

Pakistan Stock Exchange Limited

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

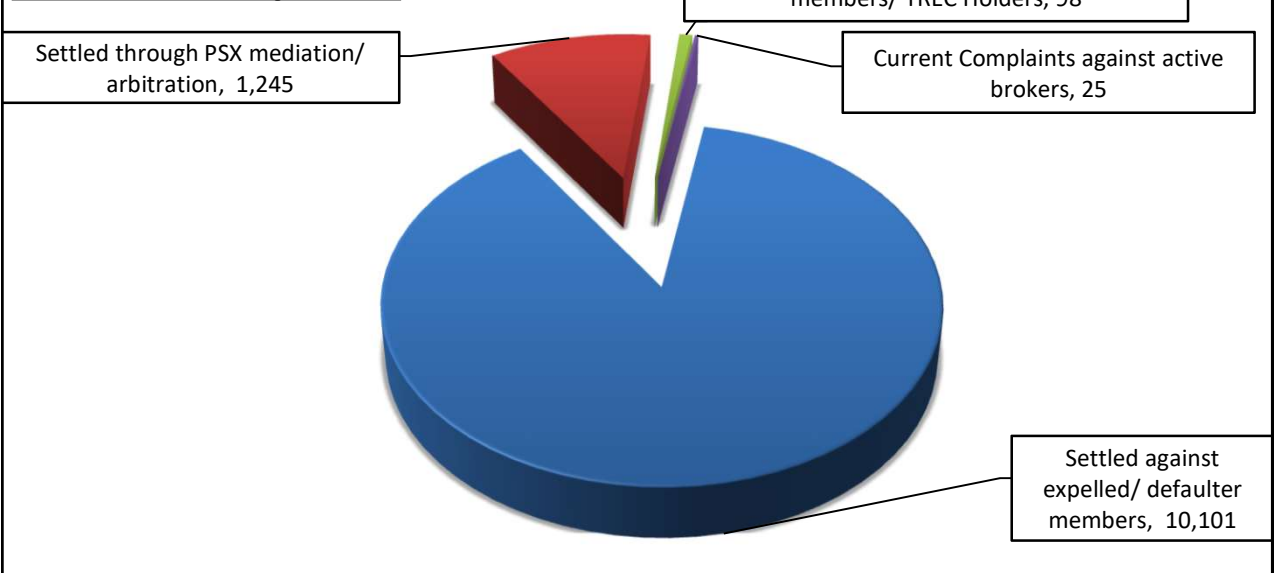
Status of Investors' Complaints

For the period from November 01, 2008 to September 30, 2020

Status of complaints as on September 30, 2020

Total number of complaints handled during the period	11,469
Less: settled against expelled/ defaulter members	(10,101)
Less: settlement through PSX mediation/arbitration	(1,245)
Current complaints under process	123
Current complaints against suspended/forfeited members/ TREC Holders	98
Current complaints	25

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.

List of forfeited/ expelled Members/ TRE Certificate Holders:

S. No.	Brokers/ TRE Certificate Holders	Settlement offered from	Overall Settlement Percentage
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. Kliktrade 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%
21	M/s. Invest Capital Markets Limited - Forfeited TREC Holder, PSX	No Investors claims received	
22	M/s. AMCAP Securities (Pvt.) Limited - Forfeited TREC Holder, PSX	Verification of claims is in process	