S. No.	TREC No.	Name of TREC Holder Actions taken by Audit, Inspection	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions
1	11	ACM Global (Private) Limited SL CANCELL	SPENSION OF TRADING TERMINALS CONSEQUENT TO THE ATION OF BROKER LICENSE OF M/S. ACM GLOBAL (PVT.) LIMITED	-	30-Dec-22
2	251 44	MND Investments Private Limited IGI Finex Securities Private Limited	The Brokerage House was WARNED The Brokerage House was Advised		14-Dec-22 19-Dec-22
4	286	Dosslani's Securities (Private) Limited	The Brokeraae House was Penalized and Warned RESTRICTION ON TRADING FACILITY	40.000	22-Dec-22
6	519 339	Galaxy Capital Securities (Private) Limited Khawaja Securities (Pvt.) Ltd.	RESTRICTION ON TRADING FACILITY RESTRICTION ON TRADING FACILITY		1-Dec-22 29-Nov-22
7	35 183	Surmawala Securities (Private) Limited	The Brokerage House was Advised		22-Nov-22 22-Nov-22
9	267	R.T. Securities (Private) Limited Bismillah Securities (Private) Limited	Direction Given RESTRICTION ON TRADING FACILITY		16-Nov-22
10	185 297	Inveslink Capital (Pvt.) Ltd MSD Capital Equities (Pvt.) Limited	RESTRICTION ON TRADING FACILITY		10-Nov-22 10-Nov-22
12	459	SMAC investments (Pvt.) Limited	RESTRICTION ON TRADING FACILITY RESTRICTION ON TRADING FACILITY	-	10-Nov-22
13	84 84	M. Munir M. Ahmed Khanani Securities (Private) Limited M. Munir M. Ahmed Khanani Securities (Private) Limited	The Brokerage House was Strictly Warned		8-Nov-22 20-Oct-22
15	224	K & I Global Capital (Private) Limited	The Brokerage House was Advised The Brokerage House was Penalized and Warned	60000	19-Oct-22
16 17	120 485	Alfalah CLSA Securities (Pvt.) Limited Hamza Farhad Securities (Pvt) Ltd.	The Brokerage House was WARNED The Brokerage House was Penalized and Advised	- 40000	12-Oct-22 30-Sep-22
18	221	Networth Securities Limited Networth Securities Limited	The Brokerage House was Penalized and Marved	34000	21-Sep-22
19	335 35	Networth Securities Limited Surmawala Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Warned	-	14-Sep-22 13-Sep-22
20 21 22	185	Investink Conital (Pvt.) Limited	The Brokerage House was Advised		5-Sep-22 8-Sep-22
22	58 30	Dawood Equities Limited Cedar Capital (Pvt.) Limited	The Brokerage House was Advised The Brokerage House was Warned	-	8-Sep-22 18-Aug-22
24	30	Cedar Capital (Pvt.) Limited	The Brokerage House was Warned		18-Aug-22
25 26	24 527	ASDA Securities (Pvt.) Ltd Ocean Securities Limited	RESTRICTION ON TRADING FACILITY RESTRICTION ON TRADING FACILITY		16-Aug-22 16-Aug-22
27	175	First National Equities Limited	The Brokerage House was Advised	-	16-Aug-22
28	175	First National Equities Limited	The Brokerage House was Advised		16-Aug-22
29 30	109 497	Dalal Securities (Pvt.) Ltd. JSK Securities Limited	The Brokerage House was Advised The Brokerage House was Advised	-	15-Aug-22 5-Aug-22
31	117	Fikree's (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		3-Aug-22 29-Jul-22
32 33	318 228	Asad Mustafa Securities (Private) Limited Al-Haq Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised	-	29-Jul-22
34	143	Saao Capital Private Limited	The Brokerage House was Advised		29-Jul-22
35 36	420 420	Progressive Investment Management (Private) Limited Progressive Investment Management (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		28-Jul-22 28-Jul-22
37	28	Ghani Osman Securities (Private) Limited	The Brokerage House was Warned		28-Jul-22
38	287	Highland Securities (Pvt) Limited Highland Securities (Pvt) Limited	The Brokerage House was Advised The Brokerage House was Advised	-	26-Jul-22 26-Jul-22
39 40 41	287 287 410		The Brokerage House was Advised		26-Jul-22
41	410 327	Zahid Latif Khan Securities (Pvt) Limited Gul Dhami Securities (Pvt) Ltd	The Brokerage House was Advised The Brokerage House was Advised	-	22-Jul-22 22-Jul-22
43	457	AAA Securities (Pvt.) Limited	The Brokerage House was Advised	-	22-Jul-22
44 45	508 523	KP Securities (Pvt) Ind. Falki Capital Private Limited	The Brokerage House was Advised The Brokerage House was Advised		22-Jul-22 22-Jul-22
	129	Tourus Securities Limited	The Brokerage Hosue was Advised		22-Jul-22
47 48	129	Taurus Securities Limited Time Securities (Pvt.) Ltd.	The Brokerage House was Advised The Brokerage House was Advised		22-Jul-22 21-Jul-22
49	72	TS Securities (Pvt.) Limited	The Brokerage House was Advised	-	21-Jul-22
50 51	268 181	Sethi Securites Private Ltd. First Equity Modaraba	The Brokerage House was Advised The Brokerage House was Advised		20-Jul-22 20-Jul-22
52	347	Amer Securities (Pvt.) Limited	The Brokerage House was Penalized and Warned	53500	19-Jul-22
53 54	266 223	Shaffi Securities (Private) Limited Maan Securities (Pvt.) Limited	The Brokerage House was Penalized and Warned The Brokerage House was Advised	47172	19-Jul-22 19-Jul-22
55	444	XPERT SECURITIES LIMITED	RESTRICTION ON TRADING FACILITY		18-Jul-22
56 57	23 98	Khononi Securitier (Put) Itd	RESTRICTION ON TRADING FACILITY	-	18-Jul-22 18-Jul-22
58	339	Raintade Cepital Securitries (Pvt.) Ltd. Khawaja Securitries (Pvt.) Ltd.	RESTRICTION ON TRADING FACILITY RESTRICTION ON TRADING FACILITY		18-Jul-22
59 60	144	Dattoo Securities (Private) Ltd. Creative Capital Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		7-Jul-22 7-Jul-22
61 62	286	Dosslani's Securities (Private) Limited	The Brokerage House was Advised	-	7-Jul-22
62 63	286 47 58	Zillion Capital Securities (Pvt.) Ltd Dawood Equities Limited	The Brokerage House was Advised The Brokerage House was Warned		5-Jul-22 4-Jul-22
64 65	58	Dawood Equities Limited	The Brokeraae House was Warned	-	4-Jul-22 30-Jun-22
65 66	58 84	Dawood Equities Limited M. Munir M. Ahmed Khanani Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised	-	30-Jun-22 30-Jun-22
67	197	Lakhani Securities (Pvt.) Limited	The Brokerage House was Advised	-	30-Jun-22
68 69	292 497	INA Securities (Pvt.) Limited JSK Securities Limited	The Brokerage House was Advised The Brokerage House was Advised		30-Jun-22 30-Jun-22
70	199	Insight Securities (Pvt.) Ltd.	The Brokerage House was Advised		29-Jun-22
71 72	163 297	Friendly Securities (Private) Ltd. MSD Capital Equities (Pvt.) Limited	The Brokerage House was Advised		29-Jun-22 27-Jun-22
	116	Patel Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Strictly Warned		27-Jun-22
74	116 297	Patel Securities (Private) Limited MSD Capital Equities (Pvt.) Limited	The Brokerage House was Strictly Warned The Brokerage House was Warned		27-Jun-22 27-Jun-22
76 77	328	128 Securities (Private) Limited	The Brokerage House was Warned		24-Jun-22
77 78	248 248	Khadim Ali Shah Bukhari Securities (Pvt.) Limited Ktrade Securities Limited	The Brokerage House was Advised The Brokerage House was Advised		23-Jun-22 23-Jun-22
79	297	MSD Capital Equities (Pvt.) Limited	The Brokerage House was Warned		23-Jun-22
80 81	82 346	Mayari Securities (Private) Ltd. Strongman Securities (Pvt.) Ltd.	The Brokerage House was advised The Brokerage House was Advised		22-Jun-22 21-Jun-22
82	54 186	BAWA Securities (Private) Limited	The Brokerage House was Advised		21-Jun-22 21-Jun-22 21-Jun-22
83 84	186	Muhammad Tariq Moti Securities (Private) Limited Inveslink Capital (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		21-Jun-22 21-Jun-22
85	193	Akhai Securities (Pvt.) Ltd.	RESTRICTION ON TRADING FACILITY		17-Jun-22
86 87	58 52	Dawood Equities Limited N.U.A. Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned		15-Jun-22 14-Jun-22
88	204	Backers & Partners (Pvt) Ltd.	The Brokerage Hosue was Advised		10-Jun-22
89 90	102	Growth Securities (Pvt.) Limited Venus Securities (Private) Limited	The Brokeraae House was Warned The Brokeraae House was Advised		10-Jun-22
90 91	93 140	Venus Securities (Private) Limited M. M. Securities (Private) Limited	The Brokerage House was Advised		10-Jun-22 10-Jun-22
92 93	35 24	Surmawala Securities (Private) Limited ASDA Securities (Private) Limited	The Brokerage House was Warned and Penalized The Brokerage House was Advised	30000	10-Jun-22 7-Jun-22
