to services as Marg								
A-Oct-19					Treating issued under negaridum 14.1.1 of neets negaridums, 2015 on account of inspection conducted under joint inspection regulations			
Part					wearning issued under neguration 14.1.1 or NCLPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations			
24-Sep-19 NCPU/CRO/135/19 Warning issued under Regulations 1.1 of NCCPR. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations 2015 NCPU/CRO/135/19 NCPU/CRO/135/19 NCPU/CRO/135/19 Warning issued under Regulation 1.4.1 of NCCPR. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations 2015 NCPU/CRO/135/19 Warning issued under Regulation 1.4.1 of NCCPR. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations 2015 NCPU/CRO/135/19 Warning issued under Regulation 1.4.1 of NCCPR. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations 2015 Warning issued under Regulation 1.4.1 of NCCPR. Regulations, 2015 on account of Septiment 2015 NCPU/CRO/133/19 Restriction of access to services under Regulation 1.8.1.1(b) & 1.8.3 of NCCPL Regulations, 2015 on account of Self Termination as Trading Financier and Margin Financier under Regulations, 2015 NCPU/CRO/133/19 Restriction of access to services as Margin Financier under Regulation 1.8.1.1(b) & 1.8.3 of NCCPL Regulations, 2015 on account of Self Termination as Trading Financier under Regulation 1.8.1.1(b) & 1.8.3 of NCCPL Regulations, 2015 on account of Self Termination as Trading Financier under Regulation 1.8.1.1(b) & 1.8.3 of NCCPL Regulations, 2015 on account of Self Termination as Trading Financier under Regulation 1.8.1.1(b) & 1.8.3 of NCCPL Regulations, 2015 on account of Self Termination as Trading Financier under Regulation 1.8.1.1(b) & 1.8.3 of NCCPL Regulations, 2015 on account of Self Termination as Trading Financier under Regulation 1.8.1.1(b) & 1.8.3 of NCCPL Regulations, 2015 on account of Self Termination as Trading Financier under Regulation 1.8.1.1(b) & 1.8.3 of NCCPL Regulations, 2015 on account of Self Termination and Particles (PvL) Limited					Warning issued under Kegulation 14.1.1 or NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
NCPL/CR0/124/19 Notice issued to resolve open observation identified under inspection Regulations, 2015			2/-Sep-19					
722 Insight securities [Pk1, Limited 23-Sep-19 NCPL/CR0/125/19 Warning issued under Regulation 3.2.11.6 In NCEP. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations (2015) and account of inspection conducted under Joint Inspection Regulations (2015) and account of Inspection Equilations (2015) and account of Self Termination (2015) and Securities (Pk1) Limited (2015) and Securi								
MCPL/CR0/133/19 Restriction of access to services under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX		Khawaja Securities Pvt Limited	23-Sep-19		Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
19-Sep-19 NCPU/CRO/133/19 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCP. Regulations, 2015 or account of Self Termination 19-Sep-19 NCPU/CRO/133/19 Restriction of access to services as Margin Financier under Regulation 18.1.1(b) & 18.3 of NCCP. Regulations, 2015 on account of Self Termination of Self Termination 19-Sep-19 NCPU/CRO/127/19 Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2 of NCCP. Regulations, 2015.					Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
12-Sep-19 NCCPL/CS/18/19 Termination as Trading Financier under Regulation 1.1.1(i) 8.18.3 of NCCP. Regulations, 2015 on account of Self Termination	73	Hamza Farhad Securities (Pvt.) Limited	19-Sep-19	NCCPL/CRO/133/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
17-58-19 NCPL/CR0/127/19 Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.24 of NCCPL Regulations, 2015. 18-58-19 NCPL/CR0/129/19 Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.24 of NCCPL Regulations, 2015. 18-58-19 NCPL/CR0/129/19 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations and 78.24 of NCCPL Regulations, 2015. 18-58-19 NCPL/CR0/129/19 Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.24 of NCCPL Regulations, 2015. 18-58-19 NCPL/CR0/129/19 Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.24 of NCCPL Regulations, 2015. 18-58-19 NCPL/CR0/129/19 Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.24 of NCCPL Regulations, 2015. 18-58-19 NCPL/CR0/129/19 Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.24 of NCCPL Regulations, 2015. 18-58-19 NCPL/CR0/129/19 NCCPL/CR0/129/19 Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.24 of NCCPL Regulations, 2015. 18-58-19 NCCPL/CR0/129/19 NCCPL/CR0/129/19 Restriction of access to services as Margin Financier under Rule 11(1a) of NCCPL Regulations, 2015 on account of Self Termination and NCCPL/CR0/129/19 Restriction of access to services as Margin Financier under Rule 11(1a) of NCCPL Regulations, 2015 on account of Self Termination under Rule 11(1a) of NCCPL Regulations, 2015 on account of Self Termination and NCCPL/CR0/129/19 Restriction of Results and NCCPL/CR0/129/19 Restriction of Results and NCCPL/CR0/129/19 Restriction of Results and NCCPL/CR0/129/19 Results and NCCPL/CR0/1				NCCPL/CS/318/19	Termination as Trading Financier and Margin Financier under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
16-Sep-19 NCPL/CRO/131/19 Revocation of restriction of Clearing Member on account of notice issued by SECP				NCCPL/CRO/127/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations. 2015.			
15-Sep-19 NCPL/CR0/129/19 Restriction of access to services and Page Service (Sept. 1) Sept. 10 Sept		We Financial Services Limited	16-Sep-19		Revocation of restriction of Clearing Member on account of notice issued by SECP			
16-Sep-19 NCCPL/CRO/123/19 Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.24 of NCCPL Regulations, 2015. NCPL/CRO/123/19 Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.24 of NCCPL Regulations, 2015. NCPL/CRO/120/19 Superision under Regulation 18.1.1(a) of NCCPL Regulations, 2015 on account of service sized by SECP NCPL/CRO/120/19 Superision under Regulation 18.1.1(a) of NCCPL Regulations, 2015 on account of Self Termination NCPL/CRO/120/19 Termination as Margin Financier under Regulation 18.1.1(a) is 18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CRO/120/19 Termination under Regulation 18.1.1(a) is 18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CRO/120/19 Termination under Regulation 18.1.1(a) is 18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CRO/120/19 Warring issued under Regulation 18.1.1(a) is 18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CRO/120/19 Warring issued under Regulation 18.1.1 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CRO/120/19 Warring issued under Regulation 18.1.1 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CRO/120/19 Warring issued under Regulation 18.1.1 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CRO/120/19 Termination under Regulation 18.1.1 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CRO/120/19 NCCPL/CRO/120/19 Termination under Regulation 18.1.1(a) is 18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CRO/120/19 NCCPL/CRO/120/19 Revision of Assistance Provided Intermination NCPL/CRO/120/19 Revision of Assistance Provided Intermina								
13-Sep-19 NCPL/CRO/12/19 Restriction of access to services as Margin Financier under Rule 1111a) of the Rules and Regulations and 78.24 of NCPL Regulations, 2015. NCPL/CRO/12/19 Septicion 18.1.1 (a) of NCPL Regulations, 2015 on account of notes issued by SCP NCPL/CS/286/19 NCPL/CS/286/19 Termination as Margin Financier under Regulation 18.1.1 (a) 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CS/286/19 Termination as Margin Financier under Regulations, 2015 on account of Self Termination NCPL/CS/286/19 Termination as Margin Financier under Regulations, 2015 on account of Self Termination NCPL/CS/286/19 Termination under Regulation 18.1.1 (a) 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CS/286/19 Termination under Regulation 18.1.1 (b) 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CS/286/19 Termination under Regulation 18.1.1 (b) 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CS/286/19 Termination under Regulation 18.1.1 (b) 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CS/286/19 Termination under Regulation 18.1.1 (b) 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CS/271/19 Termination under Regulation 18.1.1 (b) 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CS/271/19 Termination under Regulation 18.1.1 (b) 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CS/271/19 Termination under Regulation 18.1.1 (b) 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CS/271/19 Termination under Regulation 18.1.1 (b) 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CS/271/19 Termination under Regulation 18.1.1 (b) 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CS/271/19 Termination under Regulation 18.1.1 (b) 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination NCPL/CS/271/19 Termination under Reg								
80 We Financial Services Limited 6-Sep-19 NCCPL/CRO/120/19 Supension under Regulations, 2015 On account of footice issued by SECP 81. M.H. Securities [Prt.] Limited 28-Aug. 19 NCCPL/CS/28/19 Termination as Margin Financier under Regulation 18.1.1(a) & 18.3 of NCCP. Regulations, 2015 on account of Self Termination 28-Aug. 19 NCCPL/CS/28/19 Termination under Regulation 18.1.1(b) & 18.3 of NCCP. Regulations, 2015 on account of Self Termination 28-Aug. 19 NCCPL/CS/28/19 Termination under Regulation 18.1.1(b) & 18.3 of NCCP. Regulations, 2015 on account of Self Termination 29-Jul-19 NCCPL/CS/19/19 Warning issued under Regulation 14.1.1 of NCCTP. Regulations, 2015 on account of Self Termination conducted under Joint Inspection Regulations 30-Bit 19 NCCPL/CS/27/19 Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Conducted under Joint Inspection Regulations 30-Bit 19 NCCPL/CS/27/19 Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Conducted under Joint Inspection Regulations 30-Bit 19 NCCPL/CS/36/19 Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Conducted under Joint Inspection Regulations 30-Bit 19 NCCPL/CS/36/19 Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Conducted under Joint Inspection Regulations 30-Bit 19 NCCPL/CS/36/19 Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Conducted under Joint Inspection Regulation 30-Bit 19 NCCPL/CS/36/19 Termination Under Regulation 31.1(b) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Conducted under Joint Inspection Regulations 31.1(b) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Under Regulation 31.1(b) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Conducted under Joint Inspection Regulations 31.1(b) & 18.3 of NCCPL Regulations, 2015 on account o					Destriction of access to consider a Marcin Einancia under Rule 11(1a) of the Bules and Regulations and TD 2 of NCCD Populations, 2015.			
