



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1	Arif Habib Limited	Censure letter	29-Jan-24	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.5A
2	Al Habib Capital Markets (Pvt) Limited	Censure letter	16-Jan-24	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
3	Apex Capital Securities (Private) Limited	Censure letter	16-Jan-24	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 6.2A.1
4	Azee Securities (Private) Limited	Restriction + Censure	10-Jan-24	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.5A
5	Spinzer Equities (Pvt.) Limited	Censure	22-Dec-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
6	Dawood Equities Ltd	Censure	13-Dec-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.7.2
7	Summit Capital (Pvt.) Limited	Censure	8-Dec-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
8	MsManiar Financials (Pvt.) Limited	Censure	7-Dec-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
9	First National Equities Limited	Removal of Restrictions	4-Dec-23	Consequent to Removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/245/23 dated December 04, 2023	15.6.2
10	Vector Securities (Pvt.) Limited	Restricted	17-Nov-23	Consequent to appointment of ECclear Services Limited as Professional Clearing Member by Participant for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
11	MGM Securities (Pvt.) Limited	Restricted	17-Nov-23	Consequent to appointment of ECclear Services Limited as Professional Clearing Member by Participant for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
12	Continental Capital Management (Private) Limited	Restriction + Censure	30-Oct-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
13	Bhayani Securities (Private) Limited	Restriction + Censure	20-Oct-23	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.5A
14	Amer Securities (Private) Limited	Restricted	20-Oct-23	Consequent to appointment of ECclear Services Limited as Professional Clearing Member by Participant for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
15	Ayub Chaudhry Investments (Private) Limited	Restricted	20-Oct-23	Consequent to appointment of ECclear Services Limited as Professional Clearing Member by Participant for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
16	Galaxy Capital Securities (Private) Limited	Restricted	20-Oct-23	Consequent to appointment of ECclear Services Limited as Professional Clearing Member by Participant for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
17	First National Equities Limited - MF	Restricted	18-Oct-23	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/224/23 dated October 17, 2023	15.2.1(a)
18	Ample Securities (Pvt.) Limited	Direct	16-Oct-23	Non-Compliance of CDC Regulations	6.2A.1
19	Creative Capital Securities (Private) Limited	Direct	16-Oct-23	Non-Compliance of CDC Regulations	6.2A.1
20	SAAO Capital (Private) Limited	Terminated	16-Oct-23	Voluntary Termination	15.10.1
21	IAK Securities (Private) Limited	Terminated	6-Oct-23	Participant has ceased to be Trading Right Entitlement Certificate holder as communicated by the Pakistan Stock Exchange Limited vide notice no. PSX/N-993 dated September 28, 2023	15.2.1(c) read with Regulation 15.3.7
22	Javed Iqbal Securities (Pvt.) Limited	Restricted	15-Sep-23	Consequent to appointment of ECclear Services Limited as Professional Clearing Member by Participant for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
23	Progressive Securities (Private) Limited	Restricted	18-Aug-23	Consequent to appointment of ECclear Services Limited as Professional Clearing Member by Participant for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
24	CMA Securities (Private) Limited	Restricted	18-Aug-23	Consequent to appointment of ECclear Services Limited as Professional Clearing Member by Participant for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
25	Dattoo Securities (Private) Limited	Terminated	10-Aug-23	Voluntary Termination	15.10.1
26	CMA Securities (Private) Limited	Removal of Restrictions	27-Jul-23	Consequent to restoration of trading facility by PSX as notified vide notice no PSX/N-773 dated July 26, 2023.	15.6.2
27	MCBFSL - Trustee Pakistan Emerging Market Fund-I	Terminated	25-Jul-23	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
28	Millennium Brokerage (Private) Limited	Restricted	21-Jul-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Participant for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
29	Strongman Securities (Private) Limited	Restricted	21-Jul-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Participant for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
30	K & I Global Capital (Private) Limited	Restricted	21-Jul-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Participant for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
31	DJM SECURITIES LIMITED	Censure	18-Jul-23	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5 & 6.2.5A
32	CAMCO (Private) Limited	Restricted	18-Jul-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-735 dated July 18, 2023.	15.2.1(a)
33	Iqbal Usman Kodvavi Securities (Pvt.) Limited	Censure	26-Jun-23	Non-Compliance of CDC Regulations	6.2.A.1, 6.2.4, 6.2.5 & 6.2.5A
34	Salman Majeed Securities (Private) Limited	Censure	26-Jun-23	Non-Compliance of CDC Regulations	7.1.1
35	RAH Securities (Pvt.) Limited	Terminated	23-Jun-23	Voluntary Termination	15.10.1
36	Sethi Securities (Private) Limited	Restricted	23-Jun-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Sethi Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
37	AM Chaudhry Securities (Private) Limited	Restricted	23-Jun-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by AM Chaudhry Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
38	Moneyline Securities (Private) Limited	Restricted	23-Jun-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Moneyline Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
39	Patel Securities (Private) Limited	Terminated	22-Jun-23	Voluntary Termination	15.10.1
40	N.U.A Securities (Pvt.) Limited - MF	Removal of Restrictions	19-Jun-23	Consequent to Removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/149/23 dated June 19, 2023	15.6.2
41	N.U.A Securities (Pvt.) Limited - MF	Restricted	19-Jun-23	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/147/23 dated June 16, 2023	15.2.1(a)
42	Venus Securities (Pvt.) Limited	Restricted	9-Jun-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Venus Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
43	Dosslanis Securities (Private) Limited	Restricted	9-Jun-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Dosslani's Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
44	Gul Dhami Securities (Private) Limited	Restricted	2-Jun-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Gul Dhami Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