94	90	Darson Securities Limited	The Brokerage House was Advised		7-Jun-22
95 96	91 128	Intermarket Securities Limited BIPL Securities Limited	The Brokerage House was Advised The Brokerage House was Advised		7-Jun-22 7-Jun-22
97	166	Topline Securities Limited	The Brokeraae House was Advised		7-Jun-22
98 99	193	Gul Dhami Securities (Priva) Limited Gul Dhami Securities (Priva) Ltd.	The Brokeraae House was Advised	-	7-Jun-22 7-Jun-22
100	327	S. D. Mirza Securities (Pvt.) Ltd.	The Brokerage House was Advised The Brokerage House was Advised		7-Jun-22 7-Jun-22
101	108	Conseq	uent Actions Pursuant to the Actions Taken by NCCPL Against Azee		6-Jun-22
102	318	Azee Securities (Pvt.) Limited Asad Mustafa Securities (Private) Limited	Securities (Pvt.) Limited The Brokerage House was Warned	-	6-Jun-22
103	501 52	Ahsam Securities (Pvt) Limited. N.U.A. Securities (Private) Limited	The Brokerage House was Warned		6-Jun-22 3-Jun-22
104 105	275	Rahat Securities Ltd	The Brokerage House was Warned and Penalized The Brokerage House was Warned	122393	3-Jun-22 2-Jun-22
	52	N.U.A. Securities (Private) Limited	The Brokerage House was Advised		2-Jun-22
106		Shajar Capital Pakistan (Private) Limited	The Brokerage House was Advised	-	2-Jun-22
107	55 122	Muhammad Ashfaq Hussain Securities (Private) Limited			
106 107 108 109 110	55 122 134 188	Muhammad Ashfaq Hussain Securities (Private) Limited Q. Ain Khanani Securities (Private) Limited Apex Capital Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised The Brokerage House was Advised	-	2-Jun-22 2-Jun-22 2-Jun-22

5. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions
112	234 260	Value Stock & Commodities (Pvt.) Limited Punjab Securities (Pvt.) Limited	The Brokerage House was Advised The Brokerage House was Advised		2-Jun-22 2-Jun-22
114	268	Sethi Securities (Pvt) Ltd.	The Brokerage House was Advised		2-Jun-22
115	288 438	Javed Iqbal Securities (Pvt.) Ltd. Fair Edge Securities(Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		2-Jun-22 2-Jun-22
117	442	General Investment & Sec	The Brokerage House was Advised		2-Jun-22
118	254	ShajarPak Seaurities (Pvt) Ltd SAZ Capital Securities (Pvt.)Ltd	The Brokerage House was Warned The Brokerage House was Warned		30-May-22 30-May-22
120	339 197	Khawaia Securities (Private) Limited	The Brokerage House was Warned		30-May-22
121	503	Lakhani Securities (Pvt.) Limited HP Securities (Pvt.) Limited	The Brokerage House was Advised The Brokerage House was Warned and Penalized	10,000	24-May-22 30-May-22
123	187	SAZ Capital Securities (Pvt.) Limited	The Brokerage House was Warned		30-May-22
124	524 113	Akik Capital (Pvt.) Limited Tannu Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned		31-May-22 31-May-22
126	35 18	Surmawala Securities (Private) Limited	The Brokerage House was Warned and Penalized	100,000	19-May-22
127 128 129		Ismail Iqbal Securities (Private) Limited Iqbal Usman Kodv. Sec. (Private) Ltd	The Brokeraae House was Warned The Brokeraae House was Warned		30-May-22 30-May-22
129 130	66 18 30	Ismail Igbal Securities (Private) Limited	The Brokerage House was Warned		30-May-22
131	297	Cedar Capital Private Limited MSD Capital Equities (Pvt) Limited	The Brokerage House was Warned the Brokerage House was Penalized	100000	31-May-22 20-May-22
132	524 339	Akik Capital (Private) Limited Khawaja Securities (Private) Limited	The Brokerage House was Warned		31-May-22 30-May-22
134	108	Azee Securities (Pvt.) Limited	The Brokerage House was Warned Suspension of trading terminals		24-May-22
135	309	HMC Stocks (Pvt) Limited	Restriction on trading fadility		17-May-22 17-May-22
136 137	155	8 & B Securities (Pvt.) Limited Dawood Equities Limited	Restriction on trading facility Restriction on Trading Facility		11-May-22
138 139	485 485	Hamza Farhad Securities (Pvt) Ltd. Hamza Farhad Securities (Pvt) Ltd.	The Brokerage House was Warned The Brokerage House was Warned and Penalized	25.000	27-Apr-22 27-Apr-22
140	183	R. T. Securities (Private) Limited	The Brokerage House was Warned	25,000	27-Apr-22
141	112 318	Standard Capital Securities (Pvt)Ltd. Asad Mustafa Securities (Private) Limited	The Brokerage House was Warned		20-Apr-22
143	117	Fikree's (Private) Limited	The Brokerage House was Advised Restriction on Trading Facility		19-Apr-22 18-Apr-22
144	266	Shaffi Securities (Pvt) Ltd	The Brokerage House was Strictly Warned		13-Apr-22
145 146	169 331	Pearl Securities Limited Money Line Securities (Private) Limited M/S Next Capital Limited.	the Brokerage House was Penalized The Brokerage House was Strictly Warned	1.032.758.00	13-Apr-22 11-Apr-22
147	48	M/S Next Capital Limited.	The Brokerage House was Advised		7-Apr-22
149	6	Azee Securities (Pvt) Ltd. Sherman Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Advised	-	7-Apr-22 1-Apr-22
150	16	DJM Securities Limited	The Brokerage House was Advised		1-Apr-22
151 152	18 58	Ismail Iqbal Securities (Private) Limited Dawood Equities Limited	The Brokerage House was Advised The Brokerage House was Advised	-	1-Apr-22 1-Apr-22
153	62	WE Financial Services Limited Inbed Liseen Kodwayi Securities (Private) Limited	The Brokeraae House was Advised		1-Apr-22
154 155	66 84	Muhammad Munir Muhammad Ahmed Khanani Securities Limited	The Brokerage House was Advised The Brokerage House was Advised		1-Apr-22
156	94	FDM Capital Securities (Private) Limited	The Brokerage House was Advised		1-Apr-22
157 158	122	Muhammad Ashfaq Hussain Securities (Private) Limited BIPL Securities Limited	The Brokerage House was Advised The Brokerage House was Advised		1-Apr-22 1-Apr-22
159	134	Q. Ain Khanani Securities (Private) Limited	The Brokerage House was Advised		1-Apr-22
160 161	183	R.T. Securities (Private) Limited Apex Capital Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		1-Apr-22 1-Apr-22
162	212 223	Horizon Securities Limited	The Brakerage House was Advised The Brakerage House was Advised		1-Apr-22 1-Apr-22
163	223	Maan Securities (Private) Limited Al-Hag Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		1-Apr-22 1-Apr-22
165	229	Fairway Securities (Private) Limited	The Brokerage House was Advised		1-Apr-22
166 167	256 268	Progressive Securities (Private) Limited Sethi Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		1-Apr-22 1-Apr-22
168	284	ASA Stocks (Private) Limited	The Brokerage House was Advised		1-Apr-22
169 170	288 296	Javed Igbal Securities (Private) Limited MGM Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		1-Apr-22 1-Apr-22
171	297 318	MSD Capital Equities (Private) Limited	The Brokerage House was Advised		1-Apr-22 1-Apr-22
172	318	Asad Mustafa Securities (Private) Limited Money Line Securities (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		1-Apr-22 1-Apr-22
174	420	Progressive Inves. Management (Private) Limited	The Brokerage House was Advised		1-Apr-22
175 176	432 438	Spinzer Equities(Private) Limited Fair Edge Securities(Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		1-Apr-22 1-Apr-22
177	442	General Investment & Securities (Private) Limited	The Brokerage House was Advised		1-Apr-22
178	478	Pasha Securities (Private) Limited	The Brokeraae House was Advised The Brokeraae House was Advised		1-Apr-22
180	485	New Peak Securities (Private) Limited Hamza Farhad Securities (Private) Limited	The Brokerage House was Advised		1-Apr-22 1-Apr-22
181 182	491 346	First Street Capital (Private) Limited Strongman Securities (Private) Limited	The Brokerage House was Advised Restriction on Trading Facility		1-Apr-22 21-Mar-22
183	442	General Investment & Securities (Pvt.) Ltd	The Brokerage House was Warned		21-Mar-22
184 185	203 442	Brains Securities (Pvt.) Ltd. General Investment & Securities (Pvt.) Ltd	The Brokerage House was advised The Brokerage House was Warned and Penalized	25.000	21-Mar-22 21-Mar-22
186	203	Brains Securities (Pvt.) Ltd.	The Brokerone House was Advised		21-Mar-22
