

Pakistan Stock Exchange Limited

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

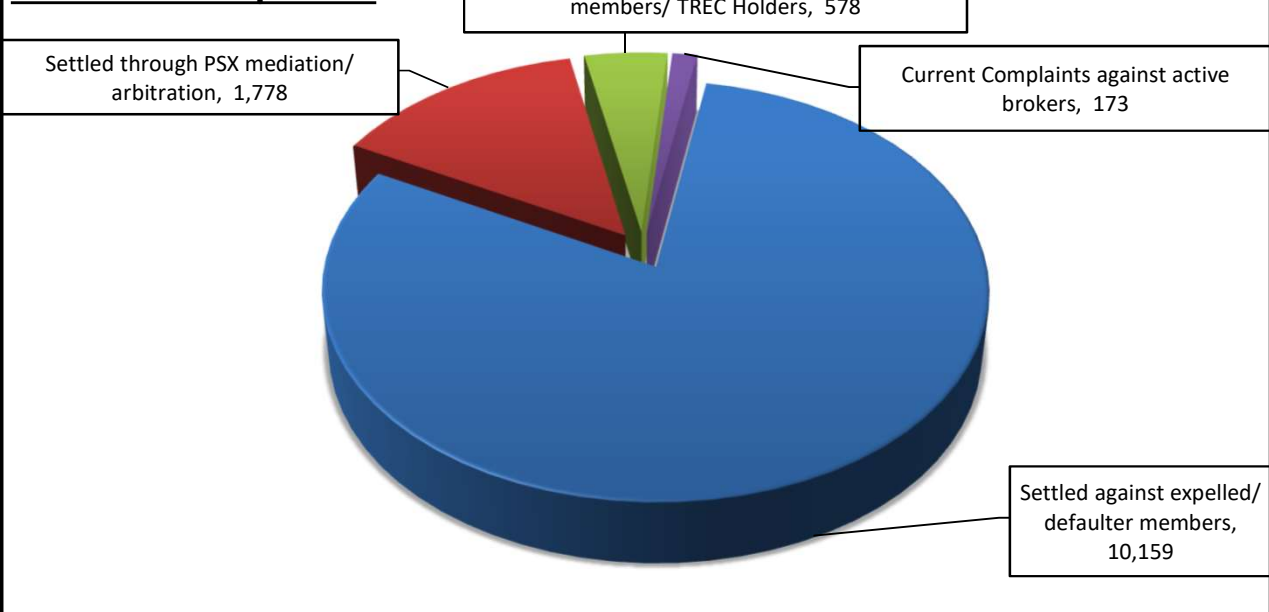
Status of Investors' Complaints

For the period from November 01, 2008 to June 30, 2023

Status of complaints as on June 30, 2023

| | |
|--|------------|
| Total number of complaints handled during the period | 12,688 |
| Less: settled against expelled/ defaulter members | (10,159) |
| Less: settlement through PSX mediation/arbitration | (1,778) |
| Less: complaints against suspended/forfeited members/ TREC Holders | (578) |
| Current complaints under process | 173 |

Status of complaints



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

- Investors claims worth **Rs.4.86billion** have been settled after thorough verification.
- Total funds of **Rs.1.77billion** 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 against defaulter/ expelled brokers under CCPF Regulations from 2008-to-date comes to **Rs.0.99billion**.
- **53.5%** 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. 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 | Sale proceeds of Membership Card + Other Assets + CCPF | 100.00% |
| 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 | Sale proceeds of Membership Card + Other Assets + CCPF | 100.00% |
| 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 | CCPF +Sale proceeds of LSEFSL shares | 56.22% |
| 22 | M/s. Aziz FidaHusein & Co. (Pvt.) Limited - Forfeited TREC Holder, PSX | Sale proceeds of PSX shares + Other Assets + CCPF | 48.55% |
| 23 | M/s. Equity Master Securities (Private) Limited - Forfeited TREC Holder, PSX | Claim verification is in process | - |