45	Salman Majeed Securities (Pvt) Limited	Restricted	2-Jun-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Salman Majeed Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
46	Amer Securities (Private) Limited	Censure	30-May-23	Non-Compliance of CDC Regulations	6.2A.1 & 7.1.1
47	IGI Finex Securities Limited	Censure	25-May-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
48	CMA Securities (Private) Limited	Restricted	19-May-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-501 dated May 19, 2023.	15.2.1(a)
49	BMA Capital Management Limited	Censure	18-May-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
50	Dr. Arslan Razaque Securities (Pvt) Limited	Censure	3-May-23	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1



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Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
51	Adeel & Nadeem Securities (Pvt.) Limited	Restricted	20-Apr-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Adeel & Nadeem Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
52	MsManiar Financials (Pvt.) Limited	Removal of Restrictions	20-Apr-23	Consequent to restoration of trading facility by PSX vide notice no.PSX/N-392 dated April 19, 2023.	15.6.2
53	The Bank of Punjab	Censure	19-Apr-23	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 & 7.1.1
54	Equity Master Securities (Private) Limited	Terminated	3-Apr-23	Consequent to declaring the Participant as Defaulter by PSX vide notice no. PSX/N-329 dated April 03, 2023	15.3.7
55	MRA Securities Limited	Restriction + Censure	3-Apr-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
56	Standard Capital Securities (Pvt.) Limited	Censure	3-Apr-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
57	Value Stock & Commodities (Pvt.) Limited - MF	Removal of Restrictions	29-Mar-23	Consequent to Removal of Restrictionss by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/99/22 dated March 29, 2023	15.6.2
58	Aba Ali Habib Securities (Private) Limited	Censure	28-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 8.2.1(e)
59	Value Stock & Commodities (Pvt.) Limited	Censure	28-Mar-23	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
60	Horizon Securities Limited - MF & MT	Terminated	24-Mar-23	Consequent to the termination by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CS/092/23 dated March 24, 2023	15.3.7
61	Khawaja Securities (Pvt.) Limited	Restricted	24-Mar-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Khawaja Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
62	Asian Securities Limited	Terminated	20-Mar-23	Voluntary Termination	15.10.1
63	A. S. Securities (Private) Limited	Removal of Restrictions	20-Mar-23	Consequent to restoration of trading facility by PSX vide notice no.PSX/N-275 dated March 17, 2023.	15.6.2
64	Trust Securities & Brokerage Limited	Censure	17-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
65	Fawad Yusuf Securities (Private) Limited	Direct	17-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
66	Standard Capital Securities (Pvt.) Limited	Restriction + Censure	17-Mar-23	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6(b)
67	Pasha Securities (Pvt.) Limited	Restricted	17-Mar-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Pasha Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
68	Mannoo Capital (Pvt.) Limited	Restricted	17-Mar-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Mannoo Capital (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
69	Enrishers Securities (Pvt.) Limited	Restricted	16-Mar-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-259 dated March 16, 2023.	15.2.1(a)
70	A. S. Securities (Private) Limited	Restricted	16-Mar-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-259 dated March 16, 2023.	15.2.1(a)
71	Equity Master Securities (Private) Limited	Restricted	16-Mar-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-259 dated March 16, 2023.	15.2.1(a)
72	MsManiar Financials (Pvt.) Limited	Restricted	16-Mar-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-259 dated March 16, 2023.	15.2.1(a)
73	Shaffi Securities (Pvt.) Limited -MF	Restricted	16-Mar-23	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/86/23 dated March 16, 2023	15.2.1(a)
74	ASA Stocks (Private) Limited	Terminated	14-Mar-23	Voluntary Termination	15.10.1
75	Shajar Capital Pakistan (Private) Limited	Censure	14-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
76	ABM Securities (Pvt.) Limited	Terminated	13-Mar-23	Voluntary Termination	15.10.1
77	Multiline Securities Limited	Censure	13-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
78	Seven Star Securities (Pvt.) Limited	Restriction + Censure	10-Mar-23	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6(b)
79	MsManiar Financials (Pvt.) Limited	Censure	10-Mar-23	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6(b)



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Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
80	Xpert Securities Limited	Restricted	9-Mar-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-232 dated March 09,2023.	15.2.1(a)
81	Tariq Vohra Securities (Private) Limited	Terminated	9-Mar-23	Voluntary Termination	15.10.1
82	We Financial Services Limited	Censure	2-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
83	Friendly Securities (Private) Limited	Censure	2-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
84	Ayub Chaudhry Investments (Private) Limited	Censure	2-Mar-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
85	KP Securities (Private) Limited	Terminated	28-Feb-23	Voluntary Termination	15.10.1
86	Sakarwala Capital Securities (Pvt.) Limited	Direct	27-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
87	MND Investment (Private) Limited	Restricted	24-Feb-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by MND Investment (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
88	Khanani Securities (Pvt.) Limited	Restricted	24-Feb-23	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Khanani Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
89	Aba Ali Habib Securities (Private) Limited	Direct	24-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
90	FDM Capital Securities (Private) Limited	Restriction + Censure	23-Feb-23	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6(b)
91	New Peak Securities (Pvt.) Limited	Censure	21-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
92	Mannoo Capital (Pvt.) Limited	Removal of Restrictions	17-Feb-23	Consequent to restoration of trading facility by PSX vide notice no.PSX/N-173 dated February 17, 2023.	15.6.2
93	Abbasi & Company (Private) Limited	Censure	17-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
94	Fairtrade Capital Securities (Pvt.) Limited	Censure	16-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
95	Mannoo Capital (Pvt.) Limited	Restricted	16-Feb-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-160 dated February 16,2023.	15.2.1(a)
96	Dr. Arslan Razaque Securities (Pvt) Limited	Censure	15-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