187 188	62 290	WE Financial Services Limited K.H.S. Securities (Private) Limited	The Brokerage House was Warned and Penalized The brokerage house was Warned and Penalized	40.000	10-Mar-22 10-Mar-22
188 189	290 158	Royal Securities (Private) Limited -	Consequential Restriction On Trading Facility	-	2-Mar-22
190 191	188	Apex Capital Securities (Private) Ltd. Intermarket Securities Limited	The Brokerage House was Warned Strict Warning		28-feb-2022 23-Feb-22
192	62	WE Financial Services Limited	Strict Warning		22-feb-2022
193 194	501 29	Ahsam Securities (Pvt.) Limited AKY Securities (Pvt.) Limited	The Brokerage House was Warned The Brokerage House was Warned	- :	28-jan-2022 28-jan-2022
195	282	Salman Majeed Securities (Pvt.) Limited	The Brokerage House was Warned		28-jan-2022
196 197	159	Rafi Securities (Private) Limited First Equity Madaraba	The Brokerage House was Warned The Brokerage House was Warned		10-Jan-22 6-Jan-22
198	497	JSK Securities Limited	The Brokerage House was Warned		4-Jan-22
199	497 444	JSK Securities Limited Xpert Securities Limited	The Brokerage House was Warned and Penalized The Brokerage House was Warned	23-Jan-38	4-Jan-22 30-dec-2021
201	413	Margalla Financial (Pvt.) Limited	The Brokerage House was Warned		30-dec-2021
202 203	11 438	ACM Global (Pvt.) Limited Fair Edge Securities(Pvt) Ltd	The Brokerage House was Warned The Brokerage House was Warned		17-Dec-21 8-Dec-21
204	37	HH Misbah Securities (Private) Limited	The Brokerage House was Warned and Penalized The Brokerage House was Warned and Penalized	19-Sep-32	7-Dec-21
205 206	188	Apex Capital Securities (Pvt.) Limited AM Chaudhary Securities (Private) Limited	The Brokerage House was Warned and Penalized The Brokerage House was Warned and Penalized	15-May-21 14-Oct-73	03-Dec-2021 30-Nov-21
207	325	AM Chaudhary Searities (Private) Limited Dr.Arslan Razaque Securities (Pvt.) Ltd.	The Brokerage House was Warned	-	25-Nov-21
208 209	308 45	Bridge Securities (Pvt) Ltd Bhayani Securities Private Limited	The Brokerage House was Warned The Brokerage House was Warned	- :	24-Nov-21 19-Nov-21
210	293	Integrated Equities Ltd.	The Brokerage House was Warned		19-Nov-21
211 212	92 27	Memon Securities (Private) Ltd. Habib Metropolitan Financial Services Limited	The Brokerage House was Warned The Brokerage House was Warned		17-Nov-21 12-Nov-21
212 213 214	482 331	New Peak Securities(Private) Limited	The Brokerage House was Warned The Brokerage House was Penalized and Warned The Brokerage House was Warned	16-May-24	10-Nov-21 9-Nov-21
214 215	331 139	Money Line Securities (Private) Limited Asian Securities Limited	The Brokerage House was Warned The Brokerage House was Warned		9-Nov-21 2-Nov-21
216	145	Adam Securities Limited	The Brokerage House was PENALIZED and WARNED	- 6-Jul-09	1-Nov-21
217	15 108	Saya Securities (Pvt.) Limited Azee Securities Private Limited	The Brokerage House was advised SWITCHING-OFF OF TRADING TERMINALS	· ·	22-Oct-21 7-Oct-21
	328	128 Securities (Pvt) Ltd	Brokerage House was ADVISED		6-Oct-21
218 219		Ayub Chaudhry Investments (Pvt) Ltd.	Brokerage House was ADVISED		15-Sep-21
219 220	239		The Broker was Warned and Penalized	1	14-Sep-21
219 220 221 222	38 309	A.H.M. Securities (Pvt.) Limited HMC Stocks (Pvt) Ltd.	Brokerage House was ADVISED		31-Aug-21
219 220 221 222 223	38 309 147	HMC Stocks (Pvt) Ltd.	Brokerage House was ADVISED Brokerage House was ADVISED	:	31-Aug-21 31-Aug-21
219 220 221 222	38 309	AHA Securities (PH-1 Umited HWC Stock (PV) Idd. A. L Securities (PV) Idd. RAH Securities (PV-1 Idd. RAH Securities (PV-1 Idd. RAH Securities (PV-1 Umited 128 Securities (PV-1 Umited	Brokerage House was ADVISED	- - - 463838	31-Aug-21 31-Aug-21 31-Aug-21 20-Aug-21 20-Aug-21

5. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions
228 229	25 132	Vector Securities (Pvt.) Limited Eleven Star Securities (Pvt.) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	13-Aug-21 12-Aug-21
230	131	GMI Capital Securities (Pvt.) Ltd.	The Brokerage House was Warned		12-Aug-21
231 232	108 328	Azee Securities Private Limited 128 Securities (Pvt) Ltd	The Brokerage House was Penalized and Reprimanded Brokerage House was WARNED	1700451	23-Jul-21 8-Jul-21
233	47	Zillion Capital Securi. (Pvt.) Ltd	The Brokerage House was advised		8-Jul-21
234 235	126	Nini Securities (Pvt.) Limited TS Securities (Pvt.) Limited	The Brokerage House was advised The Brokerage House was Warned		5-Jul-21 2-Jul-21
236 237	204	Backers & Partners (Private) Limited	Brokerage House was WARNED	- 66000	30-Jun-21
238	239 457	Ayub Chaudhry Investments (Pvt) Ltd. AAA Securities (Private) Limited	Brokerage House was Penalized Brokerage House was WARNED	-	30-Jun-21 30-Jun-21
239 240	121	Salim Sozer Securities (Pvt.) Ltd.	Brokerage House was ADVISED	-	28-Jun-21 24-Jun-21
241	309 147	HMC Stocks (Pvt) Ltd. A. L. Securities (Private) Ltd.	Brokerage House was Penalized Brokerage House was Penalized	40000	23-Jun-21
242 243	175	First National Equities Ltd.	Brokerage House was WARNED	45000	23-Jun-21 23-Jun-21
243 244 245	196 347	RAH Securities (Pvt.) Ltd. Amer Securities (Pvt) Ltd	Brokeraae House was Penalized Brokeraae House was ADVISED	45000	23-Jun-21
245 246	347 150 323	Askari Securities Ltd. Adeel & Nadeem Securities (Pvt) Ltd	Brokerage House was ADVISED Brokerage House was WARNED		16-Jun-21 16-Jun-21
240	122	Adeel & Nadeem Securities (Pvt) Ltd Muhammad Ashfaq Hussain Securities (Pvt.) Limited	The Brokerage House was advised		8-Jun-21
248 249	48	Next Capital Limited	The Brokerage House was advised	-	24-May-21 28-May-21
250	89 65	Investment Managers Sec. (Pvt.) Ltd. Tarig Vohra Securities (Private) Ltd.	The Brokerage House was advised The Brokerage House was advised		28-May-21
251	122	Muhammad Ashfaq Hussain Securities (Pvt.) Limited	The Brokerage House was advised	-	8-Jun-21
252 253	135 37	Y.H. Securities (Pvt.) Limited HH Misbah Securities (Pvt.) Limited	The Brokerage House was advised The Brokerage House was advised	:	27-May-21 6-May-21
254	23	Khanani Securities Private Limited	The Brokerage House was advised	50000	30-Apr-21
255	188 491	Apex Capital Securities (Pvt.) Limited First Street Capital (Pvt) Limited	The Brokerage House was Penalized and Warned The Brokerage House was advised	-	30-Apr-21 29-Apr-21
257	127 173	H.M. Idrees H. Adam	The Brokerage House was advised		29-Apr-21
258 259	173	Spectrum Securities Limited Solim Sozer Securities (Pvt.) Limited.	The Brokerage House was Warned The Brokerage House was Warned		20-Apr-21 20-Apr-21
260	52	N.U.A. Securities (Private) Ltd.	The Brokerage House was Penalized and Warned	50000	7-Apr-21
261 262	153 93	Creative Capital Securities (Private) Limited Venus Securities Private Limited	The Brokerage House was advised The Brokerage House was advised	:	6-Apr-21 6-Apr-21
263	125	Gazipura Securities & Services (Pvt.) Lt	The Brokerage House was advised		2-Apr-21
264	482	New Peak Securities (Private) Limited	The Conduct was Censured and Broker was Directed to comply with the instructions.		26-March-20
265	84	Mohammad Munir Mohammad Ahmed Khanani Securities Ltd.	The Brokerage House was Penalized and Warned	100000	26-March-20
266 267	158 265	ROYAL SECURITIES (PRIVATE) LIMITED	SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS		26-Jon-21
268	205	Infinite Securities Ltd. Maan Securities (Pvt.) Ltd.	The Brokerage House was PENALIZED and WARNED	30000	11-Jon-21 3-Nov-20
269 270	256 284	Progressive Securities (Pvt.) Ltd. ASA Stocks (Pvt.) Ltd.	Brokerage House was WARNED		15-Dec-20
270 271 272		ASA Stocks (Pvt.) Ltd. Khawaia Securities (Pvt.) Ltd.	Brokerage House was WARNED Brokerage House was WARNED		15-Dec-20 15-Dec-20
272 273	339 58 179	Dawood Equities Ltd.	Brokerage House was WARNED		15-Dec-20 3-Nov-20
274	134	CONTINENTAL CAPITAL MANAGEMENT (PVT.) LIMITED Q. AIN KHANANI SECURITIES (PVT.) LIMITED	SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS		3-Nov-20 3-Nov-20
