S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions Actions taken by Audit, inspection, Default and Arbitrage (AIDA):	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
1 2		Xpert Securities Limited MSD Capital Equities (Pvt.) Limited	SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS		18-Nov-19 18-Nov-19	TRADING TERMINALS SUSPENDED TRADING TERMINALS SUSPENDED
3 4	25 48	Vector Securities (Pvt.) Ltd. Next Capital Limited	Brokerage House was WARNED Brokerage House was WARNED		22-0ct-19 22-0ct-19	ACTIVE ACTIVE
5 6 7	52 61	N.U.A. Securities (Private) Ltd. Abbasi Securities (Private) Ltd.	Brokerage House was WARNED Brokerage House was ADVISED Brokerage House was ADVISED Brokerage House was PENALIZED and WARNED	Rs. 100,000/-	29-Oct-19 29-Oct-19 29-Oct-19	ACTIVE ACTIVE
8 9	68 77 94	Zafar Securities (Pvt.) Ltd. Best Securities (Private) Ltd. FDM Capital Securities (Pvt.) Ltd	Brokerage House was PENALIZED and WARNED Brokerage House was PENALIZED and WARNED Brokerage House was WARNED	Rs. 20,000/-	28-Oct-19 24-Oct-19	ACTIVE ACTIVE ACTIVE
10 11	117 121	Flore Capital Securities (PVL)Ltd. Salim Soor Securities (PVL) Ltd.	Brokerage House was WARNED Brokerage House was WARNED	-	24-Oct-19 28-Oct-19	ACTIVE ACTIVE
12 13	148 150	Oriental Securities (Private) Ltd Askari Securities Ltd.	Brokerage House was WARNED Brokerage House was ADVISED		22-Oct-19 18-Oct-19	ACTIVE ACTIVE
14 15	162 166	Aba Ali Habib Socurities (Pvt.) Ltd. Topline Securities Limited.	Brokerage House was WARNED Brokerage House was WARNED		24-Oct-19 28-Oct-19	ACTIVE ACTIVE
16 17	173 221	Spectrum Sec.Ltd. Millennium Brokerage (Pvt.) Limited	Brokerage House was WARNED Brokerage House was WARNED		21-Oct-19 24-Oct-19	ACTIVE ACTIVE
18 19	224 251	K.&.I Global Capital (Pvt.) Ltd. MND Investment (Pvt) Ltd	Brokerage House was WARNED Brokerage House was WARNED		24-0ct-19 25-0ct-19	ACTIVE ACTIVE
20 21	265 275	Infinite Securities Ltd. Rahat Securities Ltd	Brokerage House was WARNED Brokerage House was WARNED		24-Oct-19 24-Oct-19	ACTIVE ACTIVE
22	309 311	HMC Stocks (Pvt) Ltd. Abbasi & Company (Pvt) Ltd.	Brokerage House was WARNED Brokerage House was WARNED		25-Oct-19 28-Oct-19	ACTIVE ACTIVE ACTIVE
24 25 26	328 330 346	128 Securities (Pv1) Ltd Muhammad Amer Riaz Securities (Pv1) Ltd Strongman Securities (Pv1) Ltd	Brokerage House was ADVISED Brokerage House was WARNED Brokerage House was WARNED		28-Oct-19 28-Oct-19 22-Oct-19	ACTIVE ACTIVE ACTIVE
27	347 350	Stronginan Securities (Pvt) Ltd Amer Securities (Pvt) Ltd Guirez Securities (Pvt) Ltd	Brokerage House Must WARNED Brokerage House was WARNED Brokerage House was WARNED	Rs.20,000/-	25-Oct-19 21-Oct-19	ACTIVE ACTIVE
29	189 62	SURVEY SECURIORS (PRY LEG PERVEZ AHMED CAPITAL (PRIVATE) LIMITED WE Financial Services Limited	SWITCHING-OFF OF TRADING TERMINALS Switching-off of trading terminals		7-Oct-19 11-Sep-19	TRADING TERMINALS SUSPENDED ACTIVE
31 32	490 485	BABA Equities (Pvt.) Limited Hamza Farhad Securities (Pvt.) Limited	Switching-off of trading terminals Switching-off of trading terminals Switching-off of trading terminals		16-Sep-19 19-Sep-19	TRADING TERMINALS SUSPENDED ACTIVE
33 34	237 12	IAK Securities (Private.) Limited Reliance Securities Limited	Switching-off of trading terminals Switching-off of trading terminals	-	16-Jul-19 18-Jun-19	APPLIED FOR SURRENDER APPLIED FOR SURRENDER
35 36	58 108	Dawood Equities Limited Axee Securities Private Limited	Switching-off of trading terminals Switching-off of trading terminals		26-Jun-19 26-Jun-19	ACTIVE ACTIVE
37 38	57 148	First Capital Equities Limited Oriental Securities (Private) Limited	Switching-off of trading terminals The Brokerage House was Advised		16-May-19 27-May-19	APPLIED FOR SURRENDER ACTIVE
39 40	187 153	SAZ Capital Securities (Private) Limited Creative Capital Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised	-	30-Apr-19 30-Apr-19	ACTIVE ACTIVE
41 42	56 199	Nael Capital (Private) Limited Insight Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised	-	30-Apr-19 30-Apr-19	ACTIVE ACTIVE
43 44 45	212 221 228	Horizon Securities Limited Millennium Brokerage (Private) Limited All-Haq Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised	-	8-May-19 8-May-19	ACTIVE ACTIVE
46	275	Rahat Securities Limited	The Brokerage House was Advised The Brokerage House was Advised		8-May-19 8-May-19	ACTIVE ACTIVE
47 48 49	294 311 410	Yasir Mahmood Securities (Private) Limited Abbasi & Company (Private) Limited Zahid Latif Khan Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		8-May-19 8-May-19 3-May-19	ACTIVE ACTIVE
50 51	438 478	Pasha Securities (Private) Limited Pasha Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised The Brokerage House was Advised		3-May-19 3-May-19	ACTIVE ACTIVE ACTIVE
52 53	482 523	New Peak Securities (Private) Limited Falki Capital (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised The Brokerage House was Advised		3-May-19 3-May-19	ACTIVE ACTIVE
54 55	61 88	Abbasi Securities (Pvt) Ltd. Fawad Youd Securities (Pvt) Ltd.	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was PENALIZED and WARNED	Rs.50.000/-	30-Apr-19 30-Apr-19	ACTIVE ACTIVE
56 57	16 107	DIM Securities (Pxt.) Ltd. Seven Star Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned		24-Apr-19 18-Apr-19	ACTIVE ACTIVE
58 59	481 204	Riaz Ahmed Securities (Private) Limited A.N Equities (Pvt) Ltd	The Brokerage House was Warned The Brokerage House was PENALIZED and WARNED	Rs.50,000/-	18-Apr-19 16-Apr-19	ACTIVE ACTIVE
60 61	490 339	Baba Equities (Pvt.) Limited. Khawaja Securities (Pvt.) Ltd.	The Brokerage House was Warned The Brokerage House was Warned		15-Apr-19 8-Apr-19	TRADING TERMINALS SUSPENDED ACTIVE
62 63	158 523	Royal Securities (Private) Limited Falki Capital Private Limited	The Brokerage House was Warned The Brokerage House was Warned	-	8-Apr-19 5-Apr-19	ACTIVE ACTIVE
64 65	55 221	Shajar Capital Pakistan Private Limited Millennium Brokerage (Private)Limited	The Brokerage House was Warned The Brokerage House was PENALIZED and WARNED	Rs.691,500/-	3-Apr-19 3-Apr-19	ACTIVE ACTIVE
66 67	266 120	Shaffi Securities (Pvt) Ltd Alfalah Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned		2-Apr-19 2-Apr-19	ACTIVE ACTIVE
68 69 70	140 150 466	M.M. Securities (Private) Limited Askari Securities Limited	The Brokerage House was Warned The Brokerage House was Warned		2-Apr-19 2-Apr-19 2-Apr-19	ACTIVE ACTIVE
70 71 72	466 223 42	Unex Securities (Private) Limited Maan Securities (Pvt.) Limited ICON Capital Management (Pvt) Ltd.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was WARNED	Rs.40,000/-	27-Mar-19 27-Mar-19	ACTIVE ACTIVE ACTIVE
73 74	10 100	Ticom capital wainagement (PV) too. Sakarwala Capital Sec.(PVt.) Ltd Elikir Securities Pak. (PVt.) Ltd.	The Brokerage House was WARNED The Brokerage House was Advised The Brokerage House was Advised		27-Mar-19 20-Mar-19	ACTIVE ACTIVE
75 76	176 102	Muhammad Salim Kasmani Securities (Private)Limited Growth Securities (Pvt.) Limited	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/- Rs.20,000/-	18-Mar-19 18-Mar-19	ACTIVE ACTIVE
77 78	91 284	Intermarket Securities Limited ASA Stocks Private Limited	The Brokerage House was WARNED The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 533,500/-	18-Mar-19 1-Mar-19	ACTIVE ACTIVE
79 80	229 267	Fairway Securities Private Limited Bismillah Securities (Pvt.) Limited	The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was WARNED	Rs. 995,000/-	1-Mar-19 1-Mar-19	ACTIVE ACTIVE
81 82	179 46	Continental Capital Management (Pvt.) Limited Fortune Securities Limited	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Advised	Rs. 20,000/-	1-Mar-19 26-Feb-19	ACTIVE ACTIVE
83 84	297 28	MSD Capital Equities (Pvt) Ltd. Ghani Osman Securities (Pvt.) Ltd.	The Brokerage House was WARNED The Brokerage House was WARNED	- :	26-Feb-19 20-Feb-19	TRADING TERMINALS SUSPENDED ACTIVE
85 86	143 517	Saao Capital (Private) Ltd. South Asian Securities (Pvt.) Ltd.	The Brokerage House was WARNED Switching-off of trading terminals	-	20-Feb-19 18-Feb-19	ACTIVE SURRENDERED / RELINQUISHED
87 88	224 275	K & I Global Capital (Private.) Limited. Rahat Securities Limited Trust Securities & Brokerage Limited.	The Brokerage House was Warned The Brokerage House was Warned		22-Jan-19 22-Jan-19	ACTIVE ACTIVE
89 90	332 337	Trust securities & Brokerage Limited. A B M Securities (Private) Limited K.H.S. Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned		22-Jan-19 22-Jan-19	ACTIVE ACTIVE
91 92 93	290 309 12	K.H.S. Securities (Private) Limited HMC Stocks (Private) Limited. Reliance Securities Limited.	Suspension of Trading Terminals Suspension of Trading Terminals The Brokerage House was Warned and Financial Penalty was Imposed	Rs.430,000/-	16-Jan-19 16-Jan-19 14-Jan-19	ACTIVE ACTIVE APPLIED FOR SURRENDER
94 95	239 261	Avub Chaudhry Investments (Private) Limited. M.F. Stocks (Private) Limited.	The Brokerage House was warrage House was Warrage Thouse Was Impused The Brokerage House was Warned The Brokerage House was Warned		14-Dec-18 14-Dec-18	ACTIVE APPLIED FOR SURRENDER APPLIED FOR SURRENDER
96 97	288 420	Progressive Inves. Management (Private) Limited Progressive Inves. Management (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned The Brokerage House was Warned	Rs.20,000/-	14-Dec-18 14-Dec-18	ACTIVE ACTIVE
98 99	497 256	JSK Securities Limited Progressive Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/-	14-Dec-18 13-Dec-18	Voluntary Trading Terminal Suspended ACTIVE
100 101	297 36	MSD Capital Equities (Private) Limited. Time Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.80,000/-	13-Dec-18 12-Dec-18	TRADING TERMINALS SUSPENDED ACTIVE
102 103	143 211	Saao Capital (Private) Limited. Share Center (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	:	10-Dec-18 10-Dec-18	ACTIVE SURRENDERED / RELINQUISHED
104 105	294 350	Yasir Mahmood Securities (Private) Limited Guirez Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	10-Dec-18 10-Dec-18	ACTIVE ACTIVE
106	28 35	Shani Osman Securities (Private.) Limited. Surmavala Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned		7-Dec-18 6-Dec-18	ACTIVE ACTIVE
108 109 110	62 124 191	WE Financial Services Limited. EFG Hermes Pakistan Limited Market 786 (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.140,000/- Rs.40,000/-	22-Nov-18 22-Nov-18 22-Nov-18	ACTIVE ACTIVE
111	432	Spinzer Equities(Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed Switching-off of trading terminals	Rs.40,000/- Rs.115,845/-	19-Nov-18	ACTIVE ACTIVE TRADING TERMINALS SUSPENDED