SEABLE NECHTICS (PA) Limited 28-Aug. 19 NCCPL/CS/26/19 Termination as Margin Financier under Regulation 18.1.1() & 18.3 of NCCP. Regulations, 2015 on account of Self Termination 28-Aug. 19 NCCPL/CS/26/19 Termination under Regulation 18.1.1() & 18.3 of NCCP. Regulations, 2015 on account of Self Termination 28-Aug. 19 NCCPL/CR0/109/19 Warning issued under Regulation 18.1.1.1 of NCCP. Regulations, 2015 on account of Self Termination NCCPL/CR0/109/19 Warning issued under Regulation 18.1.1.1 of NCCP. Regulations, 2015 on account of Self Termination NCCPL/CR0/109/19 Warning issued under Regulation 18.1.1 of NCCP. Regulations, 2015 on account of Self Termination NCCPL/CR0/109/19 Warning issued under Regulation 18.1.1 of NCCP. Regulations, 2015 on account of Self Termination NCCPL/CR0/109/19 Warning issued under Regulation 18.1.10 NCCPL/CR0/109/19 Warning issued under Regulation 18.1.10 NCCPL Regulations, 2015 on account of Self Termination NCCPL/CR0/109/19 NCCPL/CR0/109/19 Termination under Regulation 18.1.10 NCCPL/CR0/109/19 NCCPL/CR0/109/19 Termination under Regulation 18.1.10 NCCPL/CR0/109/19 NCCPL/					nesariation or access to services as margin initiation under training from the following and regulations of the Training following the services of the services as margin initiation (9.1.14) of MCCID Regulations (9.1.			
M. H. Securities (Pvt) Limited 28-Aug. 19 N.CPL/CS/285/19 Termination under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 on account of \$elf Termination								
33 Zillion Capital Securities (Prt.) Limited 30-Jul-19 NCCPL/CR0/109/19 Multiline Securities (Prt.) Limited 29-Jul-19 NCCPL/CR0/109/19 NCCPL/C					Termination as wargin Financier under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
33 Zillion Capital Securities (Prt.) Limited 30-Jul-19 NCCPL/CR0/109/19 4 Warring issued under Regulation 14.1.1 of NCCPR. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations 4 Multiline Securities (Prt.) Limited 59-Jul-19 NCCPL/CR0/109/19 58 Al-Hogani Securities (Prt.) Limited 59-Jul-19 NCCPL/CS/271/19 59 Techno Fundamental Securities (Prt.) Limited 59-Jul-19 NCCPL/CS/271/19 50 Techno Fundamental Securities (Prt.) Limited 59-Jul-19 NCCPL/CS/271/19 50 Techno Fundamental Securities (Prt.) Limited 50 Jul-19 NCCPL/CS/262/19 50 Techno Fundamental Securities (Prt.) Limited 50 Jul-19 NCCPL/CS/262/19 50 Techno Fundamental Securities (Prt.) Limited 50 Jul-19 NCCPL/CS/262/19 50 Jul-19	82	M.H Securities (Pvt) Limited			Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
Multiline Securities (Prt.) Limited 29-Jul-19 NCCPL/CRO/108/19 Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Self-Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Self-Termination Self-Termina	83	Zillion Capital Securities (Pvt.) Limited			Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
86 MF Stocks (Pvt.) Limited 25-Jul-19 NCCPI/CS/267/19 Termination under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 on account of Self Termination 8.7 Techno Fundamental Securities (Pvt.) Limited 23-Jul-19 NCCPI/CS/262/19 Termination under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 on account of Self Termination Self-19 Termination under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 on account of Self Termination Self-19 Termination under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 on account of Self Termination Self-19 Termination under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 on account of Self-19 Termination under Regulation Self-19	84	Multiline Securities (Pvt.) Limited						
86 MF Stocks (Pvt.) Limited 25-Jul-19 NCCPI/CS/267/19 Termination under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 on account of Self Termination 8.7 Techno Fundamental Securities (Pvt.) Limited 23-Jul-19 NCCPI/CS/262/19 Termination under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 on account of Self Termination Self-19 Termination under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 on account of Self Termination Self-19 Termination under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 on account of Self Termination Self-19 Termination under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 on account of Self-19 Termination under Regulation Self-19								
Techno Fundamental Securities [Pvt.] Limited 23-Jul-19 NCCPL/CS/262/19 Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			25-Jul-19	NCCPL/CS/267/19				
18-Jul-19 NCCPL/CRO/107/19 Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB	87				Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
89 IAX Securities [Prt.] Limited 15-Jul-19 NCCPL/CRO/106/19 Restriction of access to services under Regulation 18.1.1(1) & 18.3 of NCCP Regulations, 2015 Pursuant to action taken by PSX 90 Shaiprapk Securities (Prt.) Limited 15-Jul-19 NCCPL/CRO/96/19 Warning issued under Regulation 14.1.1 of NCCP Regulations, 2015 on account of inspection conducted under loint inspection Regulations 91 MAAN Securities (Prt.) Limited 15-Jul-19 NCCPL/CRO/98/19 Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under loint inspection Regulations 91 Macro 1 NCCPL Regulations, 2015 on account of inspection conducted under loint inspection Regulations 91 Macro 1 NCCPL Regulations, 2015 on account of inspection conducted under loint inspection Regulations 91 Macro 1 NCCPL Regulations, 2015 on account of inspection conducted under loint inspection Regulations 91 Macro 1 NCCPL Regulations, 2015 on account of inspection conducted under loint inspection Regulations 91 Macro 1 NCCPL Regulations, 2015 on account of inspection conducted under loint inspection Regulations 91 Macro 1 NCCPL Regulations, 2015 on account of inspection conducted under loint inspection Regulations 91 Macro 1 NCCPL Regulations, 2015 on account of inspection conducted under loint inspection Regulations 91 Macro 1 NCCPL Regulations, 2015 on account of inspection conducted under loint inspection Regulations 91 Macro 1 NCCPL Regulations, 2015 on account of inspection conducted under loint inspection Regulations 91 Macro 1 NCCPL Regulations, 2015 on account of inspection conducted under loint inspection Regulations 91 Macro 1 NCCPL Regulations, 2015 on account of inspection conducted under loint inspection Regulations 91 Macro 1 NCCPL Regulations, 2015 on account of inspection regulations 91 Macro 1 NCCPL Regulations 91 Macro 1 NCCPL Regulations, 2015 on account of inspection regulations 91 Macro 1 NCCPL Reg				NCCPI /CRO/107/19				
90 Shajarpak Securities (Pvt.) Limited 15-Jul-19 NCCPL/CRO/96/19 Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations 91 MAAN Securities (Pvt.) Limited 15-Jul-19 NCCPL/CRO/98/19 Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations								
91 MAAN Securities (Pvt.) Limited 15-Jul-19 NCCPL/CRO/98/19 Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations				INCCLF/CUO/100/13	meachiculon or access to services unider negulation 16.1.1(b) of 16.5 or NCCP1 negulations, 2015 Pursuant to action taken by PSX			
	89			NICCOL ICDO IOC IAO	Westerland and Devilation 44.4.4 (NICON Devilation 2045)			
	89 90	Shajarpak Securities (Pvt.) Limited	15-Jul-19					

National Clearing Company of Pakistan Limited						
			ions taken against the TRE Certificate Holders			
S. No Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action			
493 Azee Securities (Pvt) Limited 494 Azee Securities (Pvt.) Limited	15-Jul-19 15-Jul-19	NCCPL/CRO/104/19 NCCPL/CRO/103/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation			
494 Azee Securities (Pvt.) Limited 495 KP Securities (Pvt.) Limited	15-Jul-19 15-Jul-19	NCCPL/CRO/103/19 NCCPL/CRO/105/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
496 Chenab Stock Services (Pvt.) Limited	12-Jul-19	NCCPL/CS/248/19	Termination under Regulation 18.1.1() & 18.3 of NCPL Regulations, 2015 on account of Self Termination			
497 Tariq Sayeed Securities (Pvt.) Limited	12-Jul-19	NCCPL/CS/251/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
498 Jamshaid and Hasan Securities (Pvt.) Limited	10-Jul-19	NCCPL/CS/228/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
499 AHKD Securities (Pvt.) Limited 500 Reliance Securities Limited	5-Jul-19 1-Jul-19	NCCPL/CS/225/19 NCCPL/CRO/95/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Revocation of Restriction of access to services, Pursuant to action taken by PSX and submission of audited NCB			
501 SHARE CENTRE (PVT.) LIMITED	27-Jun-19	NCCPL/CS/217/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self-Termination			
DAWOOD EQUITIES LIMITED	26-Jun-19	NCCPL/CRO/93/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation			
503 DAWOOD EQUITIES LIMITED	26-Jun-19	NCCPL/CRO/92/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation			
504 FIRST CAPITAL EQUITIES LIMITED	25-Jun-19	NCCPL/CS/212/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
505 RELIANCE SECURITIES LIMITED 506 AZEE SECURITIES PRIVATE LIMITED	18-Jun-19 10-Jun-19	NCCPL/CRO/90/19 NCCPL/CS/198/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination of Margin Financier and Financee accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
507 AZEE SECURITIES PRIVATE LIMITED	31-May-19	NCCPL/CRO/86/19	Warning issued under Regulation 14.3 of NCCPL Regulations, 2015 on account of default of money obligation, including imposition of financial penalty of PKR 150,000			
508 ASA STOCKS PRIVATE LIMITED	23-May-19	NCCPL/CRO/75/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
509 ASHFAQ ASHRAF SECURITIES PRIVATE LIMITED	23-May-19	NCCPL/CS/190/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
510 ALFA ADHI SECURITIES PRIVATE LIMITED	21-May-19	NCCPL/CRO/71/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
511 MILLENIUM BROKERAGE PRIVATE LIMITED 512 FIRST CAPITAL EQUITIES LIMITED	21-May-19 21-May-19	NCCPL/CRO/72/19 NCCPL/CRO/74/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB			
513 FIRST CAPITAL EQUITIES LIMITED	16-May-19	NCCPL/CRO/70/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
514 AZEE SECURITIES PRIVATE LIMITED	14-May-19	NCCPL/CRO/68/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation			