275 276	122	M. ASHFAQ HUSSAIN SECURITIES (PVT.) UMITED	SWITCHING-OFF OF TRADING TERMINALS		10-Nov-20
		AKHAI SECURITIES (PVT.) LIMITED - TRE CERTIFICATE	SWITCHING-OFF OF TRADING TERMINALS SWITCHING-OFF OF TRADING TERMINALS OF TRE CERTIFICATE HOLDERS		10-Nov-20
277	147	A.I. Securities (Pvt.) Ltd	OF PSX		29-Oct-20
278	294	Yasir Mahmood Securities (Pvt) Ltd	Brokerage House was ADVISED	-	13-Aug-202
279 280	63 98	Al Habib Capital Markets (Pvt) Ltd. Fairtrade Capital Seau. (Pvt.) Ltd.	Brokerage House was ADVISED Brokerage House was WARNED		4-Aug-20 30-Jul-20
281 282	98 19	ALD Securities (Pvt.) Ltd. M.M. Securities (Pvt.) Ltd.	Brokerage House was ADVISED		21-Jul-20 21-Jul-20
283	140	M.M. Securities (Pvt.) Ltd. Patel Securities (Pvt.) Ltd.	Brokerage House was ADVISED Trading Terminals Suspended		14-Jul-20
284	223	Maan Securities (Pvt.) Limited	Brokerage House was strictly WARNED		30-Jun-20
285 286	129	Taurus Securities Limited Value Stock & Commodities (Pvt.) Limited	Brokerage House was ADVISED The Brokerage house was warned	-	8-Jun-20 2-Jun-20
287	112	Standard Capital Securities (Pvt.) Ltd.	The Brokerage house was warned	-	2-Jun-20
288	197	Lakhani Securities (Pvt.) Ltd.	The Brokerage house was advised SWITCHING-OFF OF TRADING TERMINALS OF TRE CERTIFICATE HOLDERS		15-Jun-20
289	193	Akhai Securities (Pvt.) Ltd.	OF PSX	•	17-Mar-20
290	497	JSK Securities Ltd.	SWITCHING-OFF OF TRADING TERMINALS OF TRE CERTIFICATE HOLDERS OF PSX		17-Mar-20
291	12	Reliance Securities Limited	OF PSX Suspension of TRE Certificate		14-Feb-20
292	46	Fortune Securities Limited	Brokerage House was WARNED	-	12-Feb-20
293 294	98 15	Fairtrade Capital Secu. (Pvt.) Ltd. Saya Securities (Pvt.) Ltd.	Brokerage House was WARNED Brokerage House was WARNED		12-Feb-20 11-Feb-20
295	42	Icon Capital Management (Pvt) Ltd.	Brokerage House was WARNED	-	11-Feb-20
291 292 293 294 295 296 297 298	45 108	Bhavani Securities (Private) Ltd. Azee Securities Private Limited	Brokeraae House was WARNED SWITCHING-OFF OF TRADING TERMINALS	:	11-Feb-20 10-Feb-20
298	50	Artif Hobib Ltd. Fawad Yusuf Securities (Private) Ltd.	Brokerage House was WARNED		10-Feb-20 7-Feb-20
299 300	88 155	Fawad Yusuf Securities (Private) Ltd. B & B Securities (Pvt.) Ltd.	Brokerage House was WARNED Brokerage House was WARNED	- : I	7-Feb-20 7-Feb-20
301	196	RAH Securities (Pvt.) Ltd.	Brokerage House was WARNED		7-Feb-20
302 303	234 72	Value Stock and Commodities (Pvt) Ltd. TS Securities (Private) Ltd.	Brokerage House was WARNED Brokerage House was WARNED		7-Feb-20 7-Feb-20
304	173	Spectrum Sec.Ltd.	Brokerage House was ADVISED		6-Jan-20
305	275	Rohat Securities Ltd HMC Stocks (Pvt) Ltd.	Brokerage House was WARNED The Brokerage House was PENALIZED and WARNED	30000	13-Jan-20 13-Jan-20
306 307	481	Riaz Ahmed Securities (Pvt) Ltd.	Brokerage House was WARNED	-	20-Jan-20
308	139	Asian Securities Limited Standard Capital Securities (Pvt.) Ltd.	Brokerage House was ADVISED Brokerage House was WARNED	-	27-Jan-20 30-Jan-20
309 310	112	EFG Hermes Pakistan Limited	Brokerage House was WARNED	-	30-Jan-20
311	444	Xpert Securities Limited	SWITCHING-OFF OF TRADING TERMINALS	-	18-Nov-19
312 313	297 25	MSD Capital Equities (Pvt.) Limited Vector Securities (Pvt.) Ltd.	SWITCHING-OFF OF TRADING TERMINALS Brokerage House was WARNED		18-Nov-19 22-Oct-19
314	48	Next Capital limited	Brokerone House was WARNED	-	22-Oct-19 22-Oct-19
315 316	52 61	NULA Securities (Private) Ltd. Abbasi Securities (Private) Ltd.	Brokerage House was WARNED Brokerage House was ADVISED	-	29-Oct-19 29-Oct-19
317	68	Zafar Securities (Pvt.) Ltd.	Brokerage House was PENALIZED and WARNED	100,000.00	29-Oct-19
318 319	77 94	Best Securities (Private) Ltd. FDM Capital Securities (Pvt.)Ltd	Brokerage House was PENALIZED and WARNED Brokerage House was WARNED	20,000	28-Oct-19 24-Oct-19
320	117	Fikree's Private Limited	Brokerage House was WARNED		24-Oct-19
321 322	121	Salim Sozer Securities (Pvt.) Ltd. Oriental Securities (Private) Ltd	Brokerage House was WARNED Brokerage House was WARNED		28-Oct-19 22-Oct-19
323	150	Askari Securities Ltd.	Brokerage House was ADVISED		18-Oct-19
324 325	162	Aba Ali Habib Securities(Pvt.) Ltd. Topline Securities Limited.	Brokerage House was WARNED Brokerage House was WARNED		24-Oct-19 28-Oct-19
325 326 327	173	Spectrum Sec.Ltd.	Brokerage House was WARNED		28-Oct-19 21-Oct-19 24-Oct-19
327	221	Millennium Brokerage (Pvt.) Limited	Brokerage House was WARNED		24-Oct-19
328 329	224 251	K & I Global Capital (Pvt.) Ltd. MND Investment (Pvt) Ltd	Brokerage House was WARNED Brokerage House was WARNED	-	24-Oct-19 25-Oct-19
220	265	Infinite Securities Ltd.	Brokeraae House was WARNED		24-Oct-19 24-Oct-19
331 332	275	Rahat Securities Ltd HMC Stocks (Pvt) Ltd.	Brokerage House was WARNED Brokerage House was WARNED		25-Oct-19
333	311	Abbasi & Company (Pvt) Ltd.	Brokerage House was WARNED		28-Oct-19
334 335	328 330	128 Securities (Pvt) Ltd Muhammad Amer Riaz Securities (Pvt) Ltd	Brokerage House was ADVISED Brokerage House was WARNED		28-Oct-19 28-Oct-19
336	346	Strongman Securities (Pvt) Ltd	Brokerage House was WARNED		22-Oct-19
337	347	Amer Securities (Pvt) Ltd	Brokerage House was PENALIZED and WARNED	20,000	25-Oct-19

5. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions
339	189	PERVEZ AHMED CAPITAL (PRIVATE) LIMITED	SWITCHING-OFF OF TRADING TERMINALS	-	7-Oct-19 11-Sep-19
341	490	WE Financial Services Limited BABA Equities (Pvt.) Limited	Switching-off of trading terminals Switching-off of trading terminals		16-Sep-19
342	485	Hamza Farhad Securities (Pvt.) Limited	Switching-off of trading terminals		19-Sep-19
343 344	237	IAK Securities (Private.) Limited Reliance Securities Limited	Switching-off of trading terminals Switching-off of trading terminals		16-Jul-19 18-Jun-19
345	58	Dawood Equities Limited	Switching-off of trading terminals		26-Jun-19
346 347	108 57	Azee Securities Private Limited First Capital Equities Limited	Switching-off of trading terminals Switching-off of trading terminals	-	26-Jun-19 16-May-19
348	148	Oriental Securities (Private) Limited	The Brokerage House was Advised	-	27-May-19
349 350	187	SAZ Capital Securities (Private) Limited Creative Capital Securities (Private) Limited	The Brokerage House was Advised		30-Apr-19
350	153	Creative Capital Securities (Private) Limited Nael Capital (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		30-Apr-19 30-Apr-19
352	199	Insight Securities (Private) Limited	The Brokerage House was Advised	-	30-Apr-19
353 354	212	Horizon Securities Limited Millennium Brokerage (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised	-	8-May-19 8-May-19
355	228	Al-Hag Securities (Private) Limited	The Brokeraae House was Advised		8-May-19
356 357	275	Rahat Securities Limited	The Brokerage House was Advised		8-May-19
358	311	Yasir Mahmood Securities (Private) Limited Abbasi & Company (Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		8-May-19 8-May-19
359	410	Zahid Latif Khan Securities (Private) Limited	The Brokerage House was Advised		3-May-19
360 361	438 478	Fair Edge Securities(Private) Limited	The Brokerage House was Advised	-	3-May-19 3-May-19
362	482	Pasha Securities (Private) Limited New Peak Securities(Private) Limited	The Brokerage House was Advised The Brokerage House was Advised		3-May-19
362 363 364	523	Falki Capital (Private) Limited	The Brokerage House was Advised The Brokerage House was Warned		3-May-19 30-Apr-19
364	61 88	Abbasi Securities (Pvt) Ltd. Fawad Yusuf Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was PENALIZED and WARNED	- 50,000	30-Apr-19 30-Apr-19
366	16	DJM Securities (Pvt.) Ltd.	The Brokerage House was Warned	-	24-Apr-19
367	107	Seven Star Securities (Private) Limited	The Brokerage House was Warned	-	18-Apr-19
368 369	481 204	Riaz Ahmed Securities (Private) Limited A.N Equities (Pvt) Ltd	The Brokerage House was Warned The Brokerage House was PENALIZED and WARNED	- 50,000	18-Apr-19 16-Apr-19