97	B & B Securities (Private) Limited	Censure	10-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
98	Foundation Securities (Private) Limited	Direct	10-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
99	Abbasi & Company (Private) Limited	Direct	7-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
100	Millennium Brokerage (Pvt.) Limited	Censure	6-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
101	Interactive Securities (Pvt.) Limited	Censure	6-Feb-23	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
102	Oriental Securities (Pvt.) Limited	Direct	6-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
103	DJM Securities Limited	Censure	6-Feb-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
104	Market 786 (Private) Limited	Terminated	1-Feb-23	Voluntary Termination	15.10.1
105	Lakhani Securities (PVT) Limited.	Terminated	26-Jan-23	Voluntary Termination	15.10.1
106	Cedar Capital (Private) Limited	Terminated	19-Jan-23	Voluntary Termination	15.10.1
107	CMA Securities (Private) Limited	Removal of Restrictions	18-Jan-23	Consequent to change of status as an active TRE Certificate Holder by PSX vide notice no.PSX/N-58 dated January 18, 2023.	15.6.2
108	SAAO Capital (Private) Limited	Removal of Restrictions	18-Jan-23	Consequent to restoration of trading facility by PSX vide notice no.PSX/N-49 dated January 18, 2023.	15.6.2
109	SAAO Capital (Private) Limited	Restricted	17-Jan-23	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-48 dated January 17,2023.	15.2.1(a)
110	Chase Securities Pakistan (Pvt.) Limited	Censure	11-Jan-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
111	Bawa Securities (Private) Limited	Censure	11-Jan-23	Non-Compliance of CDC Regulations	6.2A.1
112	Merchant Investments (Pvt.) Limited	Terminated	6-Jan-23	Voluntary Termination	15.10.1
113	Shajarpak Securities (Private) Limited	Censure	4-Jan-23	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
114	ACM Global (Pvt.) Limited	Restricted	30-Dec-22	Consequent to suspension of trading terminals by PSX as notified vide notice no PSX/N-1325 dated December 30,2022.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
115	GPH Securities (Private) Limited	Restricted	16-Dec-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by GPH Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
116	High Land Securities (Private) Limited	Restricted	16-Dec-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by High Land Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
117	Q. Ain Khanani Securities (Private) Limited	Terminated	14-Dec-22	Voluntary Termination	15.10.1
118	Intermarket Securities Limited	Direct	12-Dec-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
119	Pearl Securities Limited	Censure	12-Dec-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
120	Askari Securities Limited	Censure	12-Dec-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
121	Ismail Iqbal Securities (Private) Limited	Censure	12-Dec-22	Non-Compliance of CDC Regulations	6.2A.1
122	Galaxy Capital Securities (Private) Limited	Removal of Restrictions	6-Dec-22	Consequent to restoration of trading facility by PSX vide notice no.PSX/N-1234 dated December 06, 2022.	15.6.2
123	Khawaja Securities (Private) Limited	Removal of Restrictions	1-Dec-22	Consequent to Removal of Restrictions by NCCPL vide notice no. NCCPL/CRO/234/22 dated December 01, 2022	15.6.2
124	Galaxy Capital Securities (Private) Limited	Restricted	1-Dec-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-790 dated August 16,2022.	15.2.1(a)
125	Khawaja Securities (Private) Limited	Restricted	29-Nov-22	Consequent to imposing the restriction by NCCPL vide notice no. NCCPL/CRO/232/22 dated November 29, 2022	15.2.1(a)
126	AL Habib Capital Markets (Pvt.) Limited	Censure	28-Nov-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
127	Akhai Securities (Private) Limited	Censure	16-Nov-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2A.1 & 6.7.2
128	Sherman Securities (Pvt.) Limited	Censure	16-Nov-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
129	A. S. Securities (Private) Limited	Removal of Restrictions	8-Nov-22	Consequent to change of status as an active TRE Certificate Holder by PSX vide notice no.PSX/N-1107 dated November 08, 2022.	15.6.2
130	Alpha Capital (Pvt.) Limited	Censure	2-Nov-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
131	Apex Capital Securities (Private) Limited	Censure	2-Nov-22	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
132	Value Stock & Commodities (Pvt.) Limited - MF	Restricted	31-Oct-22	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/219/22 dated October 31, 2022	15.2.1(a)
133	Rafi Securities (Pvt.) Limited	Censure	20-Oct-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
134	FDM Capital Securities (Private) Limited	Censure	20-Oct-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
135	MsManiar Financials (Pvt.) Limited	Censure	19-Oct-22	Non-Compliance of CDC Regulations	6.2.2 , 6.2.4, 6.2.5, 6.2.5A & 7.1.1
136	Asda Securities (Private) Limited - MF	Restricted	18-Oct-22	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/215/22 dated October 18, 2022	15.2.1(a)
137	Xpert Securities Limited	Removal of Restrictions	11-Oct-22	Consequent to restoration of trading facility by PSX vide notice no.PSX/N-1003 dated October 11, 2022.	15.6.2
138	Value Stock & Commodities (Pvt.) Limited - MF	Removal of Restrictions	4-Oct-22	Consequent to Removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/212/22 dated October 03, 2022	15.6.2
139	Time Securities (Pvt.) Limited	Censure	3-Oct-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
140	Aziz Fidhusein & Company (Private) Limited	Terminated	23-Sep-22	Consequent to the forfeiture of TRE Certificate of the Participant by PSX vide notice no. PSX/N-935 dated September 22, 2022	15.3.7
141	A. S. Securities (Private) Limited	Notice in respect of Participant	23-Sep-22	Participant has complied with the Regulation 6.8.2 CDC Regulations	15.6.2
142	Ocean Securities Limited	Removal of Restrictions	31-Aug-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-840 dated August 31, 2022.	15.6.2
143	INA Securities (Private) Limited	Terminated	26-Aug-22	Voluntary Termination	15.10.1
144	MRA Securities Limited	Censure	25-Aug-22	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
145	Millennium Brokerage (Pvt.) Limited	Censure	25-Aug-22	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
146	Asda Securities (Private) Limited	Removal of Restrictions	17-Aug-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-794 dated August 17, 2022.	15.6.2
147	Value Stock & Commodities (Pvt.) Limited - MF	Restricted	16-Aug-22	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/205/22 dated August 16, 2022	15.2.1(a)
148	Horizon Securities Limited - MF & MT	Restricted	16-Aug-22	Consequent to imposing the Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/204/22 dated August 16, 2022	15.2.1(a)