515 AZEE SECURITIES PRIVATE LIMITED	14-May-19		Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation			
516 SHAJAR CAPITAL PRIVATE LIMITED 517 AZEE SECURITIES PRIVATE LIMITED	14-May-19 9-May-19	NCCPL/CRO/61/19 NCCPL/CRO/66/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation			
517 AZEE SECURITIES PRIVATE LIMITED 518 AZEE SECURITIES PRIVATE LIMITED	9-May-19 9-May-19	NCCPL/CRO/66/19 NCCPL/CRO/67/19	Suspension under Regulation 18.1.1(a) of NCLPL Regulations, 2015 On account of default of money obligation Revocation of Clearing Member Pursuant to settlement of money obligation			
519 FORTUNE SECURITIES LIMITED	7-May-19	NCCPL/CRO/60/19	Warning issued under Regulation 14.3 and 14.6 of NCCPI Regulations, 2015 on account of matter pertaining to submission of NCB			
520 FAIRWAY SECURITIES (PVT.) LIMITED	7-May-19	NCCPL/CRO/62/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
Y.H SECURITIES PRIVATE LIMITED	25-Apr-19	NCCPL/CS/158/19	Termination of Trading Financee ID under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
522 GROWTH SECURITIES (PVT.) LIMITED 523 TS SECURITIES (PVT.) LIMITED	17-Apr-19 17-Apr-19	NCCPL/CRO/56/19 NCCPL/CRO/57/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
524 DIN CAPITAL LIMITED	16-Apr-19	NCCPL/CS/137/19	Notice issue to the solve open observation incentine under inspection conducted under solid inspection registrations, 2013 Termination of Trading Financier ID under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination			
525 K & I GLOBAL CAPITAL (PVT.) LIMITED	5-Apr-19	NCCPL/CRO/55/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations			
526 RAHAT SECURITIES (PVT.) LIMITED	5-Apr-19	NCCPL/CRO/54/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
527 STRONGMAN SECURITIES (PVT.) LIMITED	29-Mar-19	NCCPL/CRO/52/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
528 FAWAD YUSUF SECURITIES (PVT.) LIMITED 529 GULREZ SECURITIES (PVT.) LIMITED	29-Mar-19 28-Mar-19	NCCPL/CRO/53/19 NCCPL/CRO/47/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
530 SAKARWALA CAPITAL SECURITIES PVT LIMITED	28-Mar-19	NCCPL/CRO/48/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2013 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2013 on account of Inspection conducted under Joint Inspection Regulations 1.1.1 of NCCPL Regulations 1.2.2 of NCCPL Regulations 1.2.3 of NCCPL Regulations 1.3.4 of NCCPL Regulations 1.3.5 of NCCPL Regulations 1.4.1 of NCCPL Regulations 1.4.1 of NCCPL Regulations 1.5.4 of NCCPL Regulations 1.5.5 of			
531 TECHNO FUNDAMENTAL (PVT.) LIMITED	28-Mar-19	NCCPL/CRO/49/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
532 MAAN SECURITIES (PVT.) LIMITED	28-Mar-19	NCCPL/CRO/50/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations			
133 IAK SECURITIES PVT. LIMITED 134 HABIB METROPOLITAN FINACIAL SERVICES LIMITED	22-Mar-19 20-Mar-19	NCCPL/CRO/42/19 NCCPL/CRO/38/19	Revocation of Restriction of access to services, Pursuant to action taken by PSX and submission of audited NCB Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
535 M H SECURITIES (PVT.) LTD.	20-Mar-19 18-Mar-19	NCCPL/CRO/38/19 NCCPL/CRO/43/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations, 2015.			
536 WE FINANCIAL SERVICES LTD.	18-Mar-19	NCCPL/CRO/44/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.			
537 AL-HAQ SECURITIES (PVT.) LTD.	18-Mar-19	NCCPL/CRO/45/19	Restriction of access to services as Trading Financier under Rule 19(1a) of the Rules and Regulations and 7C.2.4 of NCCPL Regulations, 2015.			
538 IAK SECURITIES (PVT.) LIMITED	18-Mar-19	NCCPL/CRO/39/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
539 M.F STOCKS (PVT.) LIMITED 540 RUC SECURITES (PVT.) LIMITED	18-Mar-19 18-Mar-19	NCCPL/CRO/41/19 NCCPL/CRO/40/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
541 HAJI ABDUL SATTAR SECURITIES (PVT.) LTD	15-Mar-19	NCCPL/CS/114/19	Restriction of access to services inter regulation 16.1.1(b) & 16.5.0 in rect. regulations, 2015 Pursuant to action carein by FSA Termination under Regulation 18.1.1(f) & 18.3 of NCPL Regulations, 2015 On account of Self Termination			
542 CHENAB STOCK SERVICES (PVT.) LIMITED	12-Mar-19	NCCPL/CRO/34/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint inspection Regulations, 2015.			
543 FOUNDATION SECURITIES (PVT) LTD	12-Mar-19	NCCPL/CRO/35/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
544 SOUTH ASIAN SECURITIES (PVT) LTD.	12-Mar-19	NCCPL/CS/110/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination			
545 NAYYAR SHEIKH SECURITIES (PVT) LTD 546 INVEST CAPITAL MARKETS LIMITED	6-Mar-19 22-Feb-19	NCCPL/CS/96/19 NCCPL/CRO/32/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
547 AMCAP SECURITIES (PVT.) LTD.	21-Feb-19	NCCPL/CRO/31/19	Further suspension under Regulation 18.1.1 (e) & 14.7 of NCCPL Regulations, 2015 On account of matters identified under Joint Inspection			
548 128 SECURITIES (PVT) LTD.	19-Feb-19	NCCPL/CRO/30/19	Revocation of restriction on opening of new client accounts of Clearing Member Pursuant to action taken by PSX			
549 CASSIM INVESTMENTS (PRIVATE) LIMITED	19-Feb-19	NCCPL/CS/72/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination			
550 SOUTH ASIAN SECURITIES (PRIVATE) LIMITED 551 M. SALIM KASMANI SECURITIES (PVT.) LIMITED	18-Feb-19 18-Feb-19	NCCPL/CRO/29/19 NCCPL/CRO/27/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Visit Part Part			
551 M. SALIM KASMANI SECURITIES (PVT.) LIMITED 552 HH MISBAH SECURITIES (PVT.) LIMITED	18-Feb-19 18-Feb-19	NCCPL/CRO/27/19 NCCPL/CRO/25/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015			
553 GALAXY CAPITAL SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/26/19	Warning issued on account of inspection conducted under Joint Inspection Regulations			
554 ABBASI & CO. (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/23/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations			
555 NETWORTH SECURITIES LIMITED	18-Feb-19	NCCPL/CRO/24/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations			
556 DALAL SECURITIES (PVT.) LIMITED 557 RFJ EQUITY (PVT) LTD	18-Feb-19 29-Jan-19	NCCPL/CRO/28/19 NCCPL/CS/29/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination			
557 REJ EQUITY (PVT) LTD 558 HMC STOCKS (PVT) LTD	29-Jan-19 23-Jan-19	NCCPL/CS/29/19 NCCPL/CRO/15/19	Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB			
	22-Jan-19	NCCPL/CRO/14/19	Revocation of Clearing Member Pursuant to action taken by PSX and submission of adulted NCB			
559 K.H.S. SECURITIES (PVT.) LIMITED.			Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
559 K.H.S. SECURITIES (PVT.) LIMITED. 560 K.H.S. SECURITIES (PVT.) LIMITED.	16-Jan-19	NCCPL/CRO/12/19				
559 K.H.S. SECURITIES (PVT.) LIMITED. 561 HMC STOCKS (PVT.) LIT	16-Jan-19	NCCPL/CRO/13/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX			
K.H.S. SECURITIES (PVT.) LIMITED.	16-Jan-19 4-Jan-19	NCCPL/CRO/13/19 NCCPL/CRO/8/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX			
	16-Jan-19 4-Jan-19 4-Jan-19	NCCPL/CRO/13/19 NCCPL/CRO/8/19 NCCPL/CRO/6/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Warning Issued on account of Inspection conducted under Joint Inspection Regulations			
K.H.S. SECURITIES (PVT.) LIMITED.	16-Jan-19 4-Jan-19	NCCPL/CRO/13/19 NCCPL/CRO/8/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX			
K.H.S. SECURITIES (PVT.) LIMITED.	16-Jan-19 4-Jan-19 4-Jan-19 4-Jan-19	NCCPL/CRO/13/19 NCCPL/CRO/8/19 NCCPL/CRO/6/19 NCCPL/CRO/7/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations			

	National Clearing Company of Pakistan Limited Disciplinary actions taken against the TRE Certificate Holders							
[
5. No	Broker Name RUC SECURITIES (PRIVATE) LIMITED		Order/ Notice Reference NCCPL/CRO/225/18	Description of Disciplinary action Revocation of Clearing Member Pursuant to action taken by PSX				
	FIRST CAPITAL EQUITIES LIMITED	17-Dec-18	NCCPL/CRO/225/18 NCCPL/CRO/220/18	Warning issued under Regulation 18.1.1(e) of NCCPI Regulations, 2015 on account of matter pertaining to delay in payment of money obligation				
	OPTIMUS CAPITAL EQUITIES LIMITED OPTIMUS CAPITAL MANAGEMENT (PVT.) LIMITED		NCCPL/CRO/220/18	warining issued union regulation 1.8.1.1.(c) or NCCP Regulations, 2013 bit account on mater Joint Inspection Regulation 1.8.1.1.(c) or NCCP Regulation of Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	FAIR TRADE CAPITAL SECURITIES (PVT.) LIMITED		NCCPL/CRO/222/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	EFG HERMES PAKISTAN LIMITED		NCCPL/CRO/223/18	nounce issued to resolve open observation identified under inspection conducted under Joint inspection regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015				
	DIYANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED		NCCPL/CS/443/18	Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
			NCCPL/CRO/217/18	Revocation of Clearing Member On account of notice issued by SECP				
	SHER CAPITAL EQUITIES (PVT.) LTD.	28-Nov-18	NCCPL/CS/428/18	Termination under Regulation 18.1.1() 8.18.3 of NCCPL Regulations, 2015 On account of Self Termination				
	AM CHAUDHRY SECURITIES (PVT.) LIMITED		NCCPL/CRO/206/18	Revocation of Clearing Member On account of notice Issued by SECP				
	RUC SECURITIES (PRIVATE) LIMITED		NCCPL/CRO/205/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
	ARIF LATIF SECURITIES (PVT.) LIMITED		NCCPL/CRO/195/18	RESILICATION of ACCESS to Services under Regulation 16.1.1(b) of 16.3 of NCCF. Regulations, 2015 For South (Control Table 10 yr FAX Warning issued on account of Inspection conducted under Joint Inspection Regulations Or Applications The Application of The Application of The Application of The Applications of The Application of The Application of The Applications of The Application of				
	RIAZ AHMED SECURITIES (PVT.) LIMITED		NCCPL/CRO/193/18	warining issued on account of inspection conducted under John inspection Regulations Warning issued on account of inspection conducted under John inspection Regulations				
	TRUST SECURITIES & BROKERAGE (PVT.) LIMITED		NCCPL/CRO/193/18 NCCPL/CRO/194/18	Warning issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of inspection conducted under Joint Inspection Regulations				
			, , . , .					