370	490	Baba Equities (Pvt) Limited.	The Brokerage House was Warned		15-Apr-19
371 372	339	Khawaja Securities (Pvt.) Ltd.	The Brokerage House was Warned The Brokerage House was Warned		8-Apr-19 8-Apr-19
372 373	158	Royal Securities (Private) Limited Falki Capital Private Limited	The Brokerage House was Warned The Brokerage House was Warned		8-Apr-19 5-Apr-19
374	55	Shajar Capital Pakistan Private Limited	The Brokerage House was Warned		3-Apr-19
375 376	221	Millennium Brokerage (Private)Limited Shaffi Securities (Pyt) Ltd	The Brokerage House was PENALIZED and WARNED The Brokerage House was Warned	691,500	3-Apr-19 2-Apr-19
376	120	Shatti Securities (Pvt) Ltd Alfalah Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned		2-Apr-19 2-Apr-19
378	140	M.M. Securities (Private) Limited	The Brokerage House was Warned	-	2-Apr-19
379 380	150	Askari Securities Limited Unex Securities (Private) Limited	The Brokerage Hause was Warned The Brokerage Hause was Warned	-	2-Apr-19 2-Apr-19
381	223	Maan Securities (Pvt.) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	40,000	27-Mar-19
382 383 384	42 10	ICON Capital Management (Pvt) Ltd. Sakarwala Capital Sec.(Pvt.) Ltd	The Brokerage House was WARNED The Brokerage House was WARNED	-	27-Mar-19 27-Mar-19 20-Mar-19
385	176	Elixir Securitles Pak. (Pvt.) Ltd. Muhammad Salim Kasmani Securities (Private)Limited	The Brokerage House was Advised The Brokerage House was Warned and Financial Penalty was Imposed	50,000	18-Mar-19
386	102	Growth Securities (Pvt.) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	20,000	18-Mar-19
387 388	284	Intermarket Securities Limited ASA Stocks Private Limited	The Brokerage House was WARNED The Brokerage House was Warned and Financial Penalty was Imposed	533,500	18-Mar-19 1-Mar-19
389	229	Fairway Securities Private Limited	The Brokerage House was Warned and Financial Penalty was Imposed	995,000	1-Mar-19
		Bismillah Securities (Pvt.) Limited	The Brokerage House was WARNED		
391	179	Continental Capital Management (Pvt.) Limited	The Brokerage House was Warned and Financial Penalty was Imposed	20,000	1-Mar-19
392 393	46 297	Fortune Securities Limited MSD Capital Equities (Pvt) Ltd.	The Brokerage House was Advised The Brokerage House was WARNED		26-Feb-19 26-Feb-19
394	28	Ghani Osman Securities (Pvt.) Ltd.	The Brokerage House was WARNED		20-Feb-19
395 396	143	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
397	224	K & I Global Capital (Private.) Limited.	Switching-off of trading terminals The Brokerage House was Warned		22-Jon-19
398	275	Rohot Securities Limited	The Brokerage House was Warned	-	22-Jan-19
399 400	332	Trust Securities & Brokerage Limited. A B M Securities (Private) Limited	The Brokerage House was Warned The Brokerage House was Warned	-	22-Jan-19 22-Jan-19
400	290	K.H.S. Securities (Private) Limited	Suspension of Trading Terminals		16-Jan-19
402	309	HMC Stocks (Private) Limited.	Suspension of Trading Terminals		16-Jan-19
403	12	Reliance Securities Limited. Actions taken by M	The Brokerage House was Warned and Financial Penalty was Imposed arket Surveillance Department (MSD) :	430,000	14-Jan-19
1	050	Arif Habib Limited	Warned		23-Dec-22
2	050	Arif Habib Limited	Penalty, Profit	20,550	27-Oct-22
3	050	Arif Habib Limited	Confiscation & Warning Warned		27-Oct-22
4	050	Arif Habib Limited	Warned		27-Oct-22
5	019	AKD Securities Limited	Warned Profit Confiscated		21-Oct-22
6	050	Arif Habib Limited	Protit Contiscated & Warning	9,750	27-Oct-22
7	050	Arif Habib Limited	Warned		27-Oct-22
8	050	Arif Habib Limited	Profit Confiscated & Warning	78,375	27-Oct-22
9	019	AKD Securities Limited	Advised		21-Oct-22
10	050	Arif Habib Limited	Profit Confiscated & Warning	4,030	27-Oct-22
11	045	Bhayani Securities (Private) Limited	Warned	-	6-Jul-22
12	045	Bhavani Securities (Private) Limited	Profit Confiscated	55,055	6-Jul-22
13	169	Pearl Securities Limited	Penalty Imposed & Profit Confiscated	16,000	6-Jul-22
14	155 155	8 & B Securities (Private) Limited	Warned		20-May-22
15 16	155	B & B Securities (Private) Limited B & B Securities (Private) Limited	Penalty Imposed Penalty & Profit Confiscation	50,000 71,850	20-May-22 20-May-22
16	155	8 & B Securities (Private) Limited 8 & B Securities (Private) Limited	Penalty & Profit Confiscation	71,850	20-May-22 20-May-22
18	155	B & B Securities (Private) Limited	Penalty & Profit Confiscation	82,373	20-May-22
19 20	155	8 & B Securities (Private) Limited 8 & B Securities (Private) Limited	Penalty Imposed Penalty Imposed	100,000 50,000	20-May-22 20-May-22
21	094	FDM Capital Securities (Private) Limited	Warned		20-Apr-22
22	094	FDM Capital Securities (Private) Limited	Profit Confiscated	2,250	20-Apr-22
23 24	016	DJM Securities Limited DJM Securities Limited	Penalty Imposed Profit Confiscated	60,450 4,600	26-Apr-22 26-Apr-22
24	016	FDM Capital Securities (Private) Limited	Profit Confiscated Profit Confiscated	1,595	20-Apr-22
26	058	Dawood Equities Limited	Warned		15-Feb-22
27 28	058	Dawood Equities Limited Dawood Eauties Limited	Penalty Imposed Penalty Imposed	75,000 75,000	15-Feb-22 15-Feb-22
29	163	Friendly Securities (Private) Limited	Profit Confiscated	4,147	11-Feb-22
30	163	Friendly Securities (Private) Limited	Warned		11-Feb-22
31	163	Friendly Securities (Private) Limited	Penalty Imposed Penalty Imposed	27,125	11-Feb-22
32	163	Friendly Securities (Private) Limited	(Profit Confiscated)	90,356	11-Feb-22
33	163	Friendly Securities (Private) Limited	Penalty Imposed	62,025	11-Feb-22
34	163	Friendly Securities (Private) Limited	(Profit Confiscated) Penalty Imposed	58,506	11-Feb-22
35		Friendly Seconds (Private) Limited	Warned	-	11-Feb-22

36 442 General networks & Searchies (Trives) Linked worked - 37 442 General networks & Searchies (Trives) Linked Payla Conflag/Mee) 35 38 127 14.4. Meest Adam (Trives) Linked Payla Conflag/Mee) 35 38 127 14.4. Meest Adam (Trives) Linked Payla Conflag/Mee) 35 39 442 General hextmark & Scatteris (Trives) Linked worked - 41 42 General hextmark & Scatteris (Trives) Linked worked - 42 442 General hextmark & Scatteris (Trives) Linked worked - 43 422 General hextmark & Scatteris (Trives) Linked worked - 44 022 Max Copit Africascie (Trives) Linked worked - 44 023 Max Copit Africascie (Trives) Linked Advised - 45 130 Advised Advised - 46 134 Max Copit Africascie (Trives) Linked Advised - 47 140 Dawa Scatteris (Trives) Linked <t< th=""><th>7.4eb.22 7.4eb.22 7.4eb.22 7.4eb.22 7.4eb.22 7.4eb.22 7.4eb.22 7.4eb.22 2.1.jos.22 21.jos.22 21.jos.22 21.jos.22 21.jos.22 14.jos.22 14.jos.22 14.jos.22 13.jos.22 13.jos.22 22.2Nov.21 14.jos.22</th></t<>	7.4eb.22 7.4eb.22 7.4eb.22 7.4eb.22 7.4eb.22 7.4eb.22 7.4eb.22 7.4eb.22 2.1.jos.22 21.jos.22 21.jos.22 21.jos.22 21.jos.22 14.jos.22 14.jos.22 14.jos.22 13.jos.22 13.jos.22 22.2Nov.21 14.jos.22
38 127 H. M. Reist H. Adam Thrivest Linked Pepfic Confluenced 305 39 442 General Investmet A. Scanting Thrivesti Linked	7.Feb.22 7.Feb.22 7.Feb.22 7.Feb.22 7.Feb.22 21.Jen.22 21.Jen.22 21.Jen.22 21.Jen.22 21.Jen.22 21.Jen.22 14.Jen.22 14.Jen.22 14.Jen.22 13.Jen.22 22.Nov.21 13.Nov.21
40 442 General networks & Searchiss (Prives) Linked	7.Feb-22 7.Feb-22 7.Feb-22 21.Jon-22 21.Jon-22 21.Jon-22 14.Jon-22 14.Jon-22 14.Jon-22 14.Jon-22 14.Jon-22 14.Jon-22 13.Jon-22 13.Jon-22 22.Nov-21
41 42 General Instants & Securities (Throug) Linking wormed - 42 442 General Instants & Securities (Throug) Linking wormed - 43 442 General Instants & Securities (Throug) Linking wormed - 44 622 MAC Capitor / Instants & Securities (Throug) Linking wormed - 45 622 MAC Capitor / Instants Advised - 46 622 MAC Capitor / Instants Advised - 47 150 Asses Securities (Throug) Linking Advised - 48 174 MAS Securities Linking Madvised - 49 190 Decours Securities Linking Advised - 50 322 Trant Securities & Roberong: Linking Advised - 51 324 Advised Cacuities (Throug) Linking Advised - 52 322 Trant Securities & Roberong: Linking - - 53 132 Advised Securities Linking - - 54 <td>7.Feb-22 7.Feb-22 21.Jon-22 21.Jon-22 21.Jon-22 14.Jon-22 14.Jon-22 14.Jon-22 14.Jon-22 14.Jon-22 14.Jon-22 13.Jon-22 13.Jon-22 13.Jon-22 13.Jon-22</td>	7.Feb-22 7.Feb-22 21.Jon-22 21.Jon-22 21.Jon-22 14.Jon-22 14.Jon-22 14.Jon-22 14.Jon-22 14.Jon-22 14.Jon-22 13.Jon-22 13.Jon-22 13.Jon-22 13.Jon-22