149	Ocean Securities Limited	Restricted	16-Aug-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-790 dated August 16,2022.	15.2.1(a)
150	Asda Securities (Private) Limited	Restricted	16-Aug-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-790 dated August 16,2022.	15.2.1(a)
151	S. D. Mirza Securities (Private) Limited	Restricted	5-Aug-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by S. D. Mirza Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
152	K & I Global Capital (Pvt.) Limited	Censure	2-Aug-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
153	Faysal Bank Limited	Terminated	1-Aug-22	Voluntary Termination	15.10.1
154	Khawaja Securities (Private) Limited	Removal of Restrictions	22-Jul-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-700 dated July 22, 2022.	15.6.2
155	Fairtrade Capital Securities (Pvt.) Limited	Restricted	22-Jul-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Fairtrade Capital Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
156	SMAC Investments (Private) Ltd.	Restricted	22-Jul-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by SMAC Investments (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
157	DCCL - Trustee BMA Chundrigar Road Savings Fund	Terminated	21-Jul-22	Voluntary Termination	15.10.1
158	Khanani Securities (Pvt.) Limited	Removal of Restrictions	19-Jul-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-680 dated July 19, 2022.	15.6.2
159	Horizon Securities Limited - MF & MT	Removal of Restrictions	19-Jul-22	Consequent to Removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/171/22 dated July 19, 2022	15.6.2
160	Asda Securities (Private) Limited - MF	Removal of Restrictions	19-Jul-22	Consequent to Removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/170/22 dated July 19, 2022	15.6.2
161	SMAC Investments (Private) Ltd.	Removal of Restrictions	19-Jul-22	Consequent to change of status as an active TRE Certificate Holder by PSX vide notice no.PSX/N-678 dated July 19, 2022.	15.6.2
162	Fairtrade Capital Securities (Pvt.) Limited	Removal of Restrictions	19-Jul-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-675 dated July 19, 2022.	15.6.2
163	Khawaja Securities (Private) Limited	Restricted	18-Jul-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-671 dated July 18,2022.	15.2.1(a)
164	Fairtrade Capital Securities (Pvt.) Limited	Restricted	18-Jul-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-671 dated July 18,2022.	15.2.1(a)
165	Khanani Securities (Pvt.) Limited	Restricted	18-Jul-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-671 dated July 18,2022.	15.2.1(a)
166	Xpert Securities Limited	Restricted	18-Jul-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-668 dated July 18,2022.	15.2.1(a)
167	SMAC Investments (Private) Ltd.	Notice in respect of Participant	6-Jul-22	Participant has complied with the Regulation 6.8.2 CDC Regulations	15.6.2
168	128 Securities (Private) Limited	Restricted	1-Jul-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by 128 Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
169	Gul Dhami Securities (Private) Limited	Direct	29-Jun-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
170	Yasir Mahmood Securities (Pvt.) Limited	Restricted	24-Jun-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Yasir Mahmood Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
171	MGM Securities (Pvt.) Limited	Direct	23-Jun-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
172	Javed Iqbal Securities (Pvt.) Limited	Direct	23-Jun-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
173	Dawood Equities Ltd	Censure	23-Jun-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
174	Bhayani Securities (Private) Limited	Censure	23-Jun-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5 & 6.2.5A
175	Iqbal Usman Kodvavi Securities (Pvt.) Limited	Censure	23-Jun-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5 & 6.2.5A
176	Habib MetroPolitan Financial Services Limited	Direct	22-Jun-22	Non-Compliance of CDC Regulations	6.2.A.1 & 7.1.1
177	Y.H. Securities (Pvt.) Limited	Direct	22-Jun-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
178	Akhai Securities (Private) Limited	Removal of Restrictions	21-Jun-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-582 dated June 21, 2022.	15.6.2
179	Akhai Securities (Private) Limited	Restricted	17-Jun-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-572 dated June 17, 2022.	15.2.1(a)
180	HMC Stocks (Private) Limited	Restricted	17-Jun-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by HMC Stocks (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
181	Memon Securities (Pvt.) Limited	Direct	16-Jun-22	Non-Compliance of CDC Regulations	7.1.1
182	Faysal Bank Limited	Restriction + Censure	16-Jun-22	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 & 7.1.1
183	Cedar Capital (Private) Limited	Restriction + Censure	13-Jun-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.7.2
184	Alfalsh CLSA Securities (Pvt.) Limited	Censure	13-Jun-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
185	Multiline Securities Limited	Censure	8-Jun-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.5A
186	Asad Mustafa Securities (Private) Limited	Terminated	8-Jun-22	Voluntary Termination	15.10.1
187	Azee Securities (Private) Limited	Removal of Suspension	6-Jun-22	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/129/22 dated June 06, 2022	15.6.2
188	Azee Securities (Private) Limited	Suspended	6-Jun-22	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/128/22 dated June 06, 2022	15.2.1(b)
189	Abbasi Securities (Pvt.) Limited	Terminated	2-Jun-22	Voluntary Termination	15.10.1
190	Royal Securities (Pvt.) Limited	Suspended	2-Jun-22	Due to non-Compliance of 6.8.2 of CDC regulations after completing 60 business days of restrictions	15.3.7
191	Azee Securities (Private) Limited	Removal of Suspension	27-May-22	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-515 dated May 27, 2022	15.6.2
192	Azee Securities (Private) Limited	Suspended	24-May-22	Consequent to suspension of trading terminals of Participant by PSX vide notice no.PSX/N-492 dated May 24, 2022.	15.2.1(b)
193	HMC Stocks (Private) Limited	Removal of Restrictions	23-May-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-481 dated May 23, 2022.	15.6.2
194	General Invest. & Securities (Pvt.) Limited	Direct	20-May-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
195	Progressive Investment Management (Pvt.) Limited	Direct	20-May-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A
196	Fortune Securities Limited	Censure	20-May-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
197	B & B Securities (Private) Limited	Removal of Restrictions	19-May-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-467 dated May 19, 2022.	15.6.2