112 113 114	208 296 48	RUC Securities (Private) Limited. MGM Securities (Private) Limited Next Capital Limited	Switching-off of trading terminals The Brokerage House was Warned The Brokerage House was Warned		16-Nov-18 15-Nov-18 14-Nov-18	ACTIVE
114 115 116	48 181 286	Next capital Limited First Equity Modaraba Dosslani's Socurities (Private) Limited	The Brokerage House was Warmed The Brokerage House was Warmed The Brokerage House was Warmed and Financial Penalty was Imposed	Rs.170,000/-	9-Nov-18 7-Nov-18	ACTIVE ACTIVE ACTIVE
117 118	232	Arif Latif Securities (Private) Limited Optimus Capital Management (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned	Rs.50,000/-	5-Nov-18 1-Nov-18	ACTIVE ACTIVE
119 120	145 186	Openins capital waringement (Private.) Limited. Adam Securities Limited. Muhammed Tariq Moti Sec. (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 40,000/- Rs. 20,000/-	1-Nov-18 1-Nov-18	ACTIVE ACTIVE ACTIVE
121 122	194 24	MRA Securities Limited. ASDA Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Financial Penalty was Imposed	Rs.120,000/- Rs.60,000/-	1-Nov-18 25-Oct-18	ACTIVE ACTIVE
123 124	77 121	Best Securities (Private) Limited. Salim Sozer Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed Switching-off of trading terminals	Rs.40,000/-	25-Oct-18 17-Oct-18	ACTIVE ACTIVE
125 126	98 166	Fairtrade Capital Securities (Private.) Limited. Topline Securities Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	10-Oct-18 10-Oct-18	ACTIVE ACTIVE
127 128	57 46	First Capital Equities Limited. Fortune Securities Limited	Switching-off of trading terminals The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	9-Oct-18 25-Sep-18	APPLIED FOR SURRENDER ACTIVE
129 130	183	R.T. Securities (Private.) Limited. Sherman Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	25-Sep-18 18-Sep-18	ACTIVE ACTIVE
131 132	188 236	Apex Capital Sec. (Private.) Limited. Techno Fundamental Securities (Private) Limited	Switching-off of trading terminals The Brokerage House was Warned	-	18-Sep-18 18-Sep-18	ACTIVE SURRENDERED / RELINQUISHED

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement Actions	Current Status
133	292	INA Securities (Private) Limited	Switching-off of trading terminals	(If any)	18-Sep-18	ACTIVE
134	297	MSD Capital Equities (Private) Limited.	Switching-off of trading terminals		18-Sep-18	TRADING TERMINALS SUSPENDED
135	444	Xpert Securities (Private) Limited.	Switching-off of trading terminals		18-Sep-18	TRADING TERMINALS SUSPENDED
136	475	CAMCO (Private) Limited	Switching-off of trading terminals		18-Sep-18	ACTIVE
137	94 420	FDM Capital Securities (Private.)Limited Progressive Inves. Management (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.1,000,000/-	14-Sep-18 14-Sep-18	ACTIVE ACTIVE
138	348	Progressive Inves: Management (Private) Limited. AMCAP Securities (Private) Limited	Restriction on opening of New Clients Account and Sale Side Suspension of Trading Terminals	- :	14-Sep-18 10-Sep-18	ACTIVE TRADING TERMINALS SUSPENDED
140	116	Patel Securities (Private.) Limited.	The Brokerage House was Warned		10-Sep-18	ACTIVE
141	212	Horizon Securities Limited.	The Brokerage House was Warned		3-Sep-18	ACTIVE
142	309	HMC Stocks (Private) Limited.	The Brokerage House was Warned		3-Sep-18	ACTIVE
143	438	Fair Edge Securities(Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.100,000/-	3-Sep-18	ACTIVE
144	231 288	Saima Qaiser Securities (Private) Limited Javed Igbal Securities (Private) Limited	Switching-off of trading terminals The Brokerage House was Warned		16-Aug-18 13-Aug-18	ACTIVE ACTIVE
146	346	Strongman Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.150,000/-	13-Aug-18	ACTIVE
147	54	Bawa Securities (Private.) Limited.	The Brokerage House was Warned		8-Aug-18	ACTIVE
148	234	Value Stock and Commodities (Private) Limited.	The Brokerage House was Warned		31-Jul-18	ACTIVE
149	228 251	Al-Haq Securities (Private.) Limited.	The Brokerage House was Warned		27-Jul-18	ACTIVE
150 151	251 265	MND Investment (Private) Limited Infinite Securities Limited.	The Brokerage House was Warned The Brokerage House was Warned		27-Jul-18 27-Jul-18	ACTIVE ACTIVE
152	290	K.H.S. Securities (Private) Limited	The Brokerage House was Warned		27-Jul-18	ACTIVE
153	6	Sherman Securities (Private.) Limited.	The Brokerage House was Advised		20-Jul-18	ACTIVE
154	94	FDM Capital Securities (Private.)Limited	The Brokerage House was Advised		20-Jul-18	ACTIVE
155	120	Alfalah Securities (Private.) Limited.	The Brokerage House was Advised		20-Jul-18	ACTIVE
156 157	410 442	Zahid Latif Khan Securities (Private.) Limited.	The Brokerage House was Warned		20-Jul-18 20-Jul-18	ACTIVE
157	442	General Investment & Sec Pasha Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	- :	20-Jul-18 20-Jul-18	ACTIVE ACTIVE
159	485	Hamza Farhad Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned		20-Jul-18	ACTIVE
160	491	First Street Capital (Private) Limited.	The Brokerage House was Warned		20-Jul-18	ACTIVE
161	44	IGI Finex Securities Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.150,000/-	13-Jul-18	ACTIVE
162	420	Progressive Inves. Management (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 170,000/-	13-Jul-18	ACTIVE
163	98	Fairtrade Capital Securities (Private.) Limited.	The Brokerage House was Warned and Penalized and Restriction On Opening of New Clients' Account was Imposed	Rs.300,000/-	22-Jun-18	ACTIVE
164	112	Standard Capital Securities (Private.) Limited.	The Brokerage House was Advised		22-Jun-18	ACTIVE
165	19	AKD Securities Limited.	The Brokerage House was Advised		20-Jun-18	ACTIVE
166	44	IGI Finex Securities Limited	The Brokerage House was Advised	-	20-Jun-18	ACTIVE
167	50	Arif Habib Limited.	The Brokerage House was Advised		20-Jun-18	ACTIVE
168	129	Taurus Securities Limited Askari Securities Limited.	The Brokerage House was Advised The Brokerage House was Advised		20-Jun-18 20-Jun-18	ACTIVE ACTIVE
170	150 284	ASIAN Stocks (Private) Limited.	The Brokerage House was Advised Switching-off of trading terminals		20-Jun-18 20-Jun-18	ACTIVE ACTIVE
171	508	KP Securities (Private) Limited	Switching-off of trading terminals		20-Jun-18	TRADING TERMINALS SUSPENDED
172	348	AMCAP Securities (Private) Limited	Switching-off of trading terminals		19-Jun-18	TRADING TERMINALS SUSPENDED
173	63	AL Habib Capital Markets (Private.) Limited.	The Brokerage House was Advised		14-Jun-18	ACTIVE
174	116	Patel Securities (Private.) Limited.	The Brokerage House was Warned		12-Jun-18	ACTIVE
175 176	132	Eleven Stars Securities (Private.) Limited. AAA Securities (Private) Limited	The Brokerage House was Warned	-	12-Jun-18 7-Jun-18	ACTIVE
177	457 491	First Street Capital (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	7-Jun-18	ACTIVE ACTIVE
178	68	Zafar Securities (Private.) Limited.	The Brokerage House was Advised		31-May-18	ACTIVE
179	254	ShajarPak Securities (Private) Limited	The Brokerage House was Advised		31-May-18	ACTIVE
180	275	Rahat Securities Limited	The Brokerage House was Advised		31-May-18	ACTIVE
181	22	BMA Capital Management Limited	The Brokerage House was Advised		24-May-18	ACTIVE
182 183	48 88	Next Capital Limited Fawad Yusuf Securities (Private) Limited.	The Brokerage House was Advised		24-May-18 24-May-18	ACTIVE
184	91	Intermarket Securities Limited.	The Brokerage House was Advised The Brokerage House was Advised		24-May-18	ACTIVE ACTIVE
185	128	BIPL Securities Limited.	The Brokerage House was Advised		14-May-18	ACTIVE
186	124	EFG Hermes Pakistan Limited	The Brokerage House was Advised		11-May-18	ACTIVE
187	266	Shaffi Securities (Private) Limited	Switching-off of trading terminals		16-Mar-18	ACTIVE
188	241	F.M. Securities (Private) Limited	The Brokerage House was Warned and Penalized and Restriction On Opening of New	Rs.1,000,000/-	9-Mar-18	TRADING TERMINALS SUSPENDED
189	328	128 Securities (Private) Limited	Clients' Account was Imposed The Brokerage House was Warned and Penalized and Restriction On Opening of New	Rs.1.000.000/-	1-Mar-18	ACTIVE
190	423	Millennium Securities & Investments	Clients' Account was Imposed The Brokerage House was Warned	113.2,000,0000	23-Feb-18	TRADING TERMINALS SUSPENDED
190	423 63	Millennium Securities & Investments AL Habib Capital Markets (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned		23-Feb-18 21-Feb-18	TRADING TERMINALS SUSPENDED ACTIVE
192	57	First Capital Equities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.170,000/-	20-Feb-18	APPLIED FOR SURRENDER
193	188	Apex Capital Sec. (Private.) Limited.	The Brokerage House was Warned		16-Feb-18	ACTIVE
194	311	Abbasi & Company (Private) Limited.	The Brokerage House was Warned		30-Jan-18	ACTIVE
195	72	TS Securities (Private) Limited.	The Brokerage House was Warned		29-Dec-17	ACTIVE
196 197	444 30	Xpert Securities (Private) Limited. Cedar Capital Private Limited.	Restriction on Trading in Clients' Account	-	20-Dec-17 18-Dec-17	TRADING TERMINALS SUSPENDED ACTIVE
197	30 281	Cedar Capital Private Limited. Shaukat Shafi Securities (Private) Limited	The Brokerage House was Warned Suspension of Trading Terminals		18-Dec-17 12-Dec-17	ACTIVE TRADING TERMINALS SUSPENDED
199	300	AM Chaudhary Securities (Private) Limited	Suspension of Trading Terminals Suspension of Trading Terminals		12-Dec-17	ACTIVE
200	155	B & B Securities (Private.) Limited.	The Brokerage House was Warned		11-Dec-17	ACTIVE
201	349	A.S. Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/-	11-Dec-17	TRADING TERMINALS SUSPENDED
202	55	Shajar Capital Pakistan (Private.) Limited	The Brokerage House was Warned		7-Dec-17	ACTIVE
203	63 96	AL Habib Capital Markets (Private.) Limited. MSMANIAR FINANCIALS (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned		7-Dec-17 7-Dec-17	ACTIVE ACTIVE
204	96 221	MISMANIAK HNANLIALS (Private.) Limited. Millennium Brokerage (Private.) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	7-Dec-17 7-Dec-17	ACTIVE
206	254	ShajarPak Securities (Private) Limited	The Brokerage House was Warned		7-Dec-17	ACTIVE
207	268	Sethi Securities Private Limited.	The Brokerage House was Warned	-	7-Dec-17	ACTIVE
208	282	Salman Majeed Securities (Private.) Limited.	The Brokerage House was Warned	-	7-Dec-17	ACTIVE
209	318	Asad Mustafa Securities (Private.) Limited.	The Brokerage House was Warned		7-Dec-17	ACTIVE
210 211	327 331	Gul Dhami Securities (Private) Limited MoneyLine Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned		7-Dec-17 7-Dec-17	ACTIVE ACTIVE