42 General Investment & Scentter, Privens Linked	7-Feb-22 21-Jon-22 21-Jon-22 14-Jon-22 14-Jon-22 14-Jon-22 14-Jon-22 14-Jon-22 14-Jon-22 13-Jon-22 13-Jon-22 22-Nov-21 1-Nov-21
44 O22 BAA Code Management limited Advined - 44 023 Biolin Specifies (Minel Limited) Advined - 45 203 Biolin Specifies (Minel Limited) Advined - 47 136 J AA Obtion Specifies (Minels) Advined - 48 194 Min Advisorities (Inheline) Advined - 49 194 Min Advisorities (Inheline) Advined - 49 194 Min Specifies (Inheline) Advined - 49 194 Min Specifies (Inheline) Advined - 40 194 Min Specifies (Inheline) Advined - 41 194 Min Specifies (Inheline) Advined - 42 1020 Choore Specifies (Inheline) Advined - 51 1020 Choore Specifies (Pix1) (Inheline) Minels - 51 1032 Advined Specifies (Pix1) (Inheline) - - 51 1040 Advined Specifies (Pix1) (Inheli	21-Jon-22 21-Jon-22 21-Jon-22 14-Jon-22 14-Jon-22 14-Jon-22 14-Jon-22 14-Jon-22 13-Jon-22 13-Jon-22 22-Nov-21 1-Nov-21
42 203 Broin Secreting (Prices) Linked Advied - 44 108 Ace Secreting (Prices) Linked Advied - 46 108 Ace Secreting (Prices) Linked Advied - 47 101 LA Obstite Reporting (Price Linked) Winned - 48 108 LA Obstite Reporting (Price Linked) - - 49 000 Deven Secreting Linked - - 49 001 Advies - - 50 322 Inst Secreting (Prives) Linked - - 51 524 AdVies - - 52 3102 Crown Secreting United - - 53 102 Crown Secreting United - - 54 103 Advies - - 55 3322 Inst Secreting Linked Wiened - 57 103 Advies Secreting Linked Wiened - 57 104 Real Secr	21-Jon-22 21-Jon-22 14-Jon-22 14-Jon-22 14-Jon-22 14-Jon-22 14-Jon-22 13-Jon-22 13-Jon-22 13-Jon-22 13-Jon-22 13-Jon-22 13-Jon-22
0 156 Z.A. Obstity Securities [Phal] limited Warened - 40 194 MAS Societies Limited Advised - 41 194 MAS Societies Limited Advised - 42 196 MAS Societies Limited Advised - 43 194 MAS Societies Limited Advised - 44 194 MAS Societies Limited Advised - 53 191 Conconfiss Limited Advised - 54 197 Societies (Private) Limited Advised - 54 197 SAL Cognitie Societies (Private) Limited Advised - 54 197 SAL Cognitie Societies (Private) Limited Marcend - 54 197 SAL Cognities Societies (Private) Limited Worend - 55 192 Pacel Societies (Limited Worend - 57 194 Pacel Societies Limited Pacel Societies Limited - 58 192 Pacel Socities Limited	14-Jon-22 14-Jon-22 14-Jon-22 14-Jon-22 14-Jon-22 13-Jon-22 13-Jon-22 22-Nov-21 1-Nov-21
44 194 MAX Securits Linked - 50 000 Decan Securits Linked - 51 254 Africand - 50 322 Irred Securits & Brokerege Linked - 51 254 Africand - 52 210 Cound Friends Adriad - 53 121 Africand Friends Adriad - 54 107 Scenartis Instead Adriad - 55 102 Green Standing Frieddi Marend - 55 130 Adriad Securits Linked Warend - 56 322 Traf Securits Inhed Warend - 57 150 Adriad Securits Linked Warend - 58 160 Paci Securits Linked Quoted - 59 162 Paci Securits Linked Pacindy Pacints Linked 20,000 59 164 Paci Securits Linked Pacindy Pacints Linked 20,000 50 <td>14-Jon-22 14-Jon-22 14-Jon-22 13-Jon-22 13-Jon-22 22-Nov-21 1-Nov-21</td>	14-Jon-22 14-Jon-22 14-Jon-22 13-Jon-22 13-Jon-22 22-Nov-21 1-Nov-21
50 322 That Sacoting - Markenage Linded - 51 524 AMX Coalding Frivate Linded - 52 102 Adds Adds Sacoting (Frivate) Linded - 53 102 Carolin Sacoting - Frivate) Linded - 54 102 Carolin Sacoting - Frivate) Linded - 55 103 Carolin Sacoting - Frivate) Linded - 56 130 Adata Sacoting Lindea - 57 130 Adata Sacoting Lindea - 58 132 Intel Sacoting - Koherage Lindea Waread - 57 130 Adata Sacoting Lindea Waread - 57 149 Pacel Sacoting Lindea Waread - 58 169 Pacel Sacoting Lindea Pacelly Pacell Sacoting Lindea 20,000 59 164 Pacel Sacoting Lindea Pacelly Pacell Sacoting Lindea 20,000 59 164 Pacel Sacoting Lindea Pacelly Pacelly Lindea 20,000 50 164 Pacel Sacoting Lindea	14-Jan-22 14-Jan-22 13-Jan-22 13-Jan-22 22-Nov-21 1-Nov-21
51 524 AdX Candl Private limited Advised - 52 021 AdA AdV Scartific Private limited Advised - 53 102 Graveth Scartific Private limited Advised - 53 102 Graveth Scartific Private limited Moread - 54 187 SAZ Capped Scartific Private limited Warned - 54 187 SAZ Capped Scartific Private limited Warned - 55 132 Inter Scartific & Rivetaroge limited Warned - 56 132 Inter Scartific & Rivetaroge limited Warned - 57 167 Pacel Scartific Limited Warned - 58 167 Pacel Scartific Limited Warned - 59 167 Pacel Scartific Limited Pacel Scartific Limited 20.000 50 167 Pacel Scartific Limited Pacel Scartific Limited 20.000 50 168 Pacel Scartific Limited Pacel Scartific Limited 20.000 <t< td=""><td>14-Jan-22 13-Jan-22 13-Jan-22 22-Nov-21 1-Nov-21</td></t<>	14-Jan-22 13-Jan-22 13-Jan-22 22-Nov-21 1-Nov-21
22 021 Adv Adv Secreties (Private) limited Advised - 51 102 Gravers Secreties (Private) limited Advised - 54 109 SAX Copular Secreties (Private) limited Advised - 54 109 SAX Copular Secreties (Private) limited Warened - 55 109 Fearl Secreties (Internet Secreties Friedences (Internet Secreties Advisers (Internet Secreties (Internet Secretie	13-Jan-22 13-Jan-22 22-Nov-21 1-Nov-21
54 187 547 Copped Secreting Pho1 (ab. Warned - 51 150 Abdra Tecontrim Linead and the technologic and technolo	22-Nov-21 1-Nov-21
55 130 Adard Security Linking Warned - 56 322 The Scottle & Moreage Linking Warned - 57 149 Peorl Secritic Linking Warned - 57 169 Peorl Secritic Linking Warned - 58 169 Peorl Secritic Linking Peorly Peorly Linking 20,000 58 169 Peorl Secritic Linking Peorly Imposed 20,000 59 169 Peorl Secritic Linking Peorly Imposed 20,000 59 169 Peorl Secritic Linking Peorly Imposed 20,000 50 169 Peorl Secritic Linking Peorly Imposed 20,000 50 169 Peorl Secritic Linking Peorly Imposed 20,000	1-Nov-21
56 332 Tranf Sacottine & Brokeroge Limbed Worned - 7 169 Peeral Socritte, Limbed Worned - 58 169 Peeral Socritte, Limbed Worned 20,000 59 169 Peeral Socritte, Limbed Penodry Imposed 20,000 60 169 Peeral Socritte, Limbed Penodry Imposed 20,000 60 169 Peeral Socritte, Limbed Worned - 61 169 Peeral Socritte, Limberd Worned -	
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59 169 Peorl Securities Limited Pendity Imposed 20,000 60 169 Peorl Securities Limited Pendity Imposed 20,000 61 169 Peorl Securities Limited Worned -	1-Jul-21 1-Jul-21
60 169 Pearl Securities Limited Penalty Imposed 20,000 61 169 Pearl Securities Limited Warned -	1-Jul-21
	1-Jul-21 1-Jul-21
62 169 Pearl Securities Limited Penalty Imposed 18,654	1-Jul-21 1-Jul-21
A3 O45 Bhyperi Searthis (Private) Limited Monte - Value Marcine Worked -	28-Jun-21
64 045 Bhayani Securities (Private) Limited	28-Jun-21
65 0.45 Bhayani Securitis (Private) Limited Penalty imposed 10,000 66 0.45 Bhayani Securitis (Private) Limited Penalty imposed 10,000	28-Jun-21 28-Jun-21
67 045 Bhayani Securities (Private) Limited Penalty Imposed 10,000	28-Jun-21
68 045 Bhayani Securities (Private) Limited Warned -	28-Jun-21
69 Q4.5 Bhovani Securities (Private) Limited Penalty Imposed 10,000 70 Q4.5 Bhovani Securities (Private) Limited Penalty Imposed 13,053	28-Jun-21 28-Jun-21
71 045 Bhayani Securities (Private) Limited Warned -	28-Jun-21
72 121 Salim Sozer Securities (Private) Limited Warning -	1-Apr-21
73 116 Patel Securities (Private) Limited Warning -	2-Apr-21
74 0.49 Multiline Securities (P+t) Ltd. Penalty imposed 10,000 75 0.49 Multiline Securities (P+t) Ltd. Penalty imposed 10,700	6-May-21 6-May-21
76 049 Multiline Securities (Pvt.) Ltd. Penalty Imposed 10,000	6-May-21
	6-May-21
78 049 Multiline Securities (Pk1) Ltd. Penalty imposed 10,000 79 049 Multiline Securities (Pk1) Ltd. Penalty imposed 10,000	6-May-21 6-May-21
Advantage of the securities (FVs Ltd. Pendly imposed 10,000	6-May-21
81 049 Multiline Securities (Private) Limited Penalty Imposed 3,280	6-May-21