	UNEX SECURITIES (PVT.) LIMITED		NCCPL/CRO/197/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	PINE SECURITIES (PRIVATE) LIMITED	7-Nov-18	NCCPL/CS/407/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination				
	BABA EQUITIES (PVT.) LIMITED		NCCPL/CRO/187/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations				
	128 SECURITIES (PVT.) LIMITED-LSI		NCCPL/CRO/190/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	IAVED IQBAL SECURITIES (PVT.) LIMITED-LSI		NCCPL/CRO/189/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	NUA SECURITIES (PVT.) LIMITED-LSI		NCCPL/CRO/188/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
			NCCPL/CS/386/18	Termination of MF CM Account under Regulation 18.1.1(i) of NCCPL Regulations, 2015 On account of self termination				
			NCCPL/CRO/192/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
	KPERT SECURITIES (PRIVATE) LIMITED		NCCPL/CRO/186/18	Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB				
	A.S.SECURITIES (PRIVATE) LIMITED		NCCPL/CRO/183/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
			NCCPL/CRO/181/18	Warning issued under Regulation 14.3 of NCCPI Regulations, 2015 On account of matter pertaining to submission of NCB				
	AZEE SECURITIES		NCCPL/CRO/182/18	Warning issued under Regulation 18.1.1(e) of NCCPI Regulations, 2015 on account of matter pertaining to delay in payment of money obligation				
93 1	MARKET 786 (PVT.) LIMITED	15-Oct-18	NCCPL/CRO/179/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations				
94 (CAMCO (PVT.) LIMITED		NCCPL/CRO/178/18	Revocation of Clearing Member Pursuant to action taken by PSX				
	FIRST CAPITAL EQUITIES LIMITED		NCCPL/CRO/176/18	Revocation of Clearing Member Pursuant to settlement of money obligation				
96	INA SECURITIES (PVT) LTD	9-Oct-18	NCCPL/CRO/177/18	Revocation of Clearing Member Pursuant to action taken by PSX				
	FIRST CAPITAL EQUITIES LIMITED		NCCPL/CRO/175/18	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation				
98	MGM SECURITIES (PVT.) LIMITED	4-Oct-18	NCCPL/CRO/170/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations				
99 (CASSIM INVESTMENTS (PVT.) LIMITED	4-Oct-18	NCCPL/CRO/171/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	ASDA SECURITIES (PVT.) LIMITED	4-Oct-18	NCCPL/CRO/172/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	B&B SECURITIES(PVT.) LIMITED		NCCPL/CRO/169/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	APEX CAPITAL SECURITIES (PVT) LIMITED	18-Sep-18	NCCPL/CRO/157/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
603 (CAMCO (PVT.) LIMITED	18-Sep-18	NCCPL/CRO/165/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
604	NA SECURITIES (PVT) LTD	18-Sep-18	NCCPL/CRO/158/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
	PROGRESSIVE INV. MANAGEMENT (PVT) LTD.		NCCPL/CRO/160/18	Revocation of Clearing Member Pursuant to action taken by CDC				
606	KPERT SECURITIES (PRIVATE) LIMITED		NCCPL/CRO/156/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
607	MSD CAPITAL EQUITIES (PVT) LTD.	18-Sep-18	NCCPL/CRO/161/18	Revocation of Clearing Member Pursuant to action taken by PSX				
	APEX CAPITAL SECURITIES (PVT) LIMITED		NCCPL/CRO/164/18	Revocation of Clearing Member Pursuant to action taken by PSX				
	MSD CAPITAL EQUITIES (PVT) LTD.	18-Sep-18	NCCPL/CRO/159/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
	CMA SECURITIES (PVT.) LIMITED		NCCPL/CRO/162/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
	PROGRESSIVE INV. MANAGEMENT (PVT) LTD.		NCCPL/CRO/156/18	Restriction of access to services under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC				
	MOHAMMAD MUNIR MOHAMMAD		NCCPL/CRO/153/18	Warning issued on account of matters forwarded by the Commission				
613 (CONTINENTAL CAPITAL MANAGEMENT (PVT.) LIMITED	12-Sep-18	NCCPL/CRO/152/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
			NCCPL/CRO/146/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	SUMMIT CAPITAL (PVT.) LIMITED		NCCPL/CRO/147/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
			NCCPL/CRO/150/18	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
	SMAC INVESTMENTS (SMC-PVT) LTD.		NCCPL/CS/319/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
	FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED		NCCPL/CRO/148/18	Revocation of Clearing Member Pursuant to action taken by PSX				
	SAIMA QAISER SECURITIES (PVT) LIMITED		NCCPL/CRO/145/18	Revocation of Clearing Member Pursuant to action taken by PSX				
			NCCPL/CRO/142/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations				
	M. TARIQ MOTI SECURITIES (PVT.) LIMITED		NCCPL/CRO/139/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	SAKARWALA CAPITAL SECURITIES (PVT.) LIMITED		NCCPL/CRO/141/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	SAIMA QAISER SECURITIES (PVT) LIMITED		NCCPL/CRO/143/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
			NCCPL/CRO/140/18	Revocation of Clearing Member On account of notice issued by SECP				
	OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED		NCCPL/CRO/129/18	Revocation of Clearing Wember Pursuant to action taken by PSX				
	VALUE STOCK AND COMMODITIES (PVT.) LTD.		NCCPL/CRO/130/18	Removal of restriction on opening of new client accounts of Clearing Member Pursuant to action taken by PSX				
			NCCPL/CRO/130/18 NCCPL/CRO/124/18	Warning issued on account of inspection conducted under Joint Inspection Regulations				
	BISMILLAH SECURITIES (PVT.) LIMITED	26-Jul-18 26-Jul-18	NCCPL/CRO/124/18 NCCPL/CRO/127/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	DARSON SECURITIES (PVT.) LIMITED		NCCPL/CRO/127/18 NCCPL/CRO/117/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	FALKI CAPITAL (PVT.) LIMITED		NCCPL/CRO/126/18 NCCPL/CRO/128/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015				
	GULREZ SECURITIES (PVT.) LIMITED			Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	RAHAT SECURITIES LIMITED		NCCPL/CRO/125/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	AHSAM SECURITIES (PVT.) LIMITED		NCCPL/CRO/121/18	Revocation of Clearing Member On account of notice issued by SECP				
	R.F.J. EQUITY (PRIVATE) LIMITED		NCCPL/CRO/122/18	Revocation of Clearing Member On account of notice issued by SECP				
	SMAC INVESTMENTS (SMC-PVT) LTD.		NCCPL/CRO/108/18	Revocation of Clearing Member On account of notice issued by SECP				
	GROWTH SECURITIES (PVT.) LIMITED COMMISSION		NCCPL/CRO/90/18	Warning issued on account of matters forwarded by the Commission				
			NCCPL/CRO/92/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	FAIR EDGE SECURITIES (PVT.) LIMITED		NCCPL/CRO/107/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
39			NCCPL/CRO/108/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
	FIRST FOURTY AND ADADA	17-Jul-18	NCCPL/CRO/106/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
640 I								
640 I	FIRST EQUITY MODARABA (QBAL USMAN KODVAVI SECURITIES (PVT.) LIMITED SEVEN STAR SECURITIES (PVT.) LIMITED	17-Jul-18	NCCPL/CRO/89/18 NCCPL/CRO/91/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				

		National Clearing Company of Pakistan Limited Disciplinary actions taken against the TRE Certificate Holders							
S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action					
643		16-Jul-18	NCCPL/CRO/93/18	Revocation of Clearing Member On account of notice issued by SECP					
644		6-Jul-18 5-Jul-18	NCCPL/CS/266/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination					
645 646	FAIR DEAL SECURITIES (PVT.) LTD. SAL SECURITIES (PVT.) LIMITED	5-Jul-18 3-Jul-18	NCCPL/CS/262/18 NCCPL/CRO/86/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Warning Issued on account of Inspection conducted under Joint Inspection Regulations					
647		3-Jul-18	NCCPL/CRO/88/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
648		29-Jun-18	NCCPL/CRO/85/18	Revocation of Clearing Member Pursuant to action taken by PSX					
649		28-Jun-18	NCCPL/CRO/84/18	Revocation of Clearing Member Pursuant to action taken by PSX					
650		27-Jun-18	NCCPL/CS/242/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination					
651		25-Jun-18	NCCPL/CRO/83/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX					
652 653		20-Jun-18 20-Jun-18	NCCPL/CRO/82/18 NCCPL/CRO/81/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX					
654		20-Jun-18 19-Jun-18	NCCPL/CRO/81/18 NCCPL/CRO/79/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to settlement of money obligation					
655	AMCAP SECURITIES (PVT.) LTD.	19-Jun-18	NCCPL/CRO/78/18	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation					
656		14-Jun-18	NCCPL/CRO/75/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