211	331 423	Millennium Securities & Investments	The Brokerage House was Warned The Brokerage House was Warned	-	7-Dec-17 7-Dec-17	TRADING TERMINALS SUSPENDED
213	508	KP Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned		7-Dec-17	TRADING TERMINALS SUSPENDED
214	7	Amanah Investments Limited.	The Brokerage House was Advised		5-Dec-17	ACTIVE
215	11	ACM Global (Private) Limited.	The Brokerage House was Advised		5-Dec-17	ACTIVE
216	25	Vector Securities (Private.) Limited.	The Brokerage House was Advised		5-Dec-17	ACTIVE
217 218	49 94	Multiline Securities (Private.) Limited. FDM Capital Securities (Private.)Limited	The Brokerage House was Advised	-	5-Dec-17 5-Dec-17	ACTIVE ACTIVE
218	94 131	GMI Capital Securities (Private.) Limited.	The Brokerage House was Advised The Brokerage House was Warned	1 :	5-Dec-17 5-Dec-17	ACTIVE ACTIVE
220	144	Dattoo Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Advised		5-Dec-17 5-Dec-17	ACTIVE ACTIVE
221	45	Bhayani Securities (Private) Limited.	The Brokerage House was Warned		30-Nov-17	ACTIVE
222	90	Darson Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.625,000/-	30-Nov-17	ACTIVE
	135	Y.H. Securities (Private) Limited.	The Brokerage House was Warned	-	30-Nov-17	ACTIVE
223	107	Seven Star Securities (Private.) Limited.	The Brokerage House was Warned		29-Nov-17	ACTIVE
224	188	Apex Capital Sec. (Private.) Limited.	The Brokerage House was Warned		29-Nov-17	ACTIVE
224 225		Din Capital Limited.	Suspension of Trading Terminals		17-Nov-17 16-Nov-17	APPLIED FOR SURRENDER Voluntary Trading Terminal Suspended
224 225 226	177	ISK Securities Limited				
224 225 226 227	177 497	JSK Securities Limited Foundation Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned		14-Nov-17	ACTIVE
224 225 226	177	JSK Securities Limited Foundation Securities (Private.) Limited. HH Misbah Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned	-	14-Nov-17 13-Nov-17	ACTIVE ACTIVE
224 225 226 227 228 229 230	177 497 142 37 22	Foundation Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned The Brokerage House was Warned		13-Nov-17 10-Nov-17	ACTIVE
224 225 226 227 228 229	177 497 142 37	Foundation Securities (Private.) Limited. HH Misbah Securities (Private.) Limited.	The Brokerage House was Warned		13-Nov-17	ACTIVE ACTIVE

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement Actions	Current Status
233	162	Aba Ali Habib Securities(Private.) Limited.	The Brokerage House was Warned	III anvi	8-Nov-17	ACTIVE
234	183	R.T. Securities (Private.) Limited.	The Brokerage House was Warned		8-Nov-17	ACTIVE
235	265	Infinite Securities Limited.	The Brokerage House was Warned		8-Nov-17	ACTIVE
236	288	Javed Igbal Securities (Private) Limited	The Brokerage House was Warned		8-Nov-17	ACTIVE
237	432	Spinzer Equities(Private) Limited	The Brokerage House was Warned		8-Nov-17	ACTIVE
238	177	Din Capital Limited.	The Brokerage House was Warned and Penalized and Restriction On Opening of New Clients' Account and Trading in House Account was Imposed	Rs.1,000,000/-	3-Nov-17	APPLIED FOR SURRENDER
239	281	Shaukat Shafi Securities (Private) Limited	Switching-off of trading terminals		1-Nov-17	TRADING TERMINALS SUSPENDED
240	290	K.H.S. Securities (Private) Limited	Switching-off of trading terminals		30-Oct-17	ACTIVE
241	108	Azee Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.450,000/-	25-Oct-17	ACTIVE
242	158	Royal Securities (Private.) Limited.	The Brokerage House was Warned		19-Oct-17	ACTIVE
243	348	AMCAP Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.25,000/-	19-Oct-17	TRADING TERMINALS SUSPENDED
244 245	329 300	S.D. Mirza Securities (Private) Limited AM Chaudhary Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.20,000/-	5-Oct-17 20-Sep-17	ACTIVE
245	513	CMA Securities (Private) Limited.	Switching-off of trading terminals		20-Sep-17 6-Sep-17	ACTIVE
247	98	Fairtrade Capital Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned		5-Sep-17	TRADING TERMINALS SUSPENDED ACTIVE
248	98 6	Sherman Securities (Private.) Limited.	The Brokerage House was Warned		30-Aug-17	ACTIVE
249	61	Abbasi Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned		23-Aug-17	ACTIVE
250	140	M. M. Securities (Private.) Limited.	The Brokerage House was Advised		23-Aug-17	ACTIVE
251	38	A.H.M.Securities (Private.) Limited.	The Brokerage House was Warned		18-Aug-17	ACTIVE
252	51	H. P. Byramji & Co. (Private.) Limited.	The Brokerage House was Warned		18-Aug-17	ACTIVE
253	89	Investment Managers Sec. (Private.) Limited.	The Brokerage House was Warned		18-Aug-17	ACTIVE
254	199	Insight Securities (Private.) Limited.	The Brokerage House was Advised		18-Aug-17	ACTIVE
255 256	148 328	Oriental Securities (Private) Limited	The Brokerage House was Advised		11-Aug-17	ACTIVE
		128 Securities (Private) Limited	Switching-off of trading terminals		3-Aug-17	ACTIVE
257	332	Trust Securities & Brokerage Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Penalized and Restriction On Opening of New	Rs.20,000/-	31-Jul-17	ACTIVE
258	348	AMCAP Securities (Private) Limited	Clients' Account was Continued	Rs.460,000/-	21-Jul-17	TRADING TERMINALS SUSPENDED
259	116	Patel Securities (Private.) Limited.	The Brokerage House was Warned		10-Jul-17	ACTIVE
260	191	Market 786 (Private) Limited.	The Brokerage House was Warned	-	10-Jul-17	ACTIVE
261	256	Progressive Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.250,000/-	10-Jul-17	ACTIVE
262	6	Sherman Securities (Private.) Limited.	The Brokerage House was Warned		5-Jul-17	ACTIVE
263	24	ASDA Securities (Private.) Limited.	The Brokerage House was Warned		5-Jul-17	ACTIVE
264	42 56	Icon Capital Management (Private) Limited.	The Brokerage House was Warned	-	5-Jul-17	ACTIVE
265 266	56 61	Nael Capital (Private.) Limited. Abbasi Securities (Private) Limited.	The Brokerage House was Warned	-	5-Jul-17 5-Jul-17	ACTIVE
265	79	Abbasi Securities (Private) Limited. Irfan Mazhar Securities (Private.) Limited	The Brokerage House was Warned The Brokerage House was Warned	I - : -	5-Jul-17 5-Jul-17	ACTIVE ACTIVE
268	92	Memon Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned	-	5-Jul-17	ACTIVE
269	120	Alfalah Securities (Private.) Limited.	The Brokerage House was Warned		5-Jul-17	ACTIVE
270	144	Dattoo Securities (Private) Limited.	The Brokerage House was Warned		5-Jul-17	ACTIVE
271	155	B & B Securities (Private.) Limited.	The Brokerage House was Warned		5-Jul-17	ACTIVE
272	237	IAK Securities (Private.) Limited.	The Brokerage House was Warned		5-Jul-17	APPLIED FOR SURRENDER
273	482	New Peak Securities(Private) Limited	The Brokerage House was Warned		5-Jul-17	ACTIVE
274	98	Fairtrade Capital Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/-	22-Jun-17	ACTIVE
275	108	Azee Securities (Private.) Limited.	Suspension of Trading Terminals		22-Jun-17	ACTIVE
276 277	112	Standard Capital Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	20-Jun-17	ACTIVE
	6	Sherman Securities (Private.) Limited.	The Brokerage House was Warned		15-Jun-17	ACTIVE
278 279	490 513	Baba Equities (Private) Limited. CMA Securities (Private) Limited.	The Brokerage House was Warned The Brokerage House was Warned		15-Jun-17 15-Jun-17	TRADING TERMINALS SUSPENDED TRADING TERMINALS SUSPENDED
280	61	Abbasi Securities (Private) Limited.	The Brokerage House was Warned		12-Jun-17	ACTIVE
281	126	NINI Securities (Private.) Limited.	The Brokerage House was Warned		12-Jun-17	ACTIVE
282	163	Friendly Securities (Private) Limited.	The Brokerage House was Warned		12-Jun-17	ACTIVE
283	308	Bridge Securities (Private) Limited	The Brokerage House was Warned		12-Jun-17	ACTIVE
284	350	Gulrez Securities (Private) Limited	The Brokerage House was Warned		12-Jun-17	ACTIVE
285	481	Riaz Ahmed Securities (Private) Limited.	The Brokerage House was Warned		12-Jun-17	ACTIVE
286	523	Falki Capital Private Limited	The Brokerage House was Warned		12-Jun-17	ACTIVE
287	442	General Investment & Sec	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/-	9-Jun-17	ACTIVE
288 289	89 147	Investment Managers Sec. (Private.) Limited. A. I. Securities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned	Rs.30,000/-	8-Jun-17 8-Jun-17	ACTIVE ACTIVE
290	38	A.H.M.Securities (Private) Limited.	The Brokerage House was Warned		7-Jun-17	ACTIVE
291	140	M. M. Securities (Private.) Limited.	The Brokerage House was Warned The Brokerage House was Warned		7-Jun-17	ACTIVE
292	199	Insight Securities (Private.) Limited.	The Brokerage House was Warned		7-Jun-17	ACTIVE
293	51	H. P. Byramji & Co. (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/-	5-Jun-17	ACTIVE
294	58	Dawood Equities Limited.	Suspension of Trading Terminals		5-Jun-17	ACTIVE
295	187	SAZ Capital Securities (Private.)Limited	The Brokerage House was Warned		2-Jun-17	ACTIVE
296	339	Khawaja Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/-	2-Jun-17	ACTIVE
297	420	Progressive Inves. Management (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/-	2-Jun-17	ACTIVE
298 299	102 490	Growth Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/- Rs.10.000/-	31-May-17	ACTIVE TRANSPORT TO THE PROPERTY OF THE PROPER
		Baba Equities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed The Brokerage House was Warned and Penalized and Restriction On Opening of New		31-May-17	TRADING TERMINALS SUSPENDED
300	234	Value Stock and Commodities (Private) Limited.	The Brokerage House was Warned and Penalized and Restriction On Opening of New Clients' Account was Imposed	Rs.500,000/-	30-May-17	ACTIVE
301	14	Merchant Investments (Private.) Limited.	The Brokerage House was Warned	-	29-May-17	ACTIVE
302	31	Ashfaq Ashraf Securities (Private.) Limited.	Switching-off of trading terminals	-	29-May-17	SURRENDERED / RELINQUISHED
303	59	H. H. K. Securities (Private) Limited.	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
304	60	R. A Securities (Private.) Limited.	Switching-off of trading terminals	-	29-May-17	TRADING TERMINALS SUSPENDED
305 306	86 93	Fort Securities (Private) Limited. Venus Securities (Private) Limited.	Switching-off of trading terminals	-	29-May-17 29-May-17	TRADING TERMINALS SUSPENDED
305	106	MAC Securities (Private) Limited.	Switching-off of trading terminals Switching-off of trading terminals	- : -	29-May-17 29-May-17	ACTIVE TRADING TERMINALS SUSPENDED
308	111	S M Securities (Private) Limited.	Switching-off of trading terminals Switching-off of trading terminals	-	29-May-17 29-May-17	TRADING TERMINALS SUSPENDED TRADING TERMINALS SUSPENDED
309	123	MAS Capital Sec. (Private.) Limited.	Switching-off of trading terminals		29-May-17	TRADING TERMINALS SUSPENDED
310	164	Interactive Securities (Private.) Limited.				
311	198		Switching-off of trading terminals		29-May-17	ACTIVE
312		Motiwala Securities (Private.) Limited.	Switching-off of trading terminals Switching-off of trading terminals		29-May-17	ACTIVE TRADING TERMINALS SUSPENDED
313	203	Motiwala Securities (Private.) Limited. Brains Securities (Private) Limited.	Switching-off of trading terminals The Brokerage House was Warned and Financial Penalty was Imposed	Rs.80,000/-	29-May-17 29-May-17	TRADING TERMINALS SUSPENDED ACTIVE
	203 220	Motivala Securities (Private.) Limited. Brains Securities (Private) Limited. Z M Capital (Private.) Limited.	Switching off of trading terminals The Brokerage House was Warned and Financial Penalty was Imposed Switching off of trading terminals	Rs.80,000/-	29-May-17 29-May-17 29-May-17	TRADING TERMINALS SUSPENDED ACTIVE TRADING TERMINALS SUSPENDED
314	203 220 223	Motivala Securities (Private,) Limited. Brains Securities (Private,) Limited. ZM Capital (Private,) Limited. MAAN Securities (Private,) Limited.	Switching off of trading terminals The Brokerage House was Warned and Financial Penalty was Imposed Switching off of trading terminals Switching off of trading terminals	Rs.80,000/-	29-May-17 29-May-17 29-May-17 29-May-17	TRADING TERMINALS SUSPENDED ACTIVE TRADING TERMINALS SUSPENDED ACTIVE
314 315	203 220 223 236	Motivasi Securities (Private) Limited. Zarians Securities (Private) Limited. Zarians Securities (Private) Limited. Zarians Securities (Private) Limited. MAAN Securities (Private) Limited. Techno Fundamental Securities (Private) Limited.	Switching off of trading terminals The Brokerage House was Warned and Financial Penalty was imposed Switching off of trading terminals Switching off of trading terminals The Brokerage House was Warned	Rs.80,000/-	29-May-17 29-May-17 29-May-17 29-May-17 29-May-17	TRADING TERMINALS SUSPENDED ACTIVE TRADING TERMINALS SUSPENDED ACTIVE SURRENDERED / RELINQUISHED
314 315 316	203 220 223 236 299	Motivasia Securities (Private J. Limited. Brain's Securities (Private J. Limited. Z M. Capital (Private J. Limited. ANAI Securities (Private J. Limited. Techno Inuriamental Securities (Private) Limited Alfald Securities (Sinching off of trading terminals. The Brokerage House was Warned and Friancial Fensity was Imposed switching off of trading terminals. Switching off of trading terminals. Switching off of trading terminals. The Brokerage House was Warned. Switching off of trading terminals.	Rs.80,000/-	29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17	TRADING TERMINALS SUSPENDED ACTIVE TRADING TERMINALS SUSPENDED ACTIVE SURRENDERED / RELINQUISHED TRADING TERMINALS SUSPENDED TRADING TERMINALS SUSPENDED
314 315 316 317	203 220 223 236 299 319	Medinals Scurities (Private) United. Estain Securities (Private) United. 27M Capital (Private) Limited. MAAN Securities (Private) Limited. Techno Fondamental Securities (Private) Limited Allied Securities (Private) Limited Secretary (Private) Limited Secretary (Private) Limited	Settlehing off of trading terminals The Brokerage House was Witness and Financial Hemitaly was imposed Switching off of trading terminals Switching off of trading terminals The Brokerage House was Witnesd Switching off of trading terminals Switching off of trading terminals Switching off of trading terminals	Rs.80,000/	29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17	TRADING TEMMINALS SUSPENDED ACTIVE TRADING TEMMINALS SUSPENDED ACTIVE SURRENCERD / RELINQUISHED TRADING TEMMINALS SUSPENDED TRADING TEMMINALS SUSPENDED TRADING TEMMINALS SUSPENDED
314 315 316 317 318	203 220 223 236 299 319 324	Motivasia Securitice (Protata) Limited. Beanin Securitice (Protata) Limited. 27 M. Capital (Protata) Limited. 27 M. Capital (Protata) Limited. MAMA Securities (Protata) Limited. Techno Fundamental Securities (Protat) Limited. Manifes Securities (Protata) Limited. Paric Capital Liquities (Protata) Limited. Union Securities (Protata) Limited.	Switching off or trading terminals The Brokerage House was Warmed and Financial Prevally was imposed Switching off or trading terminals Switching off or trading terminals Switching off or trading terminals The diverging House was Warmed Switching off or trading terminals	Rs.80,000/	29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17	TRADING TERMINALS SUFERINDED ACTIVE TRADING TERMINALS SUFERINDED ACTIVE SURRINDERED / RELINQUISHED TRADING TERMINALS SUFERINDED TRADING TERMINALS SUFERINDED TRADING TERMINALS SUFERINDED TRADING TERMINALS SUFERINDED
314 315 316 317 318 319	203 220 223 236 299 319 324 333	Motionals Sourties (Provide), United	Seatifully get of training removals. The Brokerage Notice was Wittered and Finitives and Impact of Seating removals. Seating get of training removals. Seating get of training removals. The Brokerage House was Warned Bending get for the general removals. Bending get for the general removals. Seating get of training removals. Seating get of training removals. Seating get of training removals.	Rs.80,000/	29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17	TRANSIC TRANSIAS SUSPINIOD ACTIVE TRADNIC TRANSIAS SUSPINIOD ACTIVE TRADNIC TRANSIAS SUSPINIOD TRANSIC TRANSIAS SUSPINIOD TRANSIC TRANSIAS SUSPINIOD TRANSIC TRANSIAS SUSPINIOD TRANSIC TRANSIAS SUSPINIOD TRANSIC TRANSIAS SUSPINIOD TRANSIC TRANSIAS SUSPINIOD TRANSIC TRANSIAS SUSPINIOD
314 315 316 317 318 319 320	203 220 223 236 299 319 324 333 441	Motionals Securities (Private) Limited. Basin Securities (Private) Limited. 27 M. Capital (Private) Limited. MAMA Securities (Private) Limited. Techno Fundamental Securities (Private) Limited. Manife Securities (Private) Limited. Securities (Private) Limited. Manife Securities (Private) Limited. Manife Securities (Private) Limited.	Switching off or starting terminals The Brokerage Hoses was Witten deep first scaling terminals Switching off or starting terminals Switching off or starting terminals Switching off or starting terminals The Brokerage Hoses was Wittend Switching off or starting terminals	Rs.80,000/-	29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17	TRADNIC TEMBNALS SUSPINIOD ACTIVE TRADNIC TEMBNALS SUSPINIOD ACTIVE SURRINGERO PER SUSPINIOD SURRINGERO PER SUSPINIOD TRADNIC TEMBNALS SUSPINIOD
314 315 316 317 318 319 320 321	203 220 223 236 299 319 324 333 441 455	Motionals Sourties (Provide) Limited Biomis Securities (Provide) Limited 27 Mc Capital (Provide) Limited 47 Mc Capital (Provide) Limited 47 Mc Securities (Provide) Limited 47 Mc Securities (Provide) Limited 48 Mc Securities (Provide) Limited 58 Securities (Provide) Limited 58 Securities (Provide) Limited 58 Securities (Provide) Limited	Switching off of scale germonial. The Brokerage House was Witter and Remiscular Presiding was imposed shutching off of scaling remines. Switching off of staging remines. The develope finite scaling remines. Switching off off scaling remines. Switching off off scaling remines. Switching off off scaling remines. Switching off of scaling remines.	Rs.80,000/-	29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17	TRADNOT TRADNASS SUPPLISED ACTIVE TRADNOT TRADNASS SUPPLISED ACTIVE TRADNOT TRADNASS SUPPLISED SAMMOGRIED / PRINCIPATE TRADNOT TRADNASS SUPPLISED
314 315 316 317 318 319 320 321 322	203 220 223 236 299 319 324 333 441	Motionals Securities (Private) Limited. Basin Securities (Private) Limited. 27 M. Capital (Private) Limited. MAMA Securities (Private) Limited. Techno Fundamental Securities (Private) Limited. Manife Securities (Private) Limited.	Seatificing off of training terminals. The biolerage floor, was Wittered and Promocial Providing was Imposed Seatificing off of brading terminals. Seatificing off off training terminals. The Biolerage are blown was Wittered. Seatificing off off training terminals.	Rs.80,000/-	29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17	TRADANS TRADANSA SUPPRICED ACTIVE TRADANS TRADANSA SUPPRICED ACTIVE TRADANS TRADANSA SUPPRICED
314 315 316 317 318 319 320 321	203 220 223 236 299 319 324 333 441 455 500	Motionals Sourcities (Provide) Limited. Brain Securities (Provide) Limited. 774 Capital (Provide) Limited. Anno Securities (Provide) Limited. Modification (Provide) Limited. Anno Securities (Provide) Limited. Anno Securities (Provide) Limited. Modification (Provide) Limited. Union Securities (Provide) Limited. Mod Capital (Provide) Limited. Modification (Provide) Limited. Provide Capital (Provide) Limited. Modification (Provide) Limited.	Switching off of scale germonial. The Brokerage House was Witter and Remiscular Presiding was imposed shutching off of scaling remines. Switching off of staging remines. The develope finite scaling remines. Switching off off scaling remines. Switching off off scaling remines. Switching off off scaling remines. Switching off of scaling remines.	Rs-80,000/-	29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17	TRADNOT TRADNASS SUPPLISED ACTIVE TRADNOT TRADNASS SUPPLISED ACTIVE TRADNOT TRADNASS SUPPLISED SAMMOGRIED / PRINCIPATE TRADNOT TRADNASS SUPPLISED
314 315 316 317 318 319 320 321 322 323	203 220 223 236 299 319 324 333 441 455 500	Motionals Scientific (Prostat) Limited Binain Securities (Prostat) Limited 2 Mc Captal (Prostat) Limited 2 Mc Captal (Prostat) Limited 2 Mc Captal (Prostat) Limited Techno Fundamental Securities (Prostat) Limited Techno Fundamental Securities (Prostat) Limited Admit Securities (Prostat) Limited Admit Securities (Prostat) Limited Admit Securities (Prostat) Limited Securities (Prostat) Limited 5 As Securities (Prostat) Limited Captal Securities (Prostat) Limited Clippa Securities (Prostat) Limited Clippa Securities (Prostat) Limited Captal Securities (Prostat) Limi	Switching eff of trading terminals The Biopharage House was Witten and Financial Pressits was imposed Switching eff of trading terminals Switching eff of trading terminals Switching eff of trading terminals The Biotecape House was Warned Switching eff of trading terminals	Rs.80,000/-	29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17 29-May-17	TRADRICT TRADRICTS SUPPLIED TO ACTIVE TRADRICT T
314 315 316 317 318 319 320 321 322 323 324 325 326	203 220 223 226 299 319 324 333 441 455 500 501 510	Motionals Sourties (Private), United Binsin Securities (Private), United Binsin Securities (Private), United B. 7 M Capital (Private), United B. MANA Securities (Private), United B. 15-000 A Confidence B. Securities (Private) United B. 15-100 A Securities (Private) United B.	The Brokerase Novae was Wittered and Financial Remainly was Imposed Seatilities, get of the Seating terminals. Seatilities, get of the Seating terminals. Seatilities, get of Seating terminals.	-	29May-17 29May-17	TRADRICT TRADRICTS SUPPRISOD ACTIVE TRADRICT TRADRICTS SUPPRISOD ACTIVE TRADRICT TRADRICTS SUPPRISOD TRADRICT TRADRICT TRADRICTS SUPPRISOD TRADRICT TRADRICTS SUPPRISOD TRADRICT TRADRICTS SUPPRISOD TRADRICT TRADRICTS SUPPRISOD TRADRICT TRADRICT TRADRICTS SUPPRISOD TRADRICT TRADRICTS SUPPRISOD TRADRICT TRADRICTS SUPPRISOD TRADRICT TRADRICTS SUPPRISOD TRADRICT TRADRICT SUPPRISON TRADRICT TRADRICT SUPPRISON TRADRICT TRADRICT SUPPRISON TRADRICT TRADRICT SUPPRISON TRADRICT SUPPRISON TRADRICT SUPPRISON TRADRICT SUPPRISON T