198	Asda Securities (Private) Limited - MF	Restricted	17-May-22	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/113/22 dated May 17, 2022	15.2.1(a)
199	Horizon Securities Limited - MF & MT	Restricted	17-May-22	Consequent to imposing the Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/114/22 dated May 17, 2022	15.2.1(a)
200	HMC Stocks (Private) Limited	Restricted	17-May-22	Consequent to restriction on trading facility by PSX as notified vide notice no PSX/N-461 dated May 17, 2022.	15.2.1(a)





Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
201	B & B Securities (Private) Limited	Restricted	17-May-22	Consequent to restriction of trading facility by PSX as notified vide notice no PSX/N-463 dated May 17,2022.	15.2.1(a)
202	Bismillah Securities (Private) Limited	Terminated	17-May-22	Voluntary Termination	15.10.1
203	Dawood Equities Ltd	Removal of Suspension	11-May-22	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/111/22 dated May 11, 2022	15.6.2
204	Dawood Equities Ltd	Suspended	11-May-22	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/110/22 dated May 11, 2022	15.2.1(b)
205	Market 786 (Private) Limited	Censure	6-May-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
206	Royal Securities (Private) Limited	Censure	27-Apr-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
207	Spinzer Equities (Private) Limited	Censure	25-Apr-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
208	Fikree's (Private) Limited	Removal of Restrictions	20-Apr-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-381 dated April 20, 2022	15.6.2
209	Fikree's (Private) Limited	Restricted	18-Apr-22	Consequent of Restriction on Trading Facility by PSX as notified vide notice no PSX/N-371 dated April 18,2022	15.2.1(a)
210	Moneyline Securities (Private) Limited-MF	Terminated	13-Apr-22	Consequent to the termination by NCCPL as an MF Account Holder vide notice no. NCCPL/CS/121/22 dated April 12, 2022	15.3.7
211	Shajar Capital Pakistan (Private) Limited-MF & MT	Terminated	13-Apr-22	Consequent to the termination by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CS/120/22 dated April 12, 2022	15.3.7
212	Sigma Leasing Corporation Limited	Removal of Suspension	12-Apr-22	Account Holder has settled the CDC outstanding dues	15.6.2
213	Faysal Bank Limited	Restriction + Censure	8-Apr-22	Non-Compliance of CDC Regulations	6.2.2 & 7.1.1
214	Faysal Bank Limited	Censure	8-Apr-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
215	KP Securities (Private) Limited	Restricted	29-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by KP Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
216	Patel Securities (Private) Limited	Censure	24-Mar-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 6.2.6 (b)
217	Akhai Securities (Private) Limited	Restriction + Censure	24-Mar-22	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4,6.2.5,6.2.5A & 6.2.6 (b)
218	Habib Bank Limited -LSE Branch	Restriction + Censure	24-Mar-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4,6.2.5,6.2.5A,6.2A.1 & 7.1.1
219	HP Securities (Private) Limited	Terminated	24-Mar-22	Voluntary Termination	15.10.1
220	KP Securities (Private) Limited	Removal of Restrictions	22-Mar-22	Consequent to removal of Restrictions by PSX to change the status as an active TRE Certificate holder vide notice no. PSX/N-284 dated March 22, 2022	15.6.2
221	Strongman Securities (Private) Limited	Removal of Restrictions	22-Mar-22	Consequent to restoration trading facility by PSX vide notice no.PSX/N-280 dated March 22, 2022	15.6.2
222	Spectrum Securities Limited	Censure	21-Mar-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 7.1.1
223	Darson Securities Limited	Censure	21-Mar-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 7.1.1
224	A. H. M. Securities (Private) Limited	Restriction + Censure	21-Mar-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A, 6.2A.1 & 7.1.1
225	Hamza Farhad Securities (Private) Limited	Censure	21-Mar-22	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 7.1.1
226	Strongman Securities (Private) Limited	Restricted	21-Mar-22	Consequent of Restriction on Trading Facility by PSX as notified vide notice no PSX/N-265 dated March 21,2022	15.2.1(a)
227	Muhammad Amer Riaz Securities (Private) Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Muhammad Amer Riaz Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
228	Asad Mustafa Securities (Private) Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Asad Mustafa Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
229	Fairway Securities (Private) Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Fairway Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)





Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
230	Networth Securites Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Networth Securities Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
231	Fair Edge Securities (Private) Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Fair Edge Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
232	Habib Ullah Sheikh (Private) Limited	Restricted	18-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Habib ullah Sheikh (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
233	Friendly Securities (Private) Limited -MF	Restricted	18-Mar-22	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/67/22 dated March 17, 2022	15.2.1(a)
234	Royal Securities (Pvt.) Limited	Restricted	11-Mar-22	Consequent to continuation of Restriction on Trading Facility by PSX as notified vide notice no PSX/N-242 dated March 11,2022	15.2.1(a)
235	Gulrez Securities (Private) Limited	Restricted	11-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Gulrez Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
236	K.H.S. Securities (Pvt.) Limited	Restricted	11-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by K.H.S. Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
237	Tariq Vohra Securities (Pvt) Limited	Restricted	11-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Tariq Vohra Securities (Pvt) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
238	Patel Securities (Private) Limited	Restricted	11-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Patel Securities (Pvt) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
239	ABM Securities (Pvt.) Limited	Restricted	11-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by ABM Securities (Pvt) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
240	A. I. Securities (Private) Limited	Restricted	4-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by A.I. Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
241	MSD Capital Equities (Private) Limited	Restricted	4-Mar-22	Consequent to appointment of EClear Services Limited as Professional Clearing Member by MSD Capital Equities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
242	Royal Securities (Pvt.) Limited	Restricted	2-Mar-22	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