657	DIN CAPITAL LIMITED	14-Jun-18	NCCPL/CRO/74/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
658		14-Jun-18	NCCPL/CRO/76/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
659		13-Jun-18	NCCPL/CS/235/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination					
660		8-Jun-18	NCCPL/CRO/73/18	Warning issued on account of matters forwarded by the Commission					
661 662		8-Jun-18 8-Jun-18	NCCPL/CRO/72/18 NCCPL/CRO/70/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
663		8-Jun-18 8-Jun-18	NCCPL/CRO/70/18 NCCPL/CRO/71/18	notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015					
664		8-Jun-18	NCCPL/CRO/69/18	Notice issued to resolve open observation identified under inspection conducted under John inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under John inspection Regulations, 2015					
665	ABID ALI HABIB SECURITIES (PVT) LIMITED	29-May-18	NCCPL/CS/209/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination					
666	ASKARI SECURITIES LIMITED	18-May-18	NCCPL/CRO/67/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
667	DOSSLANI SECURITIES (PVT.) LIMITED	18-May-18	NCCPL/CRO/68/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
668			NCCPL/CRO/66/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
669		17-May-18	NCCPL/CS/196/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination					
670 671	FAIR DEAL SECURITIES (PVT) LTD. KSR STOCK BROKERAGE (PVT) LTD.	16-May-18 10-May-18	NCCPL/CRO/69/18 NCCPL/CS/188/18	Restriction of access to services under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 On account of self termination					
672		20-Apr-18	NCCPL/CRO/48/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations					
673		20-Apr-18	NCCPL/CRO/44/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
674	ABBASI SECURITIES (PVT.) LIMITED	20-Apr-18	NCCPL/CRO/45/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015					
675		20-Apr-18	NCCPL/CRO/46/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
676		20-Apr-18	NCCPL/CRO/47/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
677		20-Apr-18	NCCPL/CRO/43/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
678 679		19-Mar-18 19-Mar-18	NCCPL/CRO/42/18 NCCPL/CRO/43/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX					
680		12-Mar-18	NCCPL/CS/112/18	Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of self-Termination					
681			NCCPL/CRO/28/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
682		12-Mar-18	NCCPL/CRO/33/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
683	ICON CAPITAL MANAGEMENT (PVT.) LIMITED	12-Mar-18	NCCPL/CRO/29/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
684		12-Mar-18	NCCPL/CRO/31/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
685 686		12-Mar-18 12-Mar-18	NCCPL/CRO/30/18 NCCPL/CRO/27/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
687		12-Mar-18	NCCPL/CRO/32/18	Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015					
688		9-Mar-18	NCCPL/CRO/35/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX					
689	128 SECURITIES (PVT) LTD.	1-Mar-18	NCCPL/CRO/23/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX					
690		23-Feb-18	NCCPL/CS/93/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination					
691		29-Jan-18	NCCPL/CS/56/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination					
692 693		25-Jan-18	NCCPL/CS/53/18 NCCPL/CS/50/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination					
693 694		23-Jan-18 22-Jan-18	NCCPL/CS/50/18 NCCPL/CRO/8/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
695		22-Jan-18 22-Jan-18	NCCPL/CRO/10/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
696		22-Jan-18	NCCPL/CRO/6/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015					
697	SHERMAN SECURITIES PVT. LIMITED	22-Jan-18	NCCPL/CRO/7/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015					
698		18-Jan-18	NCCPL/CRO/009/18	Revocation of Clearing Member Pursuant to action taken by CDC					
699		4-Jan-18	NCCPL/CS/08/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination					
700	() /	1-Jan-18	NCCPL/CRO/001/18	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX					
701 702		1-Jan-18 27-Dec-17	NCCPL/CRO/002/18 NCCPL/CRO/321/17	Revocation of Clearing Member Pursuant to action taken by PSX Warning issued on account of matters forwarded by the Commission					
703		26-Dec-17	NCCPL/CRO/321/17 NCCPL/CRO/321/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX					
704		21-Dec-17	NCCPL/CS/510/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination					
705		20-Dec-17	NCCPL/CRO/312/17	Restriction of access to services under Regulation 18.1.1(°c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC					
706	K.H.S. SECURITIES (PVT.) LIMITED.	19-Dec-17	NCCPL/CRO/311/17	Revocation of Clearing Member Pursuant to action taken by PSX					
707		19-Dec-17	NCCPL/CRO/302/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
708		19-Dec-17	NCCPL/CRO/303/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
709 710		19-Dec-17	NCCPL/CRO/301/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015					
710 711	TECHNO FUNDAMENTAL SECURITIES (PVT.) LIMITED INVEST FORUM SECURITIES (PVT) LIMITED	19-Dec-17 14-Dec-17	NCCPL/CRO/300/17 NCCPL/CRO/309/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP					
712		14-Dec-17	NCCPL/CRO/309/17 NCCPL/CRO/310/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP					
713		12-Dec-17	NCCPL/CRO/307/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP					
714		12-Dec-17	NCCPL/CRO/306/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP					
715	JAHANZAIB SECURITIES (PVT) LIMITED	12-Dec-17	NCCPL/CRO/305/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP					
,13				In the second se					
716		11-Dec-17 5-Dec-17	NCCPL/CS/480/17 NCCPL/CS/472/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination					

		Clearing Company of Pakistan Limited ions taken against the TRE Certificate Holders		
S. No		Date	Order/ Notice Reference	Description of Disciplinary action
		30-Nov-17	NCCPL/CRO/296/17	Suspension under Regulation of NCCPL Regulations, 2015 Pursuant to action taken by PSX
719 720		28-Nov-17 28-Nov-17	NCCPL/CRO/286/17 NCCPL/CRO/293/17	Warning issued on account of inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
721		28-Nov-17	NCCPL/CRO/288/17	Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015
722	BMA CAPITAL MANAGEMENT LIMITED	28-Nov-17	NCCPL/CRO/292/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
723		28-Nov-17	NCCPL/CRO/287/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
724		28-Nov-17	NCCPL/CRO/294/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
725 726		23-Nov-17 17-Nov-17	NCCPL/CRO/290/17 NCCPL/CRO/289/17	Revocation of Clearing Member On account of notice issued by SECP Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
727		16-Nov-17	NCCPL/CS/433/17 NCCPL/CS/433/17	Suspension under Regulation 18.1.1(i) & 18.2.1 regulations, 2015 On account or notice issued by Sec. Termination under Regulation 18.1.1(i) & 18.3. of NCCPt Regulations, 2015 On account of Self Termination
728	MILLENIUM SECURITIES AND INVESTMENT (PVT) LIMITED	7-Nov-17	NCCPL/CRO/281/17	Restriction of access to services under Regulation 18.1.1(°c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
729	WISDOM SECURITIES (PVT) LIMITED	7-Nov-17	NCCPL/CS/410/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
730	DIN CAPITAL LTD.	7-Nov-17	NCCPL/CRO/279/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
731	SHAUKAT SHAFI SECURITIES (PVT.) LIMITED	1-Nov-17	NCCPL/CRO/277/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
732 733	SCHON CAPITAL MARKETS LIMITED LUXOR SECURITIES (SMC-PVT) LIMITED	1-Nov-17 1-Nov-17	NCCPL/CS/405/17 NCCPL/CS/402/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
734		31-Oct-17	NCCPL/CS/402/17 NCCPL/CRO/276/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
735		25-Oct-17	NCCPL/CS/394/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
736		20-Oct-17	NCCPL/CRO/267/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
737		20-Oct-17	NCCPL/CRO/268/17	Further Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
738		20-Oct-17	NCCPL/CRO/266/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
739 740		20-Oct-17 20-Oct-17	NCCPL/CRO/265/17 NCCPL/CRO/264/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
741	SWITCH SECURITIES (PVT) LIMITED	13-Oct-17	NCCPL/CRO/264/17 NCCPL/CRO/262/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
742		13-Oct-17	NCCPL/CRO/261/17	Josephinion miner againston 1.2(a) of nece 1 regulations, 2021 on account of notice issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of inspection conducted under Joint Inspection Regulations See 1. (a) 1. (b) 1. (c) 1.