314 315 316 317 318 319 320 321 322 323 324 325 326 327	203 220 223 236 299 319 324 333 441 455 500 501 510 517	Motionals Sourtice (Provide L) United Brain Securities (Provide L) United 17-M Capital (Provide L) United MacK Securities (Provide L) United MacK Securities (Provide L) United MacK Securities (Provide L) United Mark Securities (Provide L) United Provide Capital Management (Provide L) United Ansum Securities (Provide L) United Ansum Securities (Provide L) United Mark Securities (Provide L) Unit	Switching eff of trading terminals The Biopharage House was Witten and Finitisculal Presults was imposed Switching eff of trading terminals Switching eff of trading terminals The Biokerage House was Warned Switching eff or Switching terminals	Rs.80,000/-	29-May-17 29-May	TRADRICT TRADRICTS SUPPLIED TO ACTIVE TRADRICT T
314 315 316 317 318 319 320 321 322 323 324 325 326 327 328	203 220 223 236 299 319 324 333 441 455 500 501 510 517 148 286 225	Motionals Sourcites (Provide), United d. Brain Securities (Provide), United d. 27 Mc Capital (Provide), United d. 27 Mc Capital (Provide), United d. 37 Mc Capital (Provide), United d. 37 Mc Capital (Provide), United d. 37 Mc Capital (Provide), United d. 38 Mc Capital (Provide), United d. 39 Mc Capital (Provide), United d. 39 Mc Capital (Provide), United d. 30 Mc Capital (Provide), United d.	Seathing off of scale germonia. The Brokerage Nouse was Winned and Finiciacle Preside year imposed Seathing off of scaling remnoia. Seathing off of scaling remnoia. Seathing off off scaling remnoia. Seathing off off scaling remnoia. Beaching off off scaling remnoia. Seathing off off scaling remnoia. Beaching off off scaling remnoia. The Brokerage How was Winned The Brokerage How was Winned	Rs.40,000/-	29-May-17 29-May	THANNET THROMASS SUPPRINCED ACTIVE THANNET THROMASS SUPPRINCED ACTIVE SUMMANDAMO PHENOLUSIA THROMASS SUPPRINCED SUMMANDAMO THROMASS SUPPRINCED SUMMANDAMO THROMASS SUPPRINCED SUMMANDAMO THROMASS SUPPRINCED SUMMANDAMO THROMASS SUPPRINCED ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE
314 315 316 317 318 319 320 321 322 323 324 325 326 327 328	203 220 223 236 299 319 324 333 441 455 500 501 510 517 448 286 225	Motionals Societies (Provide) Limited. Brain Securities (Provide) Limited. 27 Mc Capital (Provide) Limited. 27 Mc Capital (Provide) Limited. 27 Mc Capital (Provide) Limited. Modification (Provide) Limited. Securities (Provide) Limited. S. Societies (Provide) Limited. S. Societies (Provide) Limited. S. Societies (Provide) Limited. Assam Societies (Provide) Limited. South Acad Societies (Provide) Limited. South Acad Societies (Provide) Limited. South Acad Societies (Provide) Limited. For Apital Societ	Seatifying off of training terminals. The Bioleana Robers war Wittern de Financial Preshift was Imposed Seatifying off of brading terminals. Seatifying off of brading terminals. Seatifying off off brading terminals. The Bedelange throw as Wormed and Transcials President was imposed. The Bedelange throw as Wormed and Transcials President was imposed.	R: 40,000/-	28May 47 28May 17 28May 17 28M	THANNET TRANSMASS SUPPRINCED ACTIVE THANNET TRANSMASS SUPPRINCED ACTIVE THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED SURRESCRIPT TRANSMASS SUPPRINCED SURRES
314 315 316 317 318 319 320 321 322 323 324 325 326 327 328 329 330	203 220 223 236 299 319 324 333 441 455 500 501 517 148 286 275 90	Motionals Sourties (Provide) Limited. Biomis Securities (Provide) Limited. 73 M. Capital (Provide) Limited. MAN Securities (Provide) Limited. MAN Securities (Provide) Limited. Fations Forulational Securities (Provide) Limited. Fations Forulational Securities (Provide) Limited. Man Securities (Provide) Limited. Man Securities (Provide) Limited. Securities (Provide) Limited. S. A Securities (Provide) Limited. Dispos Securities (Provide) Limited. Man Securities (Provide) Limited. CAL Capital Securities (Provide) Limited. Man Securities (Provide) Limited. CAL Capital Securities (Provide) Limited. Man Securities (Provide) Limited. Dispos Securities (Provide) Limited.	Switching off of training removals The Biopharing House was Wirmed and Financial Presiding was imposed Switching off of training removals Switching off or training removals	R: 40,000/- R: 50,000/-	29May 47 29May 17 29May 17 29M	TRADRICT TRADRICT SUPPRISOD ACTIVE TRADRICT TRA
314 315 316 317 318 319 320 321 322 323 324 325 326 327 328	203 220 223 236 299 319 324 333 441 455 500 501 510 517 448 286 225	Motionals Societies (Provide) Limited. Brain Securities (Provide) Limited. 27 Mc Capital (Provide) Limited. 27 Mc Capital (Provide) Limited. 27 Mc Capital (Provide) Limited. Modification (Provide) Limited. Securities (Provide) Limited. S. Societies (Provide) Limited. S. Societies (Provide) Limited. S. Societies (Provide) Limited. Assam Societies (Provide) Limited. South Acad Societies (Provide) Limited. South Acad Societies (Provide) Limited. South Acad Societies (Provide) Limited. For Apital Societ	Seatifying off of training terminals. The Bioleana Robers war Wittern de Financial Preshift was Imposed Seatifying off of brading terminals. Seatifying off of brading terminals. Seatifying off off brading terminals. The Bedelange throw as Wormed and Transcials President was imposed. The Bedelange throw as Wormed and Transcials President was imposed.	R: 40,000/-	28May 47 28May 17 28May 17 28M	THANNET TRANSMASS SUPPRINCED ACTIVE THANNET TRANSMASS SUPPRINCED ACTIVE THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED THANNET TRANSMASS SUPPRINCED SURRESCRIPT TRANSMASS SUPPRINCED SURRES

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement	Current Status
333	107	Seven Star Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	(If any) Rs.10,000/-	Actions 20-Apr-17	ACTIVE
334	134	Q. Ain Khanani Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was imposed The Brokerage House was Warned	NS.10,000/-	20-Apr-17	ACTIVE
335	175	First National Equities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.370,000/-	13-Apr-17	ACTIVE
336	323	Adeel & Nadeem Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 60,000/-	13-Apr-17	ACTIVE
337	491	First Street Capital (Private) Limited.	The Brokerage House was Warned	113.00,000)	13-Apr-17	ACTIVE
338	442	General Investment & Sec	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.75.000/-	12-Apr-17	ACTIVE
339	348	AMCAP Securities (Private) Limited	Suspension of Trading Terminals	143.73,000)	5-Apr-17	TRADING TERMINALS SUSPENDED
340	85	Concordia Securities (Private) Limited.	The Brokerage House was Warned		13-Mar-17	ACTIVE
341	12	Reliance Securities Limited.	Suspension of Trading Terminals		8-Mar-17	APPLIED FOR SURRENDER
342	299	Allied Securities (Private) Limited	Suspension of Trading Terminals		8-Mar-17	TRADING TERMINALS SUSPENDED
343	510	ICR Capital Securities (Private) Limited	Suspension of Trading Terminals		8-Mar-17	TRADING TERMINALS SUSPENDED
344	145	Adam Securities Limited.	The Brokerage House was Warned		3-Mar-17	ACTIVE
345	199	Insight Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs 10 000/s	3-Mar-17	ACTIVE
346	91	Intermarket Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.30,000/-	28-Feb-17	ACTIVE
347	117	Fikree's Private Limited	The Brokerage House was Warned	14.30,000)-	28-Feb-17	ACTIVE
348	36	Time Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs 10 000/-	22-Feb-17	ACTIVE
349	63	AL Habib Capital Markets (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was imposed	Rs.10,000/-	22-Feb-17	ACTIVE
350	120	Alfalah Securities (Private.) Limited.	The Brokerage House was Warned	113.20,000)	22-Feb-17	ACTIVE
			The Exchange vide its Enforcement Order upheld The original decisions i.e. penalty of			
351	150	Askari Securities Limited.	Rs.10.000/-was imposed	Rs.10,000/-	20-Feb-17	ACTIVE
352	212	Horizon Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	20-Feb-17	ACTIVE
353	10	Sakarwala Capital Sec. (Private.) Limited	The Brokerage House was Warned		17-Feb-17	ACTIVE
354	12	Reliance Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	17-Feb-17	APPLIED FOR SURRENDER
355	128	BIPL Securities Limited.	The Brokerage House was Warned		6-Feb-17	ACTIVE
356	84	M. Munir Khanani Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	31-Jan-17	ACTIVE
357	102	Growth Securities (Private.) Limited.	The Brokerage House was Warned		31-Jan-17	ACTIVE
358	68	Zafar Securities (Private.) Limited.	Restriction On Buy Side Transactions		30-Jan-17	ACTIVE
359	84	M. Munir Khanani Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	19-Jan-17	ACTIVE
360	62	WE Financial Services Limited.	The Brokerage House was Advised		18-Jan-17	ACTIVE
361	27	Habib Metropolitan Financial Services Lt	The Brokerage House was Warned		9-Jan-17	ACTIVE
362	299	Allied Securities (Private) Limited	Suspension of Trading Terminals		2-Jan-17	TRADING TERMINALS SUSPENDED
363	300	AM Chaudhary Securities (Private) Limited	Suspension of Trading Terminals		2-Jan-17	ACTIVE
364	441	S.A Securities (Private) Limited.	Suspension of Trading Terminals		2-Jan-17	TRADING TERMINALS SUSPENDED
365	194	MRA Securities Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.25,000/-	26-Dec-16	ACTIVE
366	32	Zafar Moti Capital Sec. (Private.)Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.40,000/-	22-Dec-16	ACTIVE
367	330	Muhammad Amer Riaz Securities (Private) Limited	The Brokerage House was Warned		22-Dec-16	ACTIVE
368	90	Darson Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50000/-	15-Dec-16	ACTIVE
369	95	SNM Securities (Private) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/-	9-Dec-16	TRADING TERMINALS SUSPENDED
370	117	Fikree's Private Limited	The Brokerage House was Warned		9-Dec-16	ACTIVE
371	420	Progressive Inves. Management (Private) Limited.	The Brokerage House was Warned		7-Dec-16	ACTIVE
372	241	F.M. Securities (Private) Limited	The Brokerage House was Warned		6-Dec-16	TRADING TERMINALS SUSPENDED
373	119	Axis Global Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.150,000/-	5-Dec-16	ACTIVE
374	466	Unex Securities (Private) Limited	The Brokerage House was Warned		5-Dec-16	ACTIVE
375	112	Standard Capital Securities (Private.) Limited.	The Brokerage House was Warned		1-Dec-16	ACTIVE
376	28	Ghani Osman Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 60,000/-	30-Nov-16	ACTIVE
377	300	AM Chaudhary Securities (Private) Limited	Switching-off of trading terminals		30-Nov-16	ACTIVE
378	19	AKD Securities Limited.	The Brokerage House was Warned	-	29-Nov-16	ACTIVE
379	287	High Land Securities (Private) Limited	The Brokerage House was Warned		28-Nov-16	ACTIVE
380	296	MGM Securities (Private) Limited	The Brokerage House was Warned		28-Nov-16	ACTIVE
381	46	Fortune Securities Limited	The Brokerage House was Warned		25-Nov-16	ACTIVE
382	91	Intermarket Securities Limited.	The Brokerage House was Warned		24-Nov-16	ACTIVE
383	116	Patel Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 20,000/-	24-Nov-16	ACTIVE
384	120	Alfalah Securities (Private.) Limited.	The Brokerage House was Warned	-	24-Nov-16	ACTIVE
385	262	GPH Securities (Private) Limited	The Brokerage House was Warned	-	21-Nov-16	ACTIVE
386	22	BMA Capital Management Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.100,000/-	18-Nov-16	ACTIVE
387	18	Ismail Iqbal Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed	Rs. 100,000/-	15-Nov-16	ACTIVE
388	21	Alfa Adhi Securities (Private.) Limited.	The Brokerage House was Warned		11-Nov-16	ACTIVE
389	77	Best Securities (Private) Limited.	The Brokerage House was Warned		11-Nov-16	ACTIVE
390	113	Tannu Securities (Private.) Limited.	The Brokerage House was Warned		11-Nov-16	ACTIVE
391	160	Moonaco Securities (Private.) Limited.	The Brokerage House was Warned		11-Nov-16	ACTIVE
392	185	Inveslink Capital (Private) Limited.	The Brokerage House was Warned		11-Nov-16	ACTIVE
393	212	Horizon Securities Limited.	The Brokerage House was Warned	Rs 25 000/s	11-Nov-16	ACTIVE
394	68	Zafar Securities (Private.) Limited.	The Brokerage House was Warned and Financial Penalty was Imposed		10-Nov-16	ACTIVE
	94	FDM Capital Securities (Private.)Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.10,000/-	10-Nov-16	ACTIVE
396	235	Jamshaid & Hasan Securities (Private) Limited	The Brokerage House was Warned		10-Nov-16	SURRENDERED / RELINQUISHED
397	347	Amer Securities (Private) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	Rs.50,000/-	10-Nov-16	ACTIVE
398	309 329	HMC Stocks (Private) Limited. S.D. Mirza Securities (Private) Limited.	The Brokerage House was Warned	-	9-Nov-16	ACTIVE
			The Brokerage House was Warned			ACTIVE
400	482	New Peak Securities(Private) Limited	The Brokerage House was Warned		4-Nov-16	ACTIVE

_	TREC No.	Name of TREC Holder	Disciplinary Actions Actions taken by Market Surveillance Department (MSD):	Amount of Penalty (If any)	Date of Enforcement Actions	Current Status
S. No.	TREC No.	Name of TREC Holder Arif Latif Sec (Pvt) Ltd	Disciplinary Actions Warned	Amount of Penalty (If any)	Date of Enforcement Actions 15-Nov-19	Current Status ACTIVE
2	068 350	Zafar Securities (Private) Limited Gulrez Sec	Warned Warned		15-Nov-19 15-Nov-19	ACTIVE ACTIVE
4 5	482 482	New Peak Securities (Private) Limited New Peak Securities (Private) Limited	Warned Warned		15-Nov-19 15-Nov-19	ACTIVE ACTIVE
6 7	068 068	Zafar Securities (Private) Limited Zafar Securities (Private) Limited	Warned Warned		15-Nov-19 15-Nov-19	ACTIVE ACTIVE
8	068	Zafar Securities (Private) Limited Zafar Securities (Private) Limited Zafar Securities (Private) Limited	Warned Warned		15-Nov-19 15-Nov-19	ACTIVE ACTIVE
10	482 482	New Peak Securities (Private) Limited New Peak Securities (Private) Limited	Warned Warned		15-Nov-19 15-Nov-19	ACTIVE ACTIVE
12	232	Arif Latif Sec (Pvt) Ltd Arif Latif Sec (Pvt) Ltd Fairtrade Capital Securities (Private) Limited	Warned Warned	- :	15-Nov-19 4-Oct-19	ACTIVE ACTIVE
14	082	Mayari Securities (Private) Limited	Warned		4-Oct-19 29-Jul-19	ACTIVE ACTIVE
15 16 17	120 145	Alfalah Securities (Private) Limited Adam Securities (Pvt.) Ltd.	Stern Warning Warned		29-Jul-19	ACTIVE
18	145 145	Adam Securities (Pvt.) Ltd. Adam Securities (Pvt.) Ltd.	Warned Warned		29-Jul-19 29-Jul-19 25-Jul-19	ACTIVE ACTIVE
19 20	046 046	Fortune Securities Limited Fortune Securities Limited	Warned Warned		25-Jul-19	ACTIVE ACTIVE
21 22	228 314	Al- Hag Sec Equity Master Sec	Stern Warning Stern Warning		25-Jul-19 25-Jul-19	ACTIVE ACTIVE
23 24	228 149	Al- Haq Sec IS Global Capital Limited	Confiscation of Profits Advice	2,500	25-Jul-19 11-Jul-19	ACTIVE ACTIVE
25 26	149 191	JS Global Capital Limited Market 786 (Private) Limited	Advice Advice		11-Jul-19 11-Jul-19	ACTIVE ACTIVE
27 28	018 012	Ismail Igbal Securities (Pvt.) Limited Reliance Securities Limited	Advised Advised	-	11-Jul-19 10-Jul-19	ACTIVE APPLIED FOR SURRENDER
29 30	049 042	Multiline Securities (Pvt.) Ltd. Icon Capital Management (Private) Limited	Advised Advised		10-Jul-19 10-Jul-19	ACTIVE ACTIVE
31 32	142 024	Foundation Securities (Pvt.) Limited ASDA Securities (Private) Limited	Advised Advised		10-Jul-19 10-Jul-19	ACTIVE ACTIVE
33 34	142 248	Foundation Securities (Pvt.) Limited Khadim Ali Shah Bukhari Securities (Private) Limited	Advised Stern Warning		16-Apr-19 27-Mar-19	ACTIVE ACTIVE
35 36	248 196 212	Khadim Ali Shah Bulishan Securitise (Private) Limited RAH Securities (Private) Limited Horizon Securities Limited	Stern Warning Stern Warning Stern Warning	- :	27-Mar-19 27-Mar-19 26-Mar-19	ACTIVE ACTIVE ACTIVE
37	149	IS Global Capital Limited	Stern Warning		26-Mar-19	ACTIVE
38 39	016	DIM Securities (Pvt.) Limited FDM Capital Securities (Private) Limited	Stern Warning Stern Warning	- :	7-Mar-19 7-Mar-19 7-Mar-19	ACTIVE ACTIVE
40 41	144 163	Dattoo Securities (Private) Limited Friendly Securities (Pvt.) Limited	Stern Warning Confiscation of Profits	214,966	7-Mar-19	ACTIVE ACTIVE
42 43	028 050	Ghani Osman Securities (Private) Limited Arif Habib Limited	Case Referred to SECP For Review and Necessary Action Case Referred to SECP For Review and Necessary Action		26-Feb-19 26-Feb-19	ACTIVE ACTIVE
44 45	058 166	Dawood Equities Limited Topline Securities (Private) Limited	Case Referred to SECP For Review and Necessary Action Case Referred to SECP For Review and Necessary Action		26-Feb-19 26-Feb-19	ACTIVE ACTIVE
46 47	001 112	Altaf Adam Securities (Private) Limited Standard Capital Securities (Private) Limited	Advised Advised		19-Feb-19 13-Feb-19	ACTIVE ACTIVE
48 49	142 022	Foundation Securities (Pvt.) Limited BMA Capital Management Limited	Advised Advised		13-Feb-19 13-Feb-19	ACTIVE ACTIVE
50 51	057 204	First Capital Equities Limited Backers & Partners (Private) Limited	Advised Stern Warning		13-Feb-19 1-Feb-19	APPLIED FOR SURRENDER ACTIVE
52 53	024 049	ASDA Securities (Private) Limited Multiline Securities (Pvt.) Ltd.	Fine and confisction of Profit along with Stern Warning Stern Warning	30,000	1-Feb-19 1-Feb-19	ACTIVE ACTIVE
54 55	018 036	Ismail Iqbal Securities (Pvt.) Limited Time Securities (Private) Limited	Stern Warning Coffscation of Profit along with Stern Warning	13,435	1-Feb-19 1-Feb-19	ACTIVE ACTIVE
56 57	347 052	Amer Securities (Pvt.) Ltd. N II A Securities (Pvt.) Ltd.	Stern Warning Penalty Imposed along with confiscation of profits	10.054	1-Feb-19 24-Jan-19	ACTIVE ACTIVE
58 59	045 193	N. D.A. Securios (Private) Limited Akhai Securities (Private) Limited Akhai Securities (Pvt.) Limited	Penalty imposed along with confiscation of profits Penalty imposed along with confiscation of profits Stern Warning	98,350	24-Jan-19 24-Jan-19	ACTIVE ACTIVE
60 61	023	Khanani Securities (Private) Limited	Penalty Imposed	36,320	24-Jan-19 24-Jan-19 24-Jan-19	ACTIVE
62	001	Altaf Adam Securities (Private) Limited IGI Finex Securities Limited	Penalty Imposed along with confiscation of profits Advised	52,495	23-Jan-19 23-Jan-19	ACTIVE ACTIVE
64	124 006	EFG Hermes Pak Ltd Sherman Securities (Pvt.) Ltd.	Advised Advised Advised		23-Jan-19	ACTIVE ACTIVE ACTIVE
65 66 67	022 090	BMA Capital Management Limited Darson Securities (Private) Limited	Advised		23-Jan-19 10-Jan-19	ACTIVE
68	149 052	JS Global Capital Limited N.U.A. Securities (Private) Limited	Advised	-	10-Jan-19 4-Jan-19	ACTIVE ACTIVE
69	091		Strictly Advised			
70	102	Intermarket Securities Limited Growth Securities (Pvt.) Limited	Strictly Advised Advised	-	4-Jan-19 3-Jan-19	ACTIVE ACTIVE
70 71 72	102 166 116	Intermarket Securities Limited	Strictly Advised	4,777	4-Jan-19 3-Jan-19 1-Jan-19 21-Dec-18	ACTIVE
70 71 72 73 74	102 166 116 159	Intermarket Securities Limited Growth Securities (Pvt.) Limited Topline Securities (Private) Limited	Strictly Advised Advised Advised	56,853	4-Jan-19 3-Jan-19 1-Jan-19 21-Dec-18 21-Dec-18	ACTIVE ACTIVE ACTIVE
70 71 72 73 74 75 76	102 166 116 159 256 050	Intermarket Securities Limited Gowth Securities (Pr.4.) Limited Topline Securities (Pr.4.) Limited Parts Securities (Private) Limited Parts Securities (Private) Limited Parts Securities (Private) Limited Progressive Securities (Private) Limited Art Flabb Limited Art Flabb Limited Art Flabb Limited	Strictly Advised Advised Advised Advised Continuation of Profits Continuation of Profits Continuation of Profits Continuation of Profits Strictly Advised		4-Jan-19 3-Jan-19 1-Jan-19 21-Dec-18	ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE ACTIVE
70 71 72 73 74 75 76	102 166 116 159 256 050 084 102	Intermaken's Securities Limited Good Meccanities (Limited Tappins Securities (Private) Limited Tappins Securities (Private) Limited Part Securities (Private) Limited And Securities (Private) Limited And Securities (Private) Limited And Securities (Private) Limited And Securities (Private) Limited Mathematical Management Andread (Private) Securities (Pri-1) LISE Good Mescanities (Limited)	Stronly Advised Advised Advised Advised Confession of Profits Conf	56,853	4-Jan-19 3-Jan-19 1-Jan-19 21-Dec-18 21-Dec-18 21-Dec-18 13-Dec-18 13-Dec-18 27-Nov-18	ACTIVE
70 71 72 73 74 75 76 77 78	102 166 116 159 256 050 084 102 145	Intermatical Securities Limited Growth Securities Limited Taglion Securities (Privated Limited Taglion Securities (Privated Limited Partie Microstree (Privated Limited Prinception Securities (Privated Limited Prinception Securities (Private) Limited Prinception Securities (Private) Limited Malarimoral March Malarimoral Almost Obsasso Securities (Pri.) 11d Securities (Privated Limited Adam Securities (Privated Limited Adam Securities (Privated Limited Adam Securities (Privated Limited	Stroty Advised Advised Advised Advised Confection of Profits Stroty Advised Stroty Advised Stroty Advised Street Wasning Stew Wasning	56,853	4-Jan-19 3-Jan-19 1-Jan-19 21-0ec-18 21-0ec-18 21-0ec-18 13-0ec-18 13-0ec-18 27-Nov-18 2-Nov-18 2-Nov-18	ACTIVE
70 71 72 73 74 75 76 77 78 79 80	102 166 116 159 256 050 084 102 145 120 224	Intermatical Securities Limited Growth Securities Limited Toglical Securities (Privated Limited Toglical Securities (Privated Limited Toglical Securities (Privated Limited Ref Securities (Privated Limited Ref Securities (Private) Limited Ref Securities (Private) Limited Ref Tradia Limited Ref Tradia Limited Ref Tradia Limited Ref Ref Ref Limited Ref	Servity Advised Advised Advised Advised Conflication of Profits Conflication of Profits Conflication of Profits Conflication of Profits Stroky Advised Strok	56,853	4-Jan-19 3-Jan-19 1-Jan-19 21-Oec-18 21-Oec-18 13-Oec-18 13-Oec-18 13-Oec-18 22-Nov-18 22-Nov-18 2-Nov-18 2-Nov-18 2-Nov-18 2-Nov-18	ACTVE
70 71 72 73 74 75 76 77 78 80 81 82 83	102 166 116 159 256 050 084 102 145 120 224 187 062	Intermatinal Securities Limited Growth Securities Limited Toglian Securities (Private) Limited Toglian Securities (Private) Limited Page Securities (Private) Limited Res Securities (Private) Limited Res Securities (Private) Limited Antifacials Limited Securities (Private) Limited Antifacials Limited Securities (Private) Limited	Strotty Advised Advised Advised Advised Confection of Profils Strotty Advised Microly Advised Advised Advised Strotty Advised Strotty Advised Strotty Advised Advised Advised Strotty Advised Strotty Advised Strotty Advised Advised Advised Strotty Advised Strotty Advised Strotty Advised Strotty Advised Strotty Advised Strotty Advised Profile Strotty	\$6,853 11,539 	4-Jan-19 3-Jan-19 1-Jan-19 1-Jan-19 21-Oec-18 21-Oec-18 21-Oec-18 13-Oec-18 13-Oec-18 27-Nov-18 2-Nov-18 2-Nov-18 2-Nov-18 2-Nov-18 2-Nov-18 1-Nov-18 1-Nov-18 1-Nov-18 1-Nov-18 1-Nov-18 1-Nov-18 1-Nov-18	ACTIVE
70 71 72 73 74 75 76 77 78 80 81	102 166 116 159 256 050 084 102 145 120 224 187 062 223 091	intermentaria Securities Limited Growth Securities Limited Totalitie Securities (Provide) Limited Totalities Securities (Provide) Limited Facilities Securities (Provide) Limited Facilities Constitution (Provide) Facilities Constitution (Provide	Brothy Advised Brothy Advised Advised Advised Advised Advised Advised Brothy Advised	56,853 11,539	4-Jan-19 3-Jan-19 1-Jan-19 121-0ec-18 21-0ec-18 121-0ec-18 13-0ec-18 13-0ec-18 2-Nov-18 2-Nov-18 2-Nov-18 2-Nov-18 2-Nov-18 2-Nov-18 2-Nov-18 2-Nov-18	ACTIVE
70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85	102 166 116 119 256 050 084 102 145 120 224 187 062 223 091 128	intermentaria Securities Limited Growth Securities Limited Tacilies Securities (Protect Limited Tacilies (Protec	Storicy Advised Advise	\$6,853 11,539 	4 dan 19 3 dan 19 1 dan 19 1 dan 19 2 di Occ 18 1 di Occ 18 1 di Occ 18 2 di O	ACTIVE
70 71 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87	102 166 116 119 159 156 050 060 102 145 120 120 122 124 137 062 123 062 123 166 177 187 187 187 187 187 187 187	Intermaken's Escurities United Growth Securities (11), United a Topicies Securities (11), United a Adom Securities (11), United a Securities (11), United a Adom Securities (11), United a Adom Securities (11), United a Mana Securities (11), United a Mana Securities (11), United a Annual Securities (11), United a Continuent (21), United (11), Uni	Storicy Advised Advised Advised Advised Confection or Public Confection or Confection Confection	\$6,853 11,539 	4 dan 19 3 dan 19 1 dan 19 1 dan 19 2 di Occ 18 3 docc 18 3 docc 18 2 docc 18 3 docc 18	ACTIVE
70 71 71 72 73 74 75 76 77 78 80 81 82 83 84 85 86 87 88	102 166 116 119 159 159 150 150 150 102 145 120 120 120 121 120 120 121 120 121 120 121 120 121 120 121 121	Intermaken's Escurities United Growth Securities (11), United a Taglin's Securities (11) (11), United a Taglin's Securities (11), United a Taglin's Securities (11), United a Mark Securi	Monthy Advised Advised Advised Advised Conflication of Profits Entry Advised Service Advised Advised Service Warning Service Warning Service Warning Service Warning Service Warning Frest Warning Service Warning Frest Warning Frest Warning Service Warning	56,851 11,339 11,339 5,500 12,500 1,060	4 sin 19 3 sin 19 1 sin 19 1 sin 19 2 sin 20 2 s	ACTIVE
70 71 71 72 73 74 75 76 77 78 80 81 81 82 83 84 85 86 87 88 90 91	102 166 116 119 159 150 50 50 102 145 120 120 121 120 121 120 121 120 121 120 121 121	Intermediate Securities United Growth Securities (Protested Limited Taglius Securities (Protested Limited Taglius Securities (Protested Limited Taglius Securities (Protested Limited Ast Securities (Protested Limited Asta Securities (Protested Limited) Asta Securities (Protested Limited Asta Securitie	Monthly Advised Advised Advised Advised Conflication of Profits Conflication of Profits Conflication of Profits Conflication of Profits Story Manual Ma	55,851 11,539 11,539 5,500 12,500 1,050	4 sin 19 3 sin 19 1 sin 19 1 sin 19 1 sin 19 2 s	ACTVE
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70 71 71 73 74 75 76 77 78 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95	102 166 116 115 159 256 084 102 145 120 120 120 121 187 091 128 169 119 129 121 100 101 101 101 108 101 108 108	intermentaria Securities United Growth Securities (11) United I Totalies Securities (11) United I Totalies Securities (11) United I Totalies Securities (11) United I August Securities (11) United I Programme Securities (11) United I Anharmand Manter Mahammad Ahmed (11) United I Anharmand Manter Mahammad Ahmed (11) United I Anharmand Manter Mahammad Ahmed (11) United I Anharmad Securities (11) United I Anharmad Manter Mahammad Ahmed (11) United I Anharmad Manter Mahammad Ahmed (11) United I Anharmad Manter Mahammad Ahmed (11) United I Annard Securities (11) Uni	Boroly Advised	56,851 11,339 11,339 5,500 12,500 1,060	4 sin 19 3 sin 19 1 s	ACTIVE ACTIVE
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70 71 72 73 74 74 75 76 77 78 80 80 81 82 83 84 85 86 88 89 90 90 91 99 99 99 99 99 99 99 99 99 99 99 99	102 166 116 116 119 256 159 256 100 102 145 102 120 122 145 127 062 123 091 187 109 119 119 119 119 119 119 119 119 119	intermaken Scruettes United Growth Securities (Private) United Totals Securities (Private) United Totals Securities (Private) United Securiti	Boroly Advised Advised Advised Advised Advised Advised Confuzion of miths Confuzion of miths Confuzion of miths Confuzion of miths Story Advised Advis	56,851 11,339 11,339 5,500 12,500 1,060	4 and 9 3 and	ACTIVE ACTIVE
70 71 72 72 73 74 74 75 76 77 78 80 80 82 82 83 84 85 89 90 91 92 92 92 92 92 99 99 99 99 99 99 99 99	1002 1002 1002 1002 1002 1002 1006 1106 1109 1009 1009 1009 1002 10	intermediate Securities (Institute Growth Securities (Institute) Topicies Securities (Products) (Institute) Topicies Securities (Products) (Institute) Topicies Securities (Products) (Institute) Progressive Securities (Products) (Institute) Progressive Securities (Products) (Institute) Anthronous Securities (Products) (Institute) Anthronous Securities (Products) (Institute) Anthronous Securities (Products) (Institute) Anthronous Securities (Institute) Institute (In	Storily Advised Advised Advised Advised Advised Confusion of Publis Confusion of Confusion Storing Warring Storing Warring Frankly Imposed Publis Imposed Publis Imposed Publis Imposed Storing Warring Storing Warring Storing Warring Elem Warring Storing Warring Maria Imposed Publis Imposed Storing Warring Storing Wa	56,851 11,339 11,339 5,500 12,500 1,060	4 and 9 3 and 9 1 does 9 2 does 4 2 does 4 2 does 4 3 does 9 3 does 4 3 does 4 4 does 4	ACTIVE ACTIVE
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70 71 72 72 73 74 75 76 76 77 78 80 81 81 82 83 83 84 85 86 87 87 99 90 90 90 90 90 90 90 90 90 90 90 90	102 102 102 102 102 102 102 102 102 102	intermentaria Securities United Growth Securities (Frunted Limited Tabella Securities (Frunted Limited Tabella Securities (Frunted Limited Annual Securities (Frunted Limited Anual Securities (Frunted Limited Annual Securities (Frunted Limit	Storily Advised Advised Advised Advised Advised Advised Conflication of Profits Conflication of Profits Conflication of Profits Conflication of Profits Storily Advised Storily Advised Advise	96,831 11,139 11	4 and 91 3 a	ACTIVE ACTIVE
70 71 72 72 73 74 75 75 76 77 78 80 81 81 82 83 85 86 87 99 99 99 99 99 99 99 99 99 99 99 99 99	102 102 102 102 102 102 102 102 102 102	intermediate Securities United Cookin Securities (Put United Securit	Boroly Advised Advised Advised Advised Advised Advised Confination of Profits Confination of Profits Confination of Profits Boroly Advised Boroly Advised Advised Advised Advised Advised Boroly Advised Advised Advised Advised Boroly Advised Advised Advised Advised Boroly Advised Advised Advised Boroly Advised Advised Advised Boroly Advised Advised Boroly Advised Advised Advised Advised Advised Advised Advised Boroly Williams Boroly Advised Boroly Williams	96,831 11,139 11,139 11,139 11,139 11,139 11,130 11	4 and 93 3 and 94 3 a	ACTIVE ACTIVE
70 71 72 72 73 74 75 75 76 77 78 80 81 81 82 82 83 89 91 101 102 102 102 102 102 102 102 102 10	1002 1002 1002 1100 1100 1100 1100 1000 1	intermediate Securities Directed Growth Securities (Provided Limited Spatial Securities (Provided Limited Spatial Securities (Provided Limited Programs (Securities (Provided Limited Abhahammad Manit Abhahammad Abhamed Securities (Prol. 1181 Mahammad Manit Abhammad Abhamed Securities (Prol. 1181 Mahammad Securities (Provided Limited AS Capital Securities (Provided Limited Abhammad Securities (Limited Associatios (Limited As	Brothy Advised Advised Advised Advised Advised Advised Advised Conflication of methy Conflication of methy Brothy Advised Brothy Advised Brothy Advised Serve Warning Serve Warning Serve Warning Advised Presidy Imposed Presidy Imposed Presidy Imposed Fresidy I	96,831 11,139 11,139 11,139 11,139 11,130	4 and 9 3 and	ACTIVE ACTIVE
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70 71 72 72 73 74 75 75 76 77 78 80 81 81 82 82 83 89 91 101 102 102 102 102 102 102 102 102 10	102 102 103 104 105	intermediate Securities United Growth Securities (11-1) United Tables (11-1) United (11-1) United (11-1) United Tables (11-1) United (11-1) United (11-1) United Tables (11-1	Brothy Advised Advised Advised Advised Advised Advised Advised Conflication of methy Conflication of methy Brothy Advised Brothy Advised Brothy Advised Serve Warning Serve Warning Serve Warning Advised Presidy Imposed Presidy Imposed Presidy Imposed Fresidy I	96,831 11,139 11	4 and 93 3 Jan 19 3 J	ACTIVE ACTIVE
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70 71 72 72 73 74 74 75 75 76 77 77 78 80 80 81 82 82 82 86 86 86 87 88 89 90 100 100 100 100 100 100 100 100 100	102 102 103 104 105 105 105 105 105 105 105 105 105 105	intermediate Securities Directed Growth Securities (Provided Limited Spatial Securities (Provided Limited Spatial Securities (Provided Limited Programme Securities (Provided Limited Programme Securities (Provided Limited Programme Securities (Provided Limited Programme Securities (Provided Limited Abhahammad Manch Ashahammad Ahmed Shanel Securities (Pro L 1881 Mahammad Manch Ashahammad Ahmed Shanel Securities (Pro L 1881 Mahammad Shanel Shahammad Ahmed Shanel Securities (Pro L 1881 Mahammad Shanel Shahammad Ahmed Shanel Securities (Pro L 1881 Mahammad Shanel Shahammad Ahmed Shanel Securities (Pro L 1881 Mahammad Shanel Shahammad Ahmed Shanel Securities (Pro L 1881 Mahammad Shanel Shahammad Ahmed Shanel Securities (Pro L 1881 Mahammad Shanel Shahammad Ahmed Shanel Securities (Pro L 1881 Mahammad Shanel Shahammad Ahmed Shanel Securities (Pro L 1881 Mahammad Shanel Shahammad Ahmed Shanel Securities (Pro L 1881 Mahammad Shanel Shahammad Ahmed Shanel Securities (Pro L 1881 Mahammad Shanel Shahammad Ahmed Shanel Securities (Pro L 1881 Mahammad Shanel Shahammad Ahmed Shanel Securities (Pro L 1881 Marian Securities (Limited Mahammad Shanel Shahammad Ahmed Shanel Securities (Pro L 1881 Marian Securities (Limited Mahammad Shanel Shahammad Ahmed Shanel Securities (Pro L 1881 Marian Securities (Limited Mahammad Shanel Shahammad Ahmed Shanel Securities (Pro L 1881 Marian Securities (Limited Mahammad Shanel Shahammad Ahmed Shanel Securities (Pro L 1881 Marian Securities (Limited Mahammad Shanel Shahammad Ahmed Shanel Shane	Brothy Advised Advised Advised Advised Advised Advised Conflication of motifs Conflication of motifs Stroly Advised Brothy Advised Advised Service Warming Service Warming Service Warming Service Warming Advised Advised Advised Advised Preside Warming Service Warming Service Warming Service Warming Advised Advised Preside Warming Broth Warming Advised Advised Advised Advised Advised Service Warming Service Warmin	11,39 11,139 11,	4 no 97	ACTIVE ACTIVE
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S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement	Current Status
127	021	Alfa Adhi Securities (Pvt.) Ltd.	Describe Income of allower (the section of section	(# any) 32.160	Actions 7-May-18	ACTIVE
128	021	Aria Adni Securities (PVt.) Ltd. Ismail Igbal Securities (Pvt.) Limited	Penalty Imposed along with confiscation of profits Advised	32,160	7-May-18	ACTIVE ACTIVE
129	098	Fairtrade Capital Securities (Private) Limited	Advised		4-May-18	ACTIVE
130 131	098 098	Fairtrade Capital Securities (Private) Limited Fairtrade Capital Securities (Private) Limited	Advised Advised		4-May-18 4-May-18	ACTIVE ACTIVE
132	098	Fairtrade Capital Securities (Private) Limited	Advised		4-May-18	ACTIVE
133	098	Fairtrade Capital Securities (Private) Limited	Advised		4-May-18	ACTIVE
134 135	112 346	Standard Capital Securities (Private) Limited Strongman Securities (Pvt.) Ltd.	Advised Advised		4-May-18 4-May-18	ACTIVE ACTIVE
136	085	Concordia Securities (Pvt.) Ltd.	Advised		13-Apr-18	ACTIVE
137	142	Foundation Securities (Pvt.) Limited	Advised		9-Apr-18	ACTIVE
138	006 228	Sherman Securities (Pvt.) Ltd. Al-Hao Securities (Private)Limited	Advised Advised		9-Apr-18 6-Apr-18	ACTIVE ACTIVE