82 0.49 Multiline Securities (Private) Limited Penalty Imposed 14/b15 83 0.49 Multiline Securities (Private) Limited Warning	6-May-21 6-May-21
84 049 Multiline Securities (Invite) Limited Volume - 84 049 Multiline Securities (Invite) Limited Penalty Imposed 10,000	6-May-21
85 049 Multiline Securities Limited Penalty Imposed 10,000	6-May-21
86 0.49 Multiline Securities Limited Penalty Imposed 10,000 87 0.49 Multiline Securities Limited Penalty Imposed 12,520	6-May-21 6-May-21
8/ 0.49 Multiline Securities Limited Penalty Imposed 12,20 88 0.49 Multiline Securities Limited Penalty Imposed 13,500	6-May-21
89 116 Patel Securities (Private) Limited Warning -	2-Apr-21
90 0.49 Multiline Securities Limited Warning - 91 11.6 Patel Securities (Private) Limited Warning -	6-May-21 2-Apr-21
92 049 Multiline Securities Limited Warning -	6-May-21
93 049 Multiline Securities Limited Warning -	6-May-21
94 0.49 Multiline Securities limited Penalty imposed 13,870 95 0.49 Multiline Securities limited Warning -	6-May-21 6-May-21
96 128 BIPI Securities limited -	22-Mar-21
97 145 Adam Securities (Pvt.) Ltd. Warned -	22-Mar-21
98 145 Adam Securities (Prt.) Ltd. Warned - 99 162 Aba Ali Habib Securities (Prtvate) Limited Warned -	22-Mar-21 22-Mar-21
100 102 Growth Securities (Pvt.) Limited Warned -	22-Mar-21
101 162 Aba Ali Habib Securities (Private) Limited Warned -	22-Mar-21
102 194 MRA Securities (Private) Limited Warmed - 103 145 Adam Securities (Pvi.) Ltd. Warmed -	22-Mar-21
TVX TVX VVCmeD - 103 145 Adom Securities (Pr4.) Ltd. Worned - 104 145 Adom Securities (Pr4.) Ltd. Advisad -	22-Mar-21 22-Mar-21
105 145 Adam Securities (Pvt.) Ltd. Advised -	22-Mar-21
106 145 Adam Securities (Pvt.) Ltd. Warned - 107 145 Adam Securities (Pvt.) Ltd. Warned -	22-Mar-21 22-Mar-21
108 145 Adam Securities (Pvt.) Ltd. Warned -	22-Mar-21
109 145 Adam Securities (Pvt.) Ltd. Worned -	22-Mar-21
110 102 Growth Securities (Pvt,) Limited Warned - 111 102 Growth Securities (Pvt,) Limited Warned -	22-Mar-21 22-Mar-21
112 102 Growth Securities (Pvt.) Limited Warned -	22-Mar-21
113 102 Growth Securities (Pyt Limited Wormed -	22.Mar.21
114 194 MRA Securities (Private) Limited Wormed -	22-Mar-21
116 194 MRA Securities (Private) Limited Television Variande -	22-Mar-21
117 194 MRA Securities (Private) limited	22-Mar-21
118 128 BIPL Securities Limited Warned - 119 128 BIPL Securities Limited Warned -	22-Mar-21 22-Mar-21
120 128 RIPI Securities limited	22-Mar-21
121 162 Aba Ali Habib Securities (Private) Limited Warned -	22-Mar-21 22-Mar-21
122 162 Aba Ali Hobib Saurities (Private) Limited Warned -	22-Mar-21
123 162 Abo All Hobib Securities (Private) Limited Warned - 124 149 JS Global Capital Limited Warned -	22-Mar-21 22-Mar-21
125 102 Growth Securities (Pvt.) Limited	22-Mar-21
126 102 Growth Securities (Pvt.) Limited Warned -	22-Mar-21
127 102 Growth Securities (Pvt.) Limited Warned - 128 145 Adam Securities (Pvt.) Ltd. Warned -	22-Mar-21 22-Mar-21
129 145 Adam Securities (Pvt.) Ltd. Warned -	22-Mar-21
	6-Mar-20
130 108 Azee Securities (Pvt.) Ltd. Penalty imposed along with confiscation of profits 11,445	6-Mar-20 6-Mar-20
130 108 Azee Securities (Pvt.) Ltd. Penalty imposed along with confiscation of profits 11,445 131 169 Pearl Securities Limited Warmed -	6-Mar-20
130 108 Asses Securits (Pk) Lid. Penchr Impach dang with confliction of profils 11,445 131 169 Penchr Impach dang with confliction of profils 11,445 -	
128 108 Assas Sacotinas (PA-1) Lid. Pecultri imposed dong with continuoti on a continu 11,445 131 1649 Pecultri imposed dong with continuoti on a continuoti continuoti continuoti on a contine continuoti on a contineo cont	6-Mar-20
130 108 Asses Saconites (PA) Lid. Pennbr Imposed dong with conflictored or portling. 11,445 131 164 Penn5 Sponties Limited Workson or portling. 1,143 132 108 Asses Saconites (PA) Lid. Pennbr Imposed dong with conflictored or portling. 1,140 132 108 Penn5 Sponties Limited Workson or portling. 1,140 133 164 Penn5 Sponties Limited Workson or portling. 1,140 134 164 Penn5 Sponties Limited Workson or portling. - 134 164 Penn5 Sponties Limited Workson or portling. - 135 155 8.6 Sponties (Prives) Limited Advised -	25-Feb-20
130 108 Asses Sacoting Pho1Ind. Peeuby Impaced doing with confliction of a conflin 11,445 131 169 Peeulo Sacoting Include With confliction of a conflin 11,445 132 168 Asses Sacoting Pho1Ind. Peeuloy Impaced doing with confliction of a conflin 11,465 133 169 Asses Sacoting Pho1Ind. Peeuloy Impaced doing with confliction of a conflin 11,465 136 108 Asses Sacoting Pho1Ind. With confliction of a conflin 11,465 136 153 18,48 Sacoting Pho1ing Advised - 137 153 18,48 Sacoting Pho1ing - - 137 153 18,48 Sacoting Pho1ing - -	
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130 108 Asse Sacrifie Phot Lid. Peakbringsock dags of the confine of parts 11,445 131 169 Peak Sacrifie Liberbid Word of an office 11,465 131 168 Asse Sacrifie Phot Lid. Peakbring of an office 11,160 132 168 Asses Sacrifie Phot Lid. Peakbring of an office 11,160 133 168 Peak Sacrifie Liberbid Versord - 134 169 Peak Sacrifie Liberbid - - 135 154 8.8.8 Sacrifie Photol Liberbid - - - 135 154 8.8.8 Sacrifie Photol Liberbid Word dial - - 136 126 222 Attriad - - - 137 126 224 Attriad Sacrifie Photol Liberbid Word dial - - 137 126 224 Attriad Sacrifier Photol Liberbid Word dial - - 137 126 224 Attriad Sacrifier Photol Liberbid Word dial -	25-Feb-20 15-Nov-19 15-Nov-19 15-Nov-19 15-Nov-19
130 108 Asses Securities (PA) Ltd. Peeulty Impaced damp with confliction of profess 11,445 131 169 Peeral Securities Linkels Warned - 132 168 Asses Securities (PA) Ltd. Peenalty Impaced damp with confliction of profess 11,140 132 169 Peenal Securities Linkels Warned - 133 169 Peenal Securities Linkels Warned - 134 169 Peenal Securities Linkels Warned - 135 155 168 8.5 Securities (Prival) Linkels Warned - 136 152 L40 Marned - - 136 155 L64 Securities Linkels - - 136 154 L64 Warned - - 136 154 L64 Warned - - 137 20 Charter Securities (Private) Linked Warned - - 137 20 Charter Securulinter (Private) Linked Warned	25-Feb-20 15-Nov-19 15-Nov-19 15-Nov-19 15-Nov-19 15-Nov-19
130 108 Asses Sacoting Phot Ind. Peeulty Impaced using with confliction of any Phot Windows 11,445 131 169 Pases Sacoting Include Windows - 132 168 Pase Sacoting Include Windows 11,465 133 169 Pase Sacoting Include Windows 11,465 134 168 Asses Sacoting Photogia - 11,465 135 153 18.4 Sacoting Photogia - - - 135 153 18.4 Sacoting Photogia - - - - 136 020 Addresd - - - - 137 048 Addresd Sacoting Photogia - <td>25-Feb-20 15-Nov-19 15-Nov-19 15-Nov-19 15-Nov-19 15-Nov-19 15-Nov-19</td>	25-Feb-20 15-Nov-19 15-Nov-19 15-Nov-19 15-Nov-19 15-Nov-19 15-Nov-19
130 161 Asse Secreting Phylick Peakby Impaced data with conflictor of any Phylic 11,443 131 140 Peak Secreting Interbard Warring d - 132 168 Asses Secreting Phylick Peakby Impaced data with conflictoria of any Phylick 11,463 133 169 Asses Secreting Phylick Peakby Impaced data with conflictoria of any Phylick 11,463 133 169 Asses Secreting Phylick Peakby Impaced data with conflictoria of any Phylick - 135 169 Asses Secreting Phylick Warend - 135 160 Asses Secreting Phylick Warend - 136 2604 Actions Secreting Physical Imbad Warend - 137 068 Zefur Secreting Physical Imbad Warend - 137 0442 Nare Post Secreting Physical Imbad Warend - 138 330 Octaries Secreting Physical Imbad Warend - 138 422 Nare Post Secreting Physical Imbad Warend - 142 Dear Post Sec	25-Feb-20 15-Nov-19 15-Nov-19 15-Nov-19 15-Nov-19 15-Nov-19 15-Nov-19 15-Nov-19 15-Nov-19
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130 108 Assa Sacothise Phot Icid. Peakby Impaced doing with confliction of profilm 11,443 11 169 Peak Sacothise Instruct Worked - 123 169 Assa Sacothise Phot Icid. Peakby Impaced doing with confliction of profilm 11,140 131 169 Peak Sacothise Instruct Worked - 134 169 Peak Sacothise Instruct - - 135 168 Assa Sacothise Instruct - - 134 169 Peak Sacothise Instruct - - - 135 158 48.5 Sacothise Intructule Instruct - - - 135 158 48.5 Sacothise Intructule Instructule -	25.Feb-20 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19