743	NETWORTH SECURITIES LIMITED	13-Oct-17	NCCPL/CRO/253/17	Warning issued on account of inspection conducted under Joint inspection Regulations
744		13-Oct-17	NCCPL/CRO/252/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
745		13-Oct-17	NCCPL/CRO/259/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
746		13-Oct-17	NCCPL/CRO/87/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
747 748		13-Oct-17 13-Oct-17	NCCPL/CRO/257/17 NCCPL/CRO/255/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
749		13-Oct-17	NCCPL/CRO/253/17 NCCPL/CRO/260/17	Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015
750		13-Oct-17	NCCPL/CRO/256/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
751		13-Oct-17	NCCPL/CRO/254/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
752		12-Oct-17	NCCPL/CS/386/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
753		5-Oct-17	NCCPL/CS/378/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
754 755		22-Sep-17 21-Sep-17	NCCPL/CRO/243/17 NCCPL/CRO/241/17	Revocation of Clearing Member Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
756		21-Sep-17 21-Sep-17	NCCPL/CRO/241/17 NCCPL/CRO/242/17	Restriction of access to services under Regulation 18.1.1(t) & 16.5.01 NCCP. Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(t) & 18.3.01 NCCP. Regulations, 2015 Pursuant to action taken by PSX
757		15-Sep-17	NCCPL/CRO/237/17	Restriction under Regulation 18.1.1(e), 18.2.2 & 18.3 of NCCPL Regulations, 2015, on account of matters identified under Joint Inspection
758		25-Aug-17	NCCPL/CRO/234/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
759		25-Aug-17	NCCPL/CRO/233/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
760		25-Aug-17	NCCPL/CRO/235/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
761 762		22-Aug-17 15-Aug-17	NCCPL/CS/299/17 NCCPL/CS/292/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
763		9-Aug-17	NCCPL/CS/292/17 NCCPL/CRO/226/17	Revocation of Clearing Member Pursuant to action taken by PSX
764		7-Aug-17	NCCPL/CS/284/17	Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
765		3-Aug-17	NCCPL/CRO/220/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
766	JAVED OMER VOHRA AND COMPANY (PVT) LIMITED	31-Jul-17	NCCPL/CS/273/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
767		25-Jul-17	NCCPL/CRO/213/17	Warning issued under Regulation 18.1.1(e) of NCCPI Regulations, 2015 on account of matter pertaining to delay in payment of money obligation
768 769		25-Jul-17 24-Jul-17	NCCPL/CRO/214/17 NCCPL/CRO/212/17	Warning Issued under Regulation 18.1.1(e) of NCCPI Regulations, 2015 on account of matter pertaining to delay in payment of money obligation Restoration of Clearing Member Pursuant to action taken by PSX
769 770		24-Jul-17 18-Jul-17	NCCPL/CRO/212/17 NCCPL/CRO/210/17	Restoration of Clearing Member Pursuant to action taken by PSX Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
771		5-Jul-17	NCCPL/CS/248/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
772	GLOBAL SECURITIES (PVT) LIMITED	5-Jul-17	NCCPL/CS/250/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
773		22-Jun-17	NCCPL/CRO/200/17	Revocation of Clearing Member Pursuant to settlement of money obligation
774		22-Jun-17	NCCPL/CS/240/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
775		22-Jun-17	NCCPL/CRO/199/17	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
776 777		19-Jun-17 19-Jun-17	NCCPL/CRO/140/17 NCCPL/CRO/189/17	Warning issued on account of inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
778		19-Jun-17 19-Jun-17	NCCPL/CRO/189/17 NCCPL/CRO/190/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
779		19-Jun-17	NCCPL/CRO/192/17	Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
780	IGI FINEX LIMITED	19-Jun-17	NCCPL/CRO/191/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
781		19-Jun-17	NCCPL/CRO/193/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
782		16-Jun-17	NCCPL/CRO/197/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
783		16-Jun-17	NCCPL/CRO/195/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
784 785		16-Jun-17 16-Jun-17	NCCPL/CS/229/17 NCCPL/CS/228/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
786	AB EQUITIES (PRIVATE) LIMITED	16-Jun-17	NCCPL/CS/228/17 NCCPL/CRO/196/17	Suspension under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
787	DAWOOD EQUITIES LTD.	5-Jun-17	NCCPL/CRO/188/17	Revocation of Clearing Member Pursuant to settlement of money obligation
788	DAWOOD EQUITIES LTD.	5-Jun-17	NCCPL/CRO/187/17	Suspension under Regulation 18.1.1(d) & 18.3 of NCCPL Regulations, 2015 On account of default of money obligation
789		1-Jun-17	NCCPL/CRO/186/17	Restriction of access to services on opening of new client accounts, pursuant to action taken by PSX
790		1-Jun-17	NCCPL/CS/204/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
791 792		30-May-17	NCCPL/CRO/185/17 NCCPL/CRO/181/17	Suspension under Regulation 18.1.1(°) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Suspension under Regulation 18.1.1(°a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
/52	AND SECONTIES (FVI) EID.	23-IVIdY-1/	IVCCFL/CRU/181/1/	Pospension under regulation 10.1.1(a) & 10.3 of rectrice Regulations, 2013 on account of notice issued by SECP

	National Clearing Company of Pakistan Limited Disciplinary actions taken against the TRE Certificate Holders								
S. No Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action						
793 AHSAM SECURITIES (PVT.) LIMITED	29-May-17	NCCPL/CRO/183/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
794 ASHFAQ ASHRAF SECURITIES (PVT.) LTD.			Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
795 BMS CAPITAL (PVT) LTD.	29-May-17		Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
796 CHIPPA SECURITIES (PVT.) LTD. 797 FORT SECURITIES (PVT) LTD.		NCCPL/CRO/175/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
797 FORT SECURITIES (PVT) LTD. 798 FORTRESS FINANCIAL SERVICES (PVT.) LIMITED	29-May-17 29-May-17	NCCPL/CRO/172/17 NCCPL/CRO/171/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
799 H.H.K. SECURITIES (PVT) LTD.	29-May-17	NCCPL/CRO/171/17 NCCPL/CRO/170/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
800 INTERACTIVE SECURITIES (PVT.) LIMITED		NCCPL/CRO/156/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
801 MAC SECURITIES (PRIVATE) LIMITED	29-May-17		Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
802 MAS CAPITAL SECURITIES (PVT.) LIMITED		NCCPL/CRO/157/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
803 MOTIWALA SECURITIES (PVT.) LTD. 804 PRIME CAPITAL MANAGEMENT (PRIVATE) LIMITED		NCCPL/CRO/179/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
804 PRIME CAPITAL MANAGEMENT (PRIVATE) LIMITED 805 R.A. SECURITIES (PVT.) LIMITED	29-May-17 29-May-17	NCCPL/CRO/168/17 NCCPL/CRO/158/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
806 R.F.J. EQUITY (PRIVATE) LIMITED		NCCPL/CRO/158/17 NCCPL/CRO/167/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
807 S M SECURITIES (PRIVATE) LIMITED		NCCPL/CRO/166/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
808 SHER CAPITAL EQUITIES (PVT.) LTD.		NCCPL/CRO/164/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
809 SMAC INVESTMENTS (SMC-PVT) LTD.		NCCPL/CRO/163/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
810 SOUTH ASIAN SECURITIES (PRIVATE) LIMITED		NCCPL/CRO/162/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
811 UNION SECURITIES (PVT) LTD.	29-May-17	NCCPL/CRO/161/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
812 VENUS SECURITIES (PVT.) LIMITED		NCCPL/CRO/160/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
813 KHAYYAM SECURITIES (PVT) LIMITED 814 ZM CAPITAL (PVT) LIMITED		NCCPL/CRO/169/17 NCCPL/CRO/159/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
814 ZM CAPITAL (PVI) LIMITED 815 MY SECURITIES (PVT) LIMITED		NCCPL/CRO/159/17 NCCPL/CRO/180/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
816 ABID ALI HABIB SECURITIES (PVT) LIMITED		NCCPL/CRO/180/17 NCCPL/CRO/182/17	Suspension under Regulation 18.1.1(a) & 18.5 of MCCPL Regulations, 2015 of account of notice issued by SECP Suspension under Regulation 18.1.1(a) & 18.3 of MCCPL Regulations, 2015 On account of notice issued by SECP						
817 JAWED ZAKARIYA GULABI SECURITIES (PVT) LIMITED		NCCPL/CRO/177/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
818 BRIGHT INVESTMENT AND SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/173/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
819 MAN SECURITIES (PVT) LIMITED		NCCPL/CRO/176/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
820 SCHON CAPITAL MARKETS LIMITED		NCCPL/CRO/165/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP						
821 FINE SECURITIES (SMC-PVT) LIMITED	26-May-17	NCCPL/CRO/153/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX						
822 LUXOR SECURITIES (SMC-PVT) LIMITED 823 TUMBI SECURITIES (PVT) LIMITED		NCCPL/CRO/154/17 NCCPL/CS/198/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination						
824 LIVE SECURITIES LIMITED		NCCPL/CS/198/17 NCCPL/CS/200/17	Termination under Regulation 18.1.1(i) & 18.3 of NCLP1 Regulations, 2015 On account of self Termination Termination under Regulation 18.1.1(i) & 18.3 of NCLP1 Regulations, 2015 On account of self Termination						
825 FIRST PAKISTAN SECURITIES LIMITED		NCCPL/CS/184/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination						
826 MIAN PARVEZ ASLAM SECURITIES (PVT) LIMITED		NCCPL/CRO/152/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX						
827 INFINITE SECURITIES LIMITED	23-May-17	NCCPL/CRO/141/17	Warning issued on account of inspection conducted under Joint Inspection Regulations						
828 AMER RIAZ SECURITIES (PVT.) LIMITED		NCCPL/CRO/139/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015						
829 AZEE SECURITIES PVT LIMITED			Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015						
830 JAMSHAID AND HASAN SECURITIES (PVT.) LIMITED		NCCPL/CRO/143/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015						
831 PINE SECURITIES (PVT.) LIMITED 832 PROGRESSIVE SECURITIES (PVT.) LIMITED		NCCPL/CRO/144/17 NCCPL/CRO/145/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015						
833 MUHAMMAD ANAF KAPADIA SECURITIES (SMC-PVT) LIMITED		NCCPL/CS/181/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination						
834 LIVE SECURITIES LIMITED	12-May-17		Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX						
835 MSD CAPITAL EQUITIES (PVT) LTD.		NCCPL/CRO/134/17	Revocation of Clearing Member Pursuant to action taken by PSX						
836 MAM SECURITIES (PVT) LIMITED	10-May-17		Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL						
837 TARIQ SAYEED SECURITIES (PVT) LIMITED			Revocation of Clearing Member Pursuant to action taken by CDC & PSX						
838 MSD CAPITAL EQUITIES (PVT) LTD. 839 AMCAP SECURITIES (PVT.) LTD.	27-Apr-17 25-Apr-17	NCCPL/CRO/112/17 NCCPL/CRO/111/17	Restriction of access to services under Regulation 18.1.1('c), 18.1.1(k) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC						
840 AMCAP SECURITIES (PVT.) LTD. AMCAP SECURITIES (PVT.) LTD.	25-Apr-17 5-Apr-17	NCCPL/CRO/111/17 NCCPL/CRO/97/17	Restoration of sale side transactions of Clearing Member Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC						
841 AL HAQ SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/87/17 NCCPL/CRO/88/17	Warning issued on account of inspection conducted under Joint Inspection Regulations, 2013 Full suant to action taken by CDC						
842 PEARL SECURITIES LIMITED			Warning issued on account of inspection conducted under Joint inspection Regulations						
843 ZAFAR SECURITIES (PVT.) LIMITED	24-Mar-17		Warning issued on account of inspection conducted under Joint inspection Regulations						
844 BIPL SECURITIES (PVT.) LIMITED			Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015						
845 HMC STOCKS (SMC-PRIVATE) LIMITED			Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015						
846 JAVED IQBAL SECURITIES (PVT.) LIMITED	24-Mar-17		Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015						
847 MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES (PVT.) LIMITED 848 NEW PEAK SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/84/17 NCCPL/CRO/83/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015						
848 NEW PEAK SECURITIES (PVT.) LIMITED 849 PASHA SECURITIES (PVT.) LIMITED	24-Mar-17 24-Mar-17		Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015						
850 INVEST FORUM (PVT.) LIMITED			Suspension under Regulation 18.1.1(b) & 18.3 of NCCPI Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(b) & 18.3 of NCCPI Regulations, 2015 Pursuant to action taken by PSX						
851 HK SECURITIES PRIVATE LIMITED			Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX						
852 S.Z SECURITIES (PVT) LIMITED	14-Mar-17	NCCPL/CRO/66/17	Suspension under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC						
853 TARIQ SAYEED SECURITIES (PVT) LIMITED	7-Mar-17	NCCPL/CRO/64/17	Restriction of access to services under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC						
854 AMER SECURITIES (PVT.) LIMITED	3-Mar-17	NCCPL/CRO/50/17	Warning issued on account of Inspection conducted under Joint inspection Regulations						
855 ARIF HABIB LIMITED 856 GENERAL INVESTMENT & SECURITIES (PVT.) LIMITED	3-Mar-17 3-Mar-17		Warning issued on account of Inspection conducted under Joint Inspection Regulations						
856 GENERAL INVESTMENT & SECURITIES (PVT.) LIMITED 857 GPH SECURITIES (PVT.) LIMITED	3-Mar-17 3-Mar-17		Warning issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of inspection conducted under Joint Inspection Regulations						
857 GPH SECURITIES (PVI.) LIMITED 858 KHS SECURITIES (PVI.) LIMITED	3-Mar-17		Warning issued on account or inspection conducted under Joint inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations						
859 M. R. SECURITIES (SMC-PVT) LIMITED	1-Mar-17	NCCPL/CRO/70/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL						
860 AWJ SECURITIES (PVT) LIMITED	28-Feb-17	NCCPL/CRO/58/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL						
861 UNIVERSAL EQUITES (PVT) LIMITED	27-Feb-17	NCCPL/CRO/42/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination						
862 MAM SECURITIES (PVT) LIMITED			Suspension under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC						
863 SONIA SHAHZAD SECURITIES (PVT) LIMITED	2-Feb-17	NCCPL/CRO/21/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination						
M. R. SECURITIES (SMC-PVT) LIMITED	1-Feb-17	NCCPL/CRO/20/17	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation						
865 SUNRISE CAPITAL (PRIVATE) LIMITED 866 ZAFAR SECURITIES (PVT) LTD.	30-Jan-17 30-Jan-17	NCCPL/CS/52/17 NCCPL/CS/16/17	Suspension under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Revocation of Clearing Member Pursuant to action taken by CDC						
866 ZAFAR SECURITIES (PVT) LTD. ZAFAR SECURITIES (PVT) LTD.	30-Jan-17 30-Jan-17	NCCPL/CS/16/17 NCCPL/CRO/15/17	Restriction of access to services under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC						
	1		And the second section and the second section when the second section when the second section when the second section						

	National Clearing Company of Pakistan Limited Disciplinary actions taken against the TRE Certificate Holders							
S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action				
	AWJ SECURITIES (PVT) LIMITED	30-Jan-17	NCCPL/CRO/17/17	Suspension under Regulation 18.1.1('c) of NCCPL Regulations, 2015 Pursuant to action taken by CDC				
869 870	ZAFAR MOTI CAPITAL SECURITIES (PVT) LTD. ZAFAR MOTI CAPITAL SECURITIES (PVT) LTD.	18-Jan-17 17-Jan-17	NCCPL/CS/37/17 NCCPL/CS/36/17	Revocation of Clearing Member Pursuant to settlement of money obligation Suspension under Regulation 18.1.1(d) & 18.3 of NCCPL Regulations, 2015 On account of default of money obligation				
	MASHHADI SECURITIES (PVT) LIMITED	13-Jan-17	NCCPL/CS/33/17 NCCPL/CS/33/17	Suspension under Regulation 18.1.1(i) & 18.5 of NCCFL Regulations, 2013 of account of default of fining doingation Termination under Regulation 18.1.1(i) & 18.3 of NCCFL Regulations, 2013 of account of Self Termination				
	AM CHAUDHRY SECURITIES (PVT.) LIMITED	13-Jan-17	NCCPL/CS/34/17	Revocation of Clearing Member Pursuant to action taken by CDC				
873	AWJ SECURITIES (PVT) LIMITED	13-Jan-17	NCCPL/CS/31/17	Revocation of Clearing Member Pursuant to settlement of money obligation				
874	AWJ SECURITIES (PVT) LIMITED	12-Jan-17	NCCPL/CS/26/17	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation				
875 876	R.T SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/19/17,	Warning issued on account of Inspection conducted under Joint Inspection Regulations				
876 877	CONCORDIA SECURITIES (PVT.) LIMITED HAMZA FARHAD SECURITIES (PVT.) LIMITED	9-Jan-17 9-Jan-17		Warning issued on account of Inspection conducted under Joint Inspection Regulations Warning issued on account of Inspection conducted under Joint Inspection Regulations				
878	ZAHID LATIF KHAN SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/21/17,	Warning issued on account of inspection conducted under Joint Inspection Regulations				
879	HORIZON SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/18/17,	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015				
880	FIRST STREET CAPITAL (PVT.) LIMITED	9-Jan-17	NCCPL/CS/16/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations				
881	DIYANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED	6-Jan-17	NCCPL/CS/16/17	Revocation of Clearing Member Pursuant to action taken by CDC				
882	S A SECURITIES (PVT) LIMITED	6-Jan-17	NCCPL/CS/15/17	Revocation of Clearing Member Pursuant to action taken by CDC				
883	ALLIED SECURITIES (PVT.) LIMITED	2-Jan-17	NCCPL/CS/06/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC				
884 885	AB EQUITIES (PRIVATE) LIMITED AKD ANALYTICS (PVT) LIMITED	2-Jan-17 2-Jan-17	NCCPL/CS/08/17 NCCPL/CS/09/17	Restriction of access to services under Regulation 18.1.1("c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Restriction of access to services under Regulation 18.1.1("c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC				
886	S A SECURITIES (PVT) LIMITED	2-Jan-17 2-Jan-17	NCCPL/CS/10/17 NCCPL/CS/10/17	Restriction of access to services under Regulation 18.1.1(-) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC				
887	AM CHAUDHRY SECURITIES (PVT.) LIMITED	2-Jan-17	NCCPL/CS/07/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of MCCP. Regulations, 2015 Pursuant to action taken by CDC				
888	IS GLOBAL CAPITAL LIMITED	2-Jan-17	NCCPL/CS/5/17,	Warning issued on account of inspection conducted under Joint Inspection Regulations				
389	MND INVESTMENT (PVT.) LIMITED	2-Jan-17	NCCPL/CS/3/17,	Warning issued on account of Inspection conducted under Joint Inspection Regulations				
	SD MIRZA SECURITIES (PVT.) LIMITED	2-Jan-17		Warning issued on account of Inspection conducted under Joint Inspection Regulations				
891	DAWOOD EQUITIES LTD.	20-Dec-16	NCCPL/CS/738/16	Revocation of Clearing Member Pursuant to settlement of money obligation				
892 893	DAWOOD EQUITIES LTD. DAWOOD EQUITIES LTD.	19-Dec-16 14-Dec-16		Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation				
893 894	DAWOOD EQUITIES LTD.	14-Dec-16		Revocation of Clearing Member Pursuant to settlement of money obligation Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation				
895	AM CHAUDHRY SECURITIES (PVT.) LIMITED	7-Dec-16	NCCPL/CS/715/16	Josephison under regulation 1.2(b) of rect. regulations, 2021 On account of default of money doligation. Revocation of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX				
896	AM CHAUDHRY SECURITIES (PVT.) LIMITED	30-Nov-16	NCCPL/CS/702/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
897	PARAMOUNT SECURITIES (PVT) LIMITED	28-Nov-16	NCCPL/CS/697/16	Termination under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
898	MALIK SECURITIES (PVT) LIMITED	28-Nov-16	NCCPL/CS/696/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
899	INVEST FORUM (SMC-PVT) LIMITED	17-Nov-16		Revocation of Clearing Member Pursuant to action taken by PSX				
900	FIRST PUNJAB MODARBA TAHA SECURITIES (PVT) LIMITED	14-Nov-16	NCCPL/CS/668/16 NCCPL/CS/628/16	Termination under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC				