140	169	Pearl Securities Limited	Advised	-	6-Apr-18	ACTIVE
141	442	General Investment & Securities (Private) Limited.	Advised		6-Apr-18	ACTIVE
142 143	442 345	General Investment & Securities (Private) Limited. Pearl Brokerage (Pvt.) Ltd.	Advised Stern Warning		6-Apr-18 4-Apr-18	ACTIVE SURRENDERED / RELINQUISHED
144	485	Hamza Farhad Securities (Pvt) Limited	Confiscation of Profits	870	4-Apr-18	ACTIVE
145	089	Investment Managers Securities (Private) Limited	Stern Warning		21-Mar-18	ACTIVE
146 147	162 166	Aba Ali Habib Securities (Private) Limited Topline Securities (Private) Limited	Stern Warning Confiscation of Profits	8,565	21-Mar-18 21-Mar-18	ACTIVE ACTIVE
148	162	Aba Ali Habib Securities (Private) Limited	Advised	8,383	15-Mar-18	ACTIVE
149	256	Progressive Securities (Private) Limited	Stern Warning		20-Feb-18	ACTIVE
150	232 442	Arif Latif Securities (Private) Limited General Investment & Securities (Private) Limited	Stern Warning Stern Warning		20-Feb-18 20-Feb-18	ACTIVE ACTIVE
152	091	Intermarket Securities Limited Intermarket Securities Limited	Stern Warning Stern Warning		20-Feb-18	ACTIVE ACTIVE
153	091	Intermarket Securities Limited	Stern Warning		20-Feb-18	ACTIVE
154 155	091 024	Intermarket Securities Limited ASDA Securities (Private) Limited	Stern Warning Stern Warning	-	20-Feb-18 7-Feb-18	ACTIVE ACTIVE
155	024	ASDA Securities (Private) Limited Summit Capital (Private) Limited	Stern Warning Stern Warning		7-Feb-18 1-Feb-18	ACTIVE ACTIVE
157	066	Iqbal Usman Kodvavi Securities (Pvt.) Ltd.	Penalty Imposed	7,125	1-Feb-18	ACTIVE
158	131	GMI Capital Securities (Private) Limited	Stern Warning	2.750	1-Feb-18	ACTIVE
159 160	045 131	Bhayani Securities (Private) Limited GMI Capital Securities (Private) Limited	Penalty Imposed Stern Warning	2,750	1-Feb-18 1-Feb-18	ACTIVE ACTIVE
161	044	IGI Finex Securities Limited	Stern Warning Stern Warning		1-Feb-18	ACTIVE
162	490	Baba Equities (Private) Limited	Penalty Imposed	226,660	13-Dec-17	TRADING TERMINALS SUSPENDED
163 164	490 224	Baba Equities (Private) Limited K.& I Global Capital (Private) Limited	Warned Advised	-	13-Dec-17 12-Dec-17	TRADING TERMINALS SUSPENDED ACTIVE
164	224 410	K & I Global Capital (Private) Limited Zahid Latif Khan Securities (Private) Limited	Advised Penalty Imposed	15,597	12-Dec-17 30-Nov-17	ACTIVE ACTIVE
166	482	New Peak Securities (Private) Limited	Penalty Imposed	22,950	30-Nov-17	ACTIVE
167	482	New Peak Securities (Private) Limited	Penalty Imposed	70,650	30-Nov-17	ACTIVE
168 169	155 169	B & B Securities (Private) Limited Pearl Securities Limited	Penalty Imposed Penalty Imposed	6,000 240,940	30-Nov-17 17-Nov-17	ACTIVE ACTIVE
170	052	N.U.A. Securities (Private) Limited	Stern Warning	140,340	17-Nov-17	ACTIVE
171	052	N.U.A. Securities (Private) Limited	Stern Warning		17-Nov-17	ACTIVE
172 173	052 052	N.U.A. Securities (Private) Limited N.U.A. Securities (Private) Limited	Stern Warning Stern Warning		17-Nov-17 17-Nov-17	ACTIVE ACTIVE
174	084	Muhammad Munir Muhammad Ahmed Khanani Securities (Private) Limited	Penalty Imposed	30,496	9-Nov-17	ACTIVE
175	169	Pearl Securities Limited	Advised		1-Nov-17	ACTIVE
176	032	Zafar Moti Capital Securities (Private) Limited	Penalty Imposed	26,740	18-Oct-17 18-Oct-17	ACTIVE
177	018 030	Ismail Iqbal Securities (Pvt.) Limited Cedar Capital (Private) Limited	Penalty Imposed Penalty Imposed	10,000 14,500	18-0ct-17	ACTIVE ACTIVE
179	290	K.H.S. Securities (Private) Limited	Advised	14,300	28-Aug-17	ACTIVE
180	084	Muhammad Munir Muhammad Ahmed Khanani Securities (Private) Limited	Warned		28-Aug-17	ACTIVE
181 182	036	Time Securities (Private) Limited Sherman Securities (Pvt.) Ltd.	Warned Advised		28-Aug-17 28-Aug-17	ACTIVE ACTIVE
183	006	Sherman Securities (Pvt.) Ltd.	Advised		28-Aug-17	ACTIVE
184	046	Fortune Securities Limited	Advised		28-Aug-17	ACTIVE
185 186	102	Growth Securities (Private) Limited Zafar Securities (Private) Limited	Warned Warned		24-Aug-17 24-Aug-17	ACTIVE ACTIVE
187	102	Growth Securities (Pvt.) Limited	Warned		24-Aug-17	ACTIVE ACTIVE
188	102	Growth Securities (Pvt.) Limited	Warned		24-Aug-17	ACTIVE
189	068	Zafar Securities (Private) Limited	Warned		24-Aug-17	ACTIVE
190 191	068	Zafar Securities (Private) Limited Cedar Capital (Private) Limited	Warned Advised	-	24-Aug-17 21-Jul-17	ACTIVE ACTIVE
192	019	AKD Securities Limited	Warned		21-Jul-17	ACTIVE
193	234	Value Stock and Commodities (Private) Limited	Penalty Imposed	643,699	17-Jul-17	ACTIVE
194 195	016 169	D.J.M. Securities (Private) Limited Pearl Securities Limited	Warned Warned		14-Jul-17 14-Jul-17	ACTIVE ACTIVE
196	001	Altaf Adam Securities (Private) Limited	Advised		4-Jul-17	ACTIVE
197	028	Ghani Osman Securities (Private) Limited	Advised		4-Jul-17	ACTIVE
198	054 091	Bawa Securities (Private) Limited Intermarket Securities Limited	Penalty Imposed Artificed	55,683	21-Jun-17 21-Jun-17	ACTIVE ACTIVE
200	188	Apex Capital Securities (Private) Limited	Advised Advised	-	21-Jun-17 21-Jun-17	ACTIVE ACTIVE
201	091	Intermarket Securities Limited	Advised		21-Jun-17	ACTIVE
202	158	Royal Securities (Private) Limited	Advised		19-Jun-17 16-Jun-17	ACTIVE
203	228 048	Al-Haq Securities (Private)Limited Next Capital Limited	Warned Warned	- :	16-Jun-17 9-Jun-17	ACTIVE ACTIVE
205	048	Next Capital Limited	Penalty Imposed	70,175	9-Jun-17	ACTIVE
206	048	Next Capital Limited	Warned		9-Jun-17	ACTIVE
207	088	Fawad Yusuf Securities (Private) Limited Fawad Yusuf Securities (Private) Limited	Warned Penalty Imposed	92.527	9-Jun-17 9-Jun-17	ACTIVE ACTIVE
209	880	Fawad Yusuf Securities (Private) Limited	Penalty Imposed	64,041	9-Jun-17	ACTIVE
210	088	Faward Yusuf Securities (Private) Limited	Warned		9-Jun-17	ACTIVE
211	057 057	First Capital Equities Limited First Capital Equities Limited	Advised Advised	-	10-May-17 10-May-17	APPLIED FOR SURRENDER APPLIED FOR SURRENDER
213	057	First Capital Equities Limited First Capital Equities Limited	Advised		10-May-17	APPLIED FOR SURRENDER APPLIED FOR SURRENDER
214	149	JS Global Capital Limited	Advised		10-May-17	ACTIVE
215	017	Summit Capital (Private) Limited	Stern Warning		4-May-17	ACTIVE
216 217	184 047	Prime Securities (Private) Limited Zillion Capital Securities (Private) Limited	Penalty Imposed Penalty Imposed	71,861 59,675	21-Apr-17 7-Apr-17	ACTIVE ACTIVE
218	159	Rafi Securities (Private) Limited	Penalty imposed	51,470	7-Apr-17	ACTIVE
219	159	Rafi Securities (Private) Limited	Penalty Imposed	50,000	7-Apr-17	ACTIVE
220 221	173 124	Spectrum Securities (Private) Limited Invest and Finance Securities Limited	Warned Advised	-	24-Mar-17 10-Mar-17	ACTIVE ACTIVE
221	124 129	Invest and Finance Securities Limited Taurus Securities Limited	Advised Advised	- :	10-Mar-17 27-Feb-17	ACTIVE ACTIVE
223	129	Taurus Securities Limited	Advised		27-Feb-17	ACTIVE
224	084	Muhammad Munir Muhammad Ahmed Khanani Securities (Private) Limited	Penalty Imposed	144,795	23-Feb-17 23-Feb-17	ACTIVE
225 226	021 100	Alfa Adhi Securities (Private) Limited Elbir Securities Pakistan (Private) Limited	Penalty Imposed Advised	1,230,452	23-Feb-17 22-Feb-17	ACTIVE ACTIVE
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S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty	Date of Enforcement Actions	Current Status
227	046	Fortune Securities Limited	Advised	(If any)	3-Feb-17	ACTIVE
228	438	Fair Edge Securities (Private) Limited	Advised		3-Feb-17	ACTIVE
229	056	Nael Capital (Private) Limited	Advised		3-Feb-17	ACTIVE
230	466	UNEX Securities (Private) Limited	Advised		3-Feb-17	ACTIVE
231	183	R.T. Securities (Private) Limited	Advised		31-Jan-17	ACTIVE
232	010	Sakarwala Capital Securities (Private) Limited	Advised	_	31-Jan-17	ACTIVE
233	297	MSD Capital Equities (Private) Limited	Advised	-	31-Jan-17	TRADING TERMINALS SUSPENDED
234	181	First Equity Modaraba	Advised	-	31-Jan-17	ACTIVE
235	203	Brains Securities (Private) Limited	Advised	-	31-Jan-17	ACTIVE
236	010	Sakarwala Capital Securities (Private) Limited	Advised	-	31-Jan-17	ACTIVE
237	010	AKD Securities Limited	Advised Advised		31-Jan-17	ACTIVE ACTIVE
237	221				25-Jan-17	
239	482	Millennium Brokerage (SMC-Pvt) Limited New Peak Securities (Private) Limited	Advised Advised		25-Jan-17 25-Jan-17	ACTIVE ACTIVE
240	482					TRADING TERMINALS SUSPENDED
		Baba Equities (Private) Limited	Advised		25-Jan-17	
241	166	Topline Securities (Private) Limited	Advised	-	25-Jan-17	ACTIVE
242 243	485	Hamza Farhad Securities (Private) Limited	Advised		25-Jan-17	ACTIVE
	085	Concordia Securities (Private) Limited	Advised		24-Jan-17	ACTIVE
244	116	Patel Securities (Private) Limited	Penalty Imposed	50,000	19-Jan-17	ACTIVE
245	118	Sunrise Capital (Private) Limited	Penalty Imposed	200,000	17-Jan-17	TRADING TERMINALS SUSPENDED
246	017	Summit Capital (Private) Limited	Advised		3-Jan-17	ACTIVE
247	017	Summit Capital (Private) Limited	Advised		3-Jan-17	ACTIVE
248	012	Reliance Securities Limited	Advised		30-Dec-16	APPLIED FOR SURRENDER
249	054	Bawa Securities (Private) Limited	Advised		30-Dec-16	ACTIVE
250	012	Reliance Securities Limited	Advised		30-Dec-16	APPLIED FOR SURRENDER
251	066	Igbal Usman Kodvavi Securities (Private) Limited	Advised		28-Dec-16	ACTIVE
252	229	Fairway Securities (Private) Limited	Advised		28-Dec-16	ACTIVE
253	102	Growth Securities (Private) Limited	Advised		26-Dec-16	ACTIVE
254	018	Ismail Iqbal Securities (Pvt.) Limited	Advised		26-Dec-16	ACTIVE
255	112	Standard Capital Securities (Private) Limited	Advised		26-Dec-16	ACTIVE
256	045	Bhayani Securities (Private) Limited	Advised		22-Dec-16	ACTIVE
257	142	Foundation Securities (Private) Limited	Advised		22-Dec-16	ACTIVE
258	016	D.J.M. Securities (Private) Limited	Advised		21-Dec-16	ACTIVE
259	046	Fortune Securities Limited	Advised		20-Dec-16	ACTIVE
260	490	Baba Equities (Private) Limited	Advised		20-Dec-16	TRADING TERMINALS SUSPENDED
261	224	K & Global (Private) Limited	Advised		20-Dec-16	ACTIVE
262	224	K & I Global (Private) Limited	Advised		20-Dec-16	ACTIVE
263	348	AMCAP Securities (Private) Limited	Advised		1-Dec-16	TRADING TERMINALS SUSPENDED
264	090	Darson Securities (Private) Limited	Penalty Imposed	50,000	1-Dec-16	ACTIVE
265	177	Din Capital (Private) Limited	Penalty Imposed	52,479	1-Dec-16	APPLIED FOR SURRENDER
266	037	HH Misbah Securities (Private) Limited	Advised		29-Nov-16	ACTIVE
267	062	WE Financial Services Limited	Advised		28-Nov-16	ACTIVE
268	028	Ghani Osman Securities (Private) Limited	Advised		22-Nov-16	ACTIVE
269	072	TS Securities (Private) Limited	Penalty Imposed	89.701	18-Nov-16	ACTIVE
270	006	Sherman Securities (Private) Limited	Penalty Imposed	248.773	14-Nov-16	ACTIVE
271	097	Invest Capital Markets Limited	Advised		8-Nov-16	FORFEITED
272	107	Seven Star Securities (Private) Limited	Advised		8-Nov-16	ACTIVE
273	101	Global Securities Pakistan Limited	Advised	+ :	8-Nov-16	SURRENDERED / RELINQUISHED
274	053	M H Securities (Private) Limited	Advised	1	4-Nov-16	SURRENDERED / RELINQUISHED
275	109	Dalal Securities (Private) Limited	Advised	t - :	4-Nov-16	ACTIVE
276	410	Zahid Latif Khan Securities (Private) Limited	Advised Advised		4-Nov-16	ACTIVE ACTIVE
277	030	Zanid Latir knan Securities (Private) Limited Cedar Capital (Private) Limited	Advised Advised		4-Nov-16	ACTIVE ACTIVE
277	088	Fawad Yusuf Securities (Private) Limited	Advised Advised	-	4-Nov-16	ACTIVE ACTIVE
279	068	Zafar Securities (Private) Limited	Advised Advised	-	4-Nov-16	ACTIVE ACTIVE
280				-	4-Nov-16 4-Nov-16	
28U	096	MSMANIAR Financials (Private) Limited	Advised		4-NOV-16	ACTIVE