

## Pakistan Stock Exchange Limited

Audit, Inspection, Default & Arbitration Wing | Regulatory Affairs Division

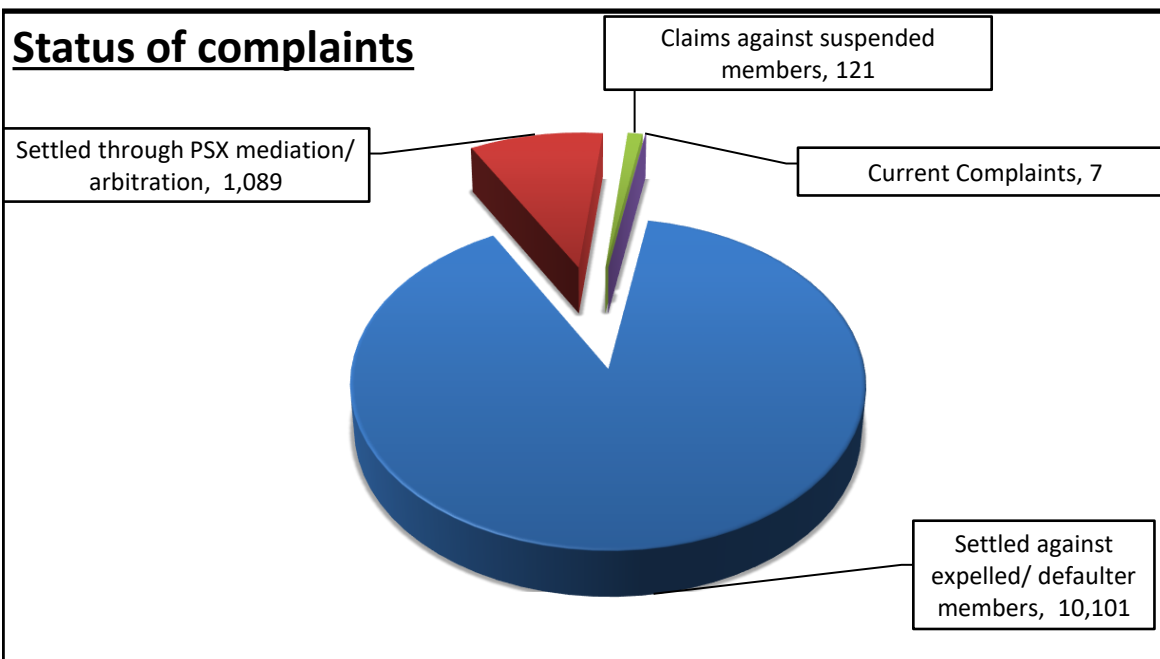
Status of Investors' Complaints

For the period from November 01, 2008 to June 30, 2019

### Status of complaints as on June 30, 2019

Total number of complaints handled during the period	11,319
Less: settled against expelled/ defaulter members	(10,101)
Less: settlement through PSX mediation/arbitration	(1,089)
Current complaints under process	<b>129</b>
Current complaints against suspended members/ TREC Holders	121
Current complaints	<b>7</b>

### Status of complaints



### COMPENSATIONS PAID TO CLAIMANTS OF FORMER TREC HOLDERS/ MEMBERS/ BROKERS OF PSX.

- Investors claims worth **Rs.4.6billion** have been settled after thorough verification.
- Total funds of **Rs.1.53billion** have been disbursed among investors from 2008 to date in accordance with the relevant Regulations of PSX.
- Payout from Centralized Customer Protection Compensation Fund of PSX to investors dealing with defaulter/ expelled brokers under CCPF Regulations from 2008-to-date comes to **Rs.0.95billion**.
- **51.9%** of investors have received 100% of their approved claim amount.

**Disciplinary actions taken against brokers/ TRE Certificate Holders:**

<b>S. No.</b>	<b>Brokers/ TRE Certificate Holders</b>	<b>Settlement offered from</b>	<b>Overall Settlement Percentage</b>
1	M/s. Bagasra Securities (Private) Limited Defaulter Member-PSX	Sale proceeds of Membership Card + Other Assets + CCPF	66.37%
2	M/s. AAG Securities (Private) Limited-Expelled Member PSX	do	100.00%
3	M/s. M.K.A Securities (Private) Limited- Expelled Member PSX	do	100.00%
4	M/s. Mars Securities (Private) Limited-Expelled Member-PSX	do	98.98%
5	M/s. Eastern Capital Limited-Expelled Member PSX	do	20.90%
6	M/s. Capital One Equities Limited-Expelled Member-PSX	do	17.03%
7	M/s. Durvesh Securities (Private) Limited-Expelled Member, PSX	do	85.83%
8	M/s. Cliktrade Limited -Expelled Member, PSX	do	60.47%
9	M/s. United Capital Securities (Private) Limited-Expelled Member, PSX	do	100.00%
10	M/s. Pearl Capital Management (Private) Limited - Former TREC Holder, PSX	Sale proceeds of PSX shares + TRE Certificate + Other Assets + CCPF	69.26%
11	M/s. ZHV Securities Limited - Former TREC Holder, PSX	Sale proceeds of PSX shares + Other Assets + CCPF	100.00%
12	M/s. Prudential Securities Limited - Expelled Member, PSX	CCPF	60.26%
13	M/s. Moosa Noor Mohammad Shehzada & Co. (Pvt.) Limited- Former TREC Holders, PSX	Sale proceeds of PSX shares + Other Assets + CCPF	100.00%
14	M/s. Ismail Abdul Shakoor Securities (Private) Limited-Defaulter Member, PSX	CCPF	21.52%
15	M/s. ACE Securities (Pvt.) Limited -Former TREC Holder, PSX	CCPF	6.10%
16	M/s. M.R. Securities (SMC-Pvt.) Limited - Forfeited TREC Holder, PSX	CCPF + LSE-IPF	2.55%
17	M/s. MAM Securities (Pvt.) Limited - Forfeited TREC Holder, PSX	CCPF + ISE-IPF	33.16%
18	M/s. Stock Street (Pvt.) Limited - Forfeited TREC Holder, PSX	CCPF + ISE-IPF	24.81%
19	M/s. S. Z. Securities (Pvt.) Limited - Forfeited TREC Holder, PSX	CCPF + LSE-IPF	28.25%
20	M/s. AWJ Securities (Pvt.) Limited - Forfeited TREC Holder, PSX	CCPF + ISE-IPF	9.54%