901	ABID INVESTMENTS (PVT) LIMITED	3-Nov-16	NCCPL/CS/626/16 NCCPL/CS/626/16	Termination under Regulation 18.1.1(i) of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
	FORT INVESTMENT (PVT) LIMITED	3-Nov-16	NCCPL/CS/629/16	Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
	MYM EQUITIES (PVT) LIMITED	3-Nov-16	NCCPL/CS/627/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
905	JCR CAPITAL SECURITIES (PVT) LTD.	1-Nov-16	NCCPL/CS/624/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 pursuant to action taken by PSX				
	SIS SECURITIES (PVT) LIMITED	26-Oct-16	NCCPL/CS/582/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
907	H. P. BYRAMJI & CO. (PVT) LIMITED	18-Oct-16	NCCPL/CS/547/16	Revocation of Clearing Member Pursuant to action taken by CDC				
908	H. P. BYRAMJI & CO. (PVT) LIMITED AZIZ DAWOOD SECURITIES (PVT) LIMITED	14-Oct-16 13-Oct-16	NCCPL/CS/533/16 NCCPL/CS/528/16	Restriction of access to services under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
	ESCORTS CAPITAL LIMITED	13-Oct-16	NCCPL/CS/525/16 NCCPL/CS/525/16	Suspension under Regulation 18.1.1(b) & 18.5 of NCEFL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(c) & 18.3 of NCEFL Regulations, 2015 Pursuant to action taken by PSX				
911	OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED	13-Oct-16	NCCPL/CS/526/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
912	PAK MEEZAN SECURITIES (PVT) LIMITED	13-Oct-16	NCCPL/CS/527/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
913	STOCKS VISION (PVT) LIMITED	13-Oct-16	NCCPL/CS/529/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
914	PROSPERITY SECURITIES (SMC-PVT) LIMITED	7-Oct-16	NCCPL/CS/523/16	Termination under Regulation 18.1.1(a) & 18.1.1(b) of NCCPL Regulations, 2015 On account of notice issued by SECP				
915	STAR SECURITIES (PVT) LIMITED	6-Oct-16	NCCPL/CS/519/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
916 917	BEAMING INVESTMENT & SECURITIES (PVT)LTD MBJ SECURITIES (PVT) LIMITED	30-Sep-16 30-Sep-16	NCCPL/CS/509/16 NCCPL/CS/508/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC				
917	FAITH SECURITIES (PVT) LIMITED	26-Sep-16	NCCPL/CS/508/16 NCCPL/CS/484/16	Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
919	TAHA SECURITIES (PVT) LIMITED	21-Sep-16	NCCPL/CS/470/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCP. Regulations, 2017 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(b) & 18.3 of NCCP. Regulations, 2015 Pursuant to action taken by PSX				
	PACE INVESTMENT AND SECURITIES (PVT) LIMITED	7-Sep-16	NCCPL/CS/446/16	Revocation of Clearing Member Pursuant to settlement of money obligation				
921	PACE INVESTMENT AND SECURITIES (PVT) LIMITED	6-Sep-16	NCCPL/CS/445/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation				
922	AKHBANI SECURITIES (SMC-PVT) LIMITED	6-Sep-16	NCCPL/CS/443/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
923	GHORYS SECURITIES (PVT) LIMITED	1-Sep-16	NCCPL/CS/435/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
924	SNM SECURITIES (PVT) LTD. AR FOLLITIES (PRIVATE) LIMITED	31-Aug-16	NCCPL/CS/430/16 NCCPL/CS/428/16	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by CDC				
925	STABLE SECURITIES (PVT) LIMITED	26-Aug-16 26-Aug-16		Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
	A.H.K.D. SECURITES (PVT) LTD.			Suspension under Regulation 18.1.1(b) & 18.3 of NCCF (Regulations, 2015 of usbank to action taken by FSX Suspension under Regulation 18.1.1(b) & 18.3 of NCCF (Regulations, 2015 of usbank to action taken by FSX				
928	MASHHADI SECURITIES (PVT) LIMITED			Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
929	QASIM MAHMOOD SECURITIES (SMC-PVT) LIMITED	26-Aug-16	NCCPL/CS/427/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
930	QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	26-Aug-16	NCCPL/CS/423/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
	SMB SECURITIS (PVT) LIMITED	26-Aug-16	NCCPL/CS/422/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
332	Y.S STOCKS (PVT) LIMITED	19-Aug-16	NCCPL/CS/414/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
933	SAIMA QAISER SECURITIES (PVT) LIMITED SAIMA QAISER SECURITIES (PVT) LIMITED		NCCPL/CS/411/16 NCCPL/CS/410/16	Revocation of Clearing Member Pursuant to settlement of money obligation Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation				
934	CASSIM INVESTMENTS (PRIVATE) LIMITED	17-Aug-16 12-Aug-16		Suspension under Regulation 18.1.1(0) or NCLY Regulations, 2015 on account or default or money obligation Revocation of Clearing Member Pursuant to action taken by CDC				
36	CASSIM INVESTMENTS (PRIVATE) LIMITED	11-Aug-16	NCCPL/CS/398/16	Restriction of access to services under Regulation 18.1.1(°) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC				
937	H.M.Y SECURITIES (PVT) LIMITED	3-Aug-16	NCCPL/CS/381/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
938	JAN MOHAMMAD A. LATIF NINI & SONS (PVT) LIMITED	28-Jul-16	NCCPL/CS/376/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
939	AMIN TAI SECURITIES (PVT) LIMITED	15-Jul-16	NCCPL/CS/356/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
940	SMART INVESTMENTS CAPITAL MANAGEMENT (PVT) LIMITED	13-Jul-16	NCCPL/CS/349/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination				
	ALPHA BETA CAPITAL MARKETS (PVT) LIMITED MALIK SECURITIES (PVT) LIMITED	13-Jul-16 11-Jul-16	NCCPL/CS/350/16 NCCPL/CS/344/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX				
J44 C	WINDLY SECONDIES (FVI) LIVITED	71-Jni-1p	INCCPL/C3/344/10	puspension under negalation 10.1.1[u] & 10.5 on NCCFE negalations, 2015 ruistalit to action taken by PSX				

_					
	National Clearing Company of Pakistan Limited				
	Disciplinary actions taken against the TRE Certificate Holders				
S. No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action	
943		30-Jun-16		Restriction of access to services under Regulation of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
944	INFINITE SECURITIES LIMITED	22-Jun-16	NCCPL/CS/309/16	Revocation of Clearing Member Pursuant to settlement of money obligation	
945	CONCEPT SECURITIES (PVT) LIMITED	22-Jun-16	NCCPL/CS/306/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination	
946	INFINITE SECURITIES LIMITED	22-Jun-16	NCCPL/CS/308/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation	
947	STOCK STREET (PVT) LIMITED	14-Jun-16	NCCPL/CS/295/16	Termination under Regulation 18.1.1('c) of NCCPL Regulations, 2015 Pursuant to action taken by CDC	
948	PLATINUM CAPITALL MANAGEMENT (PVT) LIMITED	14-Jun-16	NCCPL/CS/299/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination	
949	NIZAM SECURITIES (PVT) LIMITED	9-Jun-16	NCCPL/CS/291/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination	
950	KHAWAJA SECURITIES (PVT.) LIMITED	1-Jun-16	NCCPL/CS/284/16	Revocation of Clearing Member Pursuant to settlement of money obligation	
951	KHAWAJA SECURITIES (PVT.) LIMITED	1-Jun-16	NCCPL/CS/282/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation	
952	SWITCH SECURITIES (PVT) LIMITED	31-May-16	NCCPL/CS/279/16	Suspension under Regulation of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
953	SHEHZAD CHAMDIA SECURITIES (PVT) LIMITED	27-May-16	NCCPL/CS/264/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination	
954	MIKON SECURITIES (PVT) LIMITED	27-May-16	NCCPL/CS/275/16	Suspension under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC	
955	DUGAN SECURITIES (PVT) LIMITED	24-May-16	NCCPL/CS/247/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination	
956	SOHAIL RAZA MOOSANI (SMC-PVT) LIMITED	24-May-16	NCCPL/CS/244/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination	
957	MIAN MUHAMMAD AKRAM SECURITIES (PVT) LIMITED	17-May-16	NCCPL/CS/233/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination	
958	MUHAMMAD BASHIR KAMNANI SECURITIES (PVT) LIMITED	17-May-16	NCCPL/CS/232/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination	
959	STOCK STREET (PVT) LIMITED	2-May-16	NCCPL/CS/203/16	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
960	MUNAF SATTAR SECURITIES (PVT) LIMITED	2-May-16	NCCPL/CS/201/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination	
961	PAK MEEZAN SECURITIES (PVT) LIMITED	29-Apr-16	NCCPL/CS/200/16	Revocation of Clearing Member Pursuant to action taken by CDC	
962	H.R SECURITIES AND BROKERAGE (PVT) LIMITED	8-Apr-16	NCCPL/CS/119/16	Termination under Regulation 18.1.1('c) of NCCPL Regulations, 2015 Pursuant to action taken by CDC	
963	AL ASAR SECURITIES (PVT) LIMITED	8-Apr-16	NCCPL/CS/118/16	Termination under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC	
964	AKD ANALYTICS (PVT) LIMITED	6-Apr-16	NCCPL/CS/116/16	Revocation of Clearing Member Pursuant to action taken by CDC	
965	QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	25-Mar-16	NCCPL/CS/92/16	Revocation of Clearing Member Pursuant to action taken by PSX	
966	QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	16-Mar-16	NCCPL/CS/86/16	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
967	A.H.K.D. SECURITES (PVT) LTD.	4-Mar-16	NCCPL/CS/72/16	Revocation of Clearing Member Pursuant to action taken by CDC	
968	CMA SECURITIES (PVT.) LIMITED	3-Mar-16	NCCPL/CS/70/16	Revocation of Clearing Member Pursuant to action taken by PSX	
969	CMA SECURITIES (PVT.) LIMITED	3-Mar-16		Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
970	TARIQ SAYEED SECURITIES (PVT) LIMITED	2-Mar-16		Revocation of Clearing Member Pursuant to action taken by CDC	
971	ELIXIR SECURITIES PAKISTAN (PVT.) LTD.	25-Feb-16	NCCPL/CS/61/16	Suspension under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC	
972	ELIXIR SECURITIES PAKISTAN (PVT.) LTD.	24-Feb-16		Revocation of Clearing Member Pursuant to action taken by CDC	
973	SAIMA QAISER SECURITIES (PVT) LIMITED	22-Jan-16		Revocation of Clearing Member Pursuant to action taken by CDC	
974	JCR CAPITAL SECURITIES (PVT) LTD.	13-Jan-16		Revocation of Clearing Member Pursuant to action taken by CDC	
975	SAFE SECURITIES (PVT) LIMITED	6-Jan-16	NCCPL/CS/604/16	Termination under Regulation 18.1.1(i) of NCCPL Regulations, 2015 On account of Self Termination	

Updated till April 30, 2023