130 108 Assa Sacothar Pho1 Lid. Pecular impacted data, with conductor at profm. 11.445 131 160 Pearl Scottles Lides - <td>25.Feb-20 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19</td>	25.Feb-20 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19
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136 108 Area Sacria (PA) Ltd. Panabr Impact does with confinition of a prim. 11.445 131 162 Pace Sacria (PA) Ltd. Pace Sacria (PA) Ltd. - <td>25.Feb-20 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19</td>	25.Feb-20 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19 15.Nov-19

S. No.	TREC No.	Name of TREC Holder	Disciplinary Actions	Amount of Penalty (If any)	Date of Enforcement Actions
152	145	Adam Securities (Pvt.) Ltd.	Warned	-	29-Jul-19 29-Jul-19
153	145	Adam Securities (Pvt.) Ltd. Fortune Securities Limited	Warned	-	29-Jul-19 25-Jul-19
155	046	Fortune Securities Limited Fortune Securities Limited	Warned		25-Jul-19
156	228	Al- Hog Sec	Stern Warning	1 -	25-Jul-19
157	314	Equity Master Sec	Stern Warning	-	25-Jul-19
158	228	Al- Hog Sec	Confiscation of Profits	2,500	25-Jul-19
159	149	JS Global Capital Limited	Advice		11-Jul-19
160	149	JS Global Capital Limited	Advice		11-Jul-19
161	191	Market 786 (Private) Limited	Advice		11-Jul-19
162	018	Ismail Iqbal Securities (Pvt.) Limited	Advised	-	11-Jul-19
163 164	012	Reliance Securities Limited	Advised		10-Jul-19 10-Jul-19
165	049	Multiline Securities (Pvt.) Ltd.	Advised		10-Jul-19
166	142	Icon Capital Management (Private) Limited Foundation Securities (Pvt.) Limited	Advised		10-Jul-19
167	024	ASDA Securities (Private) Limited	Advised		10-Jul-19
168	142	Foundation Securities (Pvt.) Limited	Advised		16-Apr-19
169	248	Khadim Ali Shah Bukhari Securities (Private) Limited	Stern Warning		27-Mar-19
170	196	RAH Securities (Private) Limited	Stern Warning		27-Mar-19
171	212	Horizon Securities Limited	Stern Warning	-	26-Mar-19
172	149	JS Global Capital Limited	Stern Warning	-	26-Mar-19
173	016	DJM Securities (Pvt.) Limited	Stern Warning		7-Mar-19
174	094	FDM Capital Securities (Private) Limited	Stern Warning		7-Mar-19
175	144	Dattoo Securities (Private) Limited	Stern Warning	-	7-Mar-19
176	163	Friendly Securities (Pvt.) Limited	Confiscation of Profits	214,966	7-Mar-19
177	028	Ghani Osman Securities (Private) Limited	Case Referred to SECP For Review and Necessary Action	-	26-Feb-19
178	050	Arif Habib Limited	Case Referred to SECP For Review and Necessary Action		26-Feb-19 26-Feb-19
179	058	Dawood Equities Limited	Case Referred to SECP For Review and Necessary Action	-	
	166	Topline Securities (Private) Limited	Case Referred to SECP For Review and Necessary Action	-	26-Feb-19
181 182	001	Altof Adam Securities (Private) Limited	Advised		19-Feb-19
182	112	Standard Capital Securities (Private) Limited	Advised	-	13-Feb-19 13-Feb-19
183		Foundation Securities (Pvt.) Limited	Advised	-	13-Feb-19 13-Feb-19
184	022	BMA Capital Management Limited	Advised	-	13-Feb-19 13-Feb-19
185	057 204	First Capital Eaulties Limited Backers & Partners (Private) Limited	Advised Stern Warning	-	13-Feb-19
187	024	ASDA Securities (Private) Limited	Fine and confisction of Profit along with Stern Warning	30,000	1-Feb-19
188	024	ASDA Securities (Private) united Multiline Securities (Pvt.) Ltd.	Fine and confisction of Profit along with Stern Warning Stern Warning		1-Feb-19
189	018	Ismail Igbal Securities (Pvt.) Limited	Stem Warning		1-Feb-19
190	036	Time Securities (Private) Limited	Cofiscation of Profit along with Stern Warning	13,435	1-Feb-19
191	347	Amer Securities (Pvt.) Ltd.	Stem Warning		1-Feb-19
192	052	N.U.A. Securities (Private) Limited	Penalty Imposed along with confiscation of profits	10,054	24-Jan-19
193	045	Bhavani Securities (Private) Limited	Penalty Imposed along with confiscation of profits	98,350	24-Jan-19
194	193	Akhai Securities (Pvt.) Limited	Stern Warning		24-Jan-19
195	023	Khanani Securities (Private) Limited	Penalty Imposed	36,320	24-Jan-19
196	001	Altaf Adam Securities (Private) Limited	Penalty Imposed along with confiscation of profits	52,495	24-Jan-19
197	044	IGI Finex Securities Limited	Advised	-	23-Jan-19
198	124	EFG Hermes Pak Ltd	Advised		23-Jan-19
199	006	Shermon Securities (Pvt.) Ltd.	Advised		23-Jan-19
200	022	BMA Capital Management Limited	Advised		23-Jan-19
201	090	Darson Securities (Private) Limited	Advised		10-Jan-19
202	149	JS Global Capital Limited	Advised		10-Jan-19
203	052	N.U.A. Securities (Private) Limited	Strictly Advised		4-Jan-19 4-Jan-19
204	091	Intermarket Securities Limited	Strictly Advised		4-Jan-19 3-Jan-19
205		Growth Securities (Pvt.) Limited	Advised		1-lon-19
200	166	Topline Securities (Private) Limited Patel Securities Pvt) Ltd.	Advised Confiscation of Profits	4 777	21-Dec-18
207	159	Rafi Securities (Private) Limited	Confiscation of Profits	56.853	21-Dec-18
209	256	Progressive Securities (Private) Limited	Confiscation of Profits	11.539	21-Dec-18
210	050	Arif Habib Limited	Strictly Advised	11,007	13-Dec-18
210	084	Ant Habib Limited Muhammad Munir Muhammad Ahmed Khanani Securities (Pvt.) Ltd	Strictly Advised		13-Dec-18
212	102	Growth Securities (Pvt.) Limited	Advised	-	27-Nov-18
213	145	Adam Securities (Pvt.) Ltd.	Stem Warning		2-Nov-18
214	120	Alfalah Securities (Private) Limited	Stern Warning		2-Nov-18
215	224	K & I Global Capital (Private) Limited	Stern Warning		2-Nov-18
216	187	SAZ Capital Securities (Pvt.) Ltd.	Stern Warning	-	2-Nov-18
217	062	WE Financial Services Limited	Stern Warning	-	2-Nov-18
218	223	Maan Securities (Private) Limited	Penalty Imposed	5,500	1-Nov-18
219	091	Intermarket Securities Limited	Penalty Imposed	12,500	1-Nov-18
220	128	BIPL Securities Limited	Penalty Imposed	1,050	1-Nov-18
221	084	Muhammad Munir Muhammad Ahmed Khanani Securities (Pvt.) Ltd	Advised		24-Oct-18
222	169	Pearl Securities Limited	Stern Warning	-	9-Oct-18
223	179	Continental Capital Management (Pvt) Ltd.	Stern Warning	-	9-Oct-18
224	212	Horizon Securities Limited	Stern Warning		9-Oct-18
225	006	Sherman Securities (Pvt.) Ltd.	Stern Warning	-	5-Oct-18
226	017	Summit Capital (Private) Limited	Penalty Imposed	10,000	5-Oct-18
227	018	Ismail labal Securities (Pvt.) Limited	Penalty Imposed	20,000	5-Oct-18
228	077	Best Securities (Private) Limited	Stern Warning	-	5-Oct-18 5-Oct-18
229 230	108	Azee Securities (Pvt.) Ltd.	Stern Warning Strictly Advised		5-Oct-18 25-Sep-18
230	112	Standard Capital Securities (Private) Limited		-	25-Sep-18 25-Sep-18
231	145	Adam Securities (Prt.) Ltd. MRA Securities (Private) Limited	Strictly Advised Strictly Advised	-	25-Sep-18 25-Sep-18
232	228		Strictly Advised Advised	1	25-Sep-18 25-Sep-18
233	091	Al-Hag Securities (Private)Limited Intermarket Securities Limited	Advised		25-Sep-18
234	297			-	25-Sep-18 7-Sep-18
235		MSD Capital Equities (Private) Limited Bismillah Securities (Private) Limited	Stern Warning Stern Warning	1	7-Sep-18 7-Sep-18
230	267	Bismillah Securities (Private) Limited BMA Capital Management Limited	Stern Warning	-	7-Sep-18 7-Sep-18
237	022	BMA Capital Management Limited Bhavani Securities (Private) Limited	Penalty Imposed along with confiscation of profits	12,923	7-Sep-18 7-Sep-18
239	008	Optimus Capital Management (Pvt.) Ltd.	Stern Warning		7-Sep-18
240	290	K.H.S. Securities (Private) Limited	Stern Warning	-	7-Sep-18
241	008	Optimus Capital Management (Pvt.) Ltd.	Stern Warning	-	7-Sep-18
242	046	Fortune Securities Limited	Penalty Imposed	1,302	30-Aug-18
243	036	Time Securities (Private) Limited	Stem Warning	-	30-Aug-18
244	001	Altaf Adam Securities (Private) Limited	Stem Warning		30-Aug-18
		Growth Securities (Pvt.) Limited	Penalty Imposed	10.000	30-Aug-18
245	102			90.000	30-Aug-18