243	Arif Habib 1857 (Private) Limited	Terminated	1-Mar-22	Voluntary Termination	15.10.1
244	Nini Securities (Pvt.) Limited	Direct	28-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
245	HH Misbah Securities (Private) Limited	Direct	28-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
246	Pervez Ahmed Capital (Pvt.) Limited	Notice in respect of Participant	24-Feb-22	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
247	Infinite Securities Limited	Notice in respect of Participant	24-Feb-22	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
248	Al Baraka Bank (Pakistan) Limited	Restriction of Sub-Accounts + Censure	23-Feb-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2 & 7.1.1
249	Al Baraka Bank (Pakistan) Limited	Restriction of Sub-Accounts + Censure	23-Feb-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2, 6.2.4, 6.2.5, 6.2.5A & 7.1.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
250	Allied Bank Limited - LSE BRANCH	Restriction of Sub-Accounts + Censure	22-Feb-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2 & 7.1.1
251	Azee Securities (Private) Limited	Censure	21-Feb-22	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.7.2
252	Allied Bank Limited - ISE Branch	Restriction of Sub-Accounts + Censure	18-Feb-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2 & 7.1.1
253	Asad Mustafa Securities (Private) Limited	Censure	18-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
254	Ahsam Securities (Pvt.) Limited	Terminated	18-Feb-22	Voluntary Termination	15.10.1
255	Margalla Financial (Pvt.) Limited	Terminated	18-Feb-22	Voluntary Termination	15.10.1
256	Akik Capital (Private) Limited	Censure	9-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
257	Continental Capital Management (Private) Limited	Censure	9-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
258	Cedar Capital (Private) Limited	Censure	8-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
259	KTrade Securities Limited	Censure	8-Feb-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
260	Float Securities (Private) Limited	Terminated	7-Feb-22	Voluntary Termination	15.10.1
261	BankIslami Pakistan Limited	Restriction + Censure	2-Feb-22	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2 & 7.1.1
262	TS Securities (Pvt.) Limited	Direct	28-Jan-22	Non-Compliance of CDC Regulations	7.1.1
263	K.H.S. Securities (Pvt.) Limited	Censure	24-Jan-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
264	First National Equities Limited	Censure	24-Jan-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
265	Azee Securities (Private) Limited	Intention to Suspend	18-Jan-22	Failure to settle the CDC outstanding dues.	15.9.1(e)
266	KHS Securities (Pvt.) Limited	Direct	14-Jan-22	Non-Compliance of CDC Regulations	6.2.3
267	BIPL Securities Limited	Censure	10-Jan-22	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
268	Ismail Iqbal Securities (Private) Limited	Censure	10-Jan-22	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.5A
269	Habib Ullah Sheikh (Private) Limited	Direct	10-Jan-22	Non-Compliance of CDC Regulations	7.1.1
270	Pervez Ahmed Capital (Pvt.) Limited	Restricted	3-Jan-22	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
271	Infinite Securities Limited	Restricted	3-Jan-22	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
272	Khawaja Securities (Private) Limited	Removal of Restrictions	29-Dec-21	Consequent to restoration trading terminals by PSX vide notice no.PSX/N-1518 dated December 29, 2021	15.6.2
273	IGI Finex Securities Limited	Restriction + Censure	24-Dec-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
274	MND Investment (Private) Limited	Censure	24-Dec-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
275	Bawany Securities (Private) Limited	Direct	24-Dec-21	Non-Compliance of CDC Regulations	7.1.1
276	B & B Securities (Private) Limited	Direct	24-Dec-21	Non-Compliance of CDC Regulations	7.1.1
277	Brains Securities (Private) Limited	Censure	24-Dec-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
278	Q. Ain Khanani Securities (Private) Limited	Censure	22-Dec-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
279	Asda Securities (Private) Limited	Restriction + Censure	22-Dec-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
280	First Equity Modaraba	Direct	17-Dec-21	Non-Compliance of CDC Regulations	7.1.1
281	Shaffi Securities (Pvt.) Limited -MF	Removal of Restrictions	17-Dec-21	Consequent to Removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/418/21 dated December 17, 2021	15.6.2
282	Inveslink Capital (Private) Limited	Restricted	17-Dec-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Inveslink Capital (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
283	Khawaja Securities (Private) Limited	Restricted	17-Dec-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1483 dated December 17, 2021	15.2.1(a)
284	Shajar Capital Pakistan (Private) Limited -MF & MT	Restricted	16-Dec-21	Consequent to imposing the Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/415/21 dated December 15, 2021	15.2.1(a)
285	Equity Master Securities (Private) Limited	Censure	10-Dec-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
286	Bismillah Securities (Private) Limited	Restricted	9-Dec-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Bismillah Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
287	Saima Qaiser Securities (Pvt.) Limited	Restricted	9-Dec-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Saima Qaiser Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
288	Arif Habib 1857 (Private) Limited	Restricted	3-Dec-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Arif Habib 1857 (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
289	Z.A. Ghaffar Securities (Private) Limited	Restricted	3-Dec-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Z.A. Ghaffar Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
290	Muhammad Salim Kasmani Securities (Private) Limited	Restricted	26-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Muhammad Salim Kasmani Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
291	JSK Securities Limited	Removal of Restrictions	25-Nov-21	Consequent to restoration trading terminals by PSX vide notice no.PSX/N-1387 dated November 25, 2021	15.6.2
292	New Peak Securities (Private) Limited	Direct	25-Nov-21	Non-Compliance of CDC Regulations	7.1.1
293	128 Securities (Private) Limited	Censure	25-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
294	Horizon Securities Limited	Censure	24-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
295	Float Securities (Private) Limited	Restricted	19-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Float Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
296	BMA Capital Management Limited	Censure	19-Nov-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
297	Icon Capital Management (Private) Limited	Terminated	17-Nov-21	Voluntary Termination	15.10.1
298	Shaffi Securities (Pvt.) Limited -MF	Restricted	16-Nov-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/381/21 dated November 16, 2021	15.2.1(a)
299	Friendly Securities (Private) Limited -MF	Removal of Restrictions	16-Nov-21	Consequent to Removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/382/21 dated November 16, 2021	15.6.2
300	JSK Securities Limited	Restricted	16-Nov-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1347 dated November 16, 2021	15.2.1(a)
301	Integrated Equities Limited	Direct	15-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
302	Margalla Financial (Pvt.) Limited	Restricted	12-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Margalla Financial (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
303	Bridge Securities (Pvt.) Limited	Restricted	12-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Bridge Securities (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
304	MSD Capital Equities (Private) Limited	Removal of Restrictions	11-Nov-21	Consequent to restoration trading terminals by PSX vide notice no.PSX/N-1332 dated November 11, 2021	15.6.2
305	MSD Capital Equities (Private) Limited	Restricted	9-Nov-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1325 dated November 09, 2021	15.2.1(a)
306	Intermarket Securities Limited	Censure	9-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
307	Saya Securities (Pvt) Ltd.	Restricted	5-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Saya Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
308	ASA Stocks (Private) Limited	Restricted	5-Nov-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by ASA Stocks (Pvt.) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
309	Value Stock & Commodities (Pvt.) Limited	Censure	2-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
310	Progressive Securities (Private) Limited	Censure	2-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
311	N.U.A Securities (Pvt.) Limited	Censure	1-Nov-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
312	Moneyline Securities (Pvt.) Limited	Direct	29-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
313	RAH Securities (Pvt.) Limited	Censure	29-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
314	Strongman Securities (Private) Limited	Censure	26-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
315	Foundation Securities (Private) Limited	Censure	22-Oct-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
316	Ghani Osman Securities (Private) Limited	Direct	22-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
317	Moonaco Securities (Private) Limited	Censure	22-Oct-21	Non-Compliance of CDC Regulations	7.1.1
318	AKY Securities (Private) Limited	Direct	22-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
319	Millennium Brokerage (Private) Limited	Censure	22-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
320	We Financial Services Limited -MF	Restricted	20-Oct-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/363/21 dated October 18, 2021	15.2.1(a)
321	Friendly Securities (Private) Limited -MF	Restricted	20-Oct-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/364/21 dated October 18, 2021	15.2.1(a)
322	Moneyline Securities (Pvt.) Limited -MF	Restricted	20-Oct-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/365/21 dated October 18, 2021	15.2.1(a)
323	Escorts Capital Limited	Terminated	14-Oct-21	Voluntary Termination	15.10.1
324	Azee Securities (Private) Limited	Removal of Restrictions	13-Oct-21	Consequent to restoration trading terminals by PSX vide notice no. PSX/N-1219 dated October 13, 2021	15.6.2
325	Tannu Securities (Private) Limited	Censure	12-Oct-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
326	Salim Sozer Securities (Pvt.) Limited	Restricted	8-Oct-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Salim Sozer Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
327	Azee Securities (Private) Limited	Restricted	7-Oct-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1190 dated October 07, 2021	15.2.1(a)
328	Falki Capital (Private) Limited	Restricted	17-Sep-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Falki Capital (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
329	We Financial Services Limited -MF	Removal of Restrictions	17-Sep-21	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/352/21 dated September 17, 2021	15.6.2
330	Royal Securities (Pvt.) Limited -MF	Restricted	13-Sep-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/347/21 dated September 10, 2021	15.2.1(a)
331	HP Securities (Private) Limited	Restricted	10-Sep-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by HP Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
332	Ahsam Securities (Pvt.) Limited	Restricted	10-Sep-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by Ahsam Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
333	Pearl Securities Limited	Censure	8-Sep-21	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.7.2. & 7.1.1
334	Askari Securities Limited	Censure	8-Sep-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
335	Azee Securities (Private) Limited	Penalty + Restriction	8-Sep-21	Non-Compliance of CDC Regulations	2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b), 6.2A.1, & 8.2.1
336	Royal Securities (Pvt.) Limited	Removal of Suspension	8-Sep-21	Pursuant to Court Order dated August 25, 2021 of Honorable High Court of Sind and consequent to restoration of the trading terminals by PSX vide notice no. PSX/N-1080 dated September 08, 2021.	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
337	Arif Habib Limited	Restriction + Censure	7-Sep-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.7.2
338	Aba Ali Habib Securities (Private) Limited	Direct	7-Sep-21	Non-Compliance of CDC Regulations	6.2.A1, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
339	Seven Star Securities (Pvt.) Limited	Censure	6-Sep-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
340	Sherman Securities (Pvt.) Limited	Censure	6-Sep-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
341	MRA Securities Limited	Censure	1-Sep-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
342	Standard Capital Securities (Pvt.) Limited	Censure	1-Sep-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
343	Trust Securities & Brokerage Limited	Censure	1-Sep-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
344	Mayari Securities (Pvt) Limited	Censure	31-Aug-21	Non-Compliance of CDC Regulations	6.2A.1 & 7.1.1
345	R.T. Securities (Pvt) Limited	Censure	26-Aug-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
346	Growth Securities (Private) Limited	Censure	20-Aug-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
347	EFG Hermes Pakistan Limited	Censure	20-Aug-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
348	Next Capital Limited	Direct	20-Aug-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
349	Bawa Securities (Private) Limited	Direct	16-Aug-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
350	Apex Capital Securities (Private) Limited	Censure	16-Aug-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
351	INA Securities (Private) Limited	Restricted	6-Aug-21	Consequent to appointment of EClear Services Limited as Professional Clearing Member by INA Securities (Private) Limited for custody and settlement of its client accounts as well as their proprietary account.	15.2.1(a)
352	Alfa Adhi Securities (Private) Limited	Censure	27-Jul-21	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.4, 6.2.5, 6.2.5A, 7.1.1, 6.7.2 and 6.2A.1
353	Vector Securities (PVT) Limited	Direct	27-Jul-21	Non-Compliance of CDC Regulations	7.1.1
354	Y.H. Securities (Pvt.) Limited	Direct	27-Jul-21	Non-Compliance of CDC Regulations	7.1.1
355	Fawad Yusuf Securities (Private) Limited	Direct	27-Jul-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 7.1.1, 6.7.2 and 6.2A.1
356	Axis Global Limited	Direct	27-Jul-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
357	We Financial Services Limited	Censure	27-Jul-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
358	Merchant Investments (Pvt.) Limited	Direct	26-Jul-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
359	Time Securities (PVT.) Limited	Censure	26-Jul-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
360	Adam Securities Limited	Censure	23-Jul-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
361	Pearl Securities Limited	Censure	12-Jul-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
362	Din Capital Limited	Terminated	25-Jun-21	Voluntary Termination	15.10.1
363	Q. Ain Khanani Securities (Private) Limited	Removal of Restrictions	17-Jun-21	Consequent to restoration trading terminals by PSX vide notice no.PSX/N-742 dated June 17, 2021	15.6.2
364	Q. Ain Khanani Securities (Private) Limited	Restricted	16-Jun-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-724 dated June 16, 2021	15.2.1(a)
365	First National Equities Limited	Censure	15-Jun-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
366	Fairtrade Capital Securities (Pvt.) Limited	Censure	11-Jun-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
367	Zafar Securities (Private) Limited	Restriction + Censure	11-Jun-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 7.1.1 & 8.2.1
368	A. H. M. Securities (Private) Limited	Censure	8-Jun-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
369	Muhammad Amer Riaz Securities (Private) Limited	Censure	8-Jun-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
370	HMC Stocks (Private) Limited	Censure	8-Jun-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
371	Moneyline Securities (Pvt) Ltd	Censure	29-May-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
372	Friendly Securities (Private) Limited	Censure	27-May-21	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
373	128 Securities (Private) Limited	Censure	27-May-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
374	Saya Securities (Pvt) Ltd.	Direct	27-May-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
375	Irfan Mazhar Securities (Pvt) Ltd.	Censure	27-May-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
376	Azee Securities (Private) Limited	Removal of Suspension	25-May-21	consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/215/21 dated May 25, 2021	15.6.2
377	Azee Securities (Private) Limited	Suspended	25-May-21	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/214/21 dated May 25, 2021	15.2.1(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
378	ACM Global (Pvt.) Limited	Censure	24-May-21	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
379	Infinite Securities Limited	Restricted	18-May-21	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-608 dated May 18, 2021	15.2.1(a)
380	Iqbal Usman Kodvavi Securities (Pvt) Ltd	Censure	6-May-21	Non-Compliance of CDC Regulations	7.1.1
381	Bank Al Habib Limited	Censure	6-May-21	Censure for assuring compliance of CDC Regulations in every respect	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
382	KP Securities (Private) Limited	Notice in respect of Participant	5-May-21	Participant has complied with the Regulation 6.8.2 CDC Regulations	15.6.2
383	Ayub Chaudhry Investments (Private) Limited	Restriction + Censure	23-Apr-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
384	AL Habib Capital Markets (Pvt.) Limited	Censure	23-Apr-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
385	Yasir Mahmood Securities (Pvt.) Limited	Direct	19-Apr-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
386	Muhammad Tariq Moti Securities (Pvt.) Limited	Censure	16-Apr-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
387	We Financial Services Limited - MF	Restricted	16-Apr-21	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/187/21 dated April 16, 2021	15.2.1(a)
388	Backers & Partners (Pvt.) Limited	Censure	14-Apr-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
389	Yasir Mahmood Securities (Pvt.) Limited	Direct	14-Apr-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
390	Dawood Equities Ltd	Restriction + Censure	13-Apr-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
391	Infinite Securities Limited	Removal of Suspension	9-Apr-21	Consequent to lift the suspension of license of the Participant as Securities Broker by SECP vide order dated April 09, 2021 and restoring the trading terminals by PSX as notified vide notice no. PSX /N- 477 dated April 09, 2021	15.6.2
392	Rafi Securities (Pvt.) Limited	Censure	9-Apr-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
393	M. J. Memon Securities (Private) Limited	Terminated	8-Apr-21	Voluntary Termination	15.10.1
394	SAZ CAPITAL SECURITIES (PVT) LTD.	Censure	8-Apr-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
395	Multiline Securities Limited	Censure	7-Apr-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
396	TS SECURITIES (PVT) LTD.	Censure	6-Apr-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
397	Aziz Dawood Securities (Private) Limited	Terminated	5-Apr-21	Voluntary Termination	15.10.1
398	ShajarPak Securities (Private) Limited	Censure	31-Mar-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
399	Amer Securities (Private) Limited	Censure	31-Mar-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
400	Abbasi Securities (Pvt.) Limited	Suspended	30-Mar-21	Due to non-Compliance of 6.8.2 of CDC regulations after completing 60 business days of restrictions	15.3.7
401	Din Capital Limited	Suspended	30-Mar-21	Due to non-Compliance of 6.8.2 of CDC regulations after completing 60 business days of restrictions	15.3.7
402	First Capital Equities Limited	Suspended	30-Mar-21	Due to non-Compliance of 6.8.2 of CDC regulations after completing 60 business days of restrictions	15.3.7
403	IAK Securities (Private) Limited	Suspended	30-Mar-21	Due to non-Compliance of 6.8.2 of CDC regulations after completing 60 business days of restrictions	15.3.7
404	MsManiar Financials (Pvt.) Limited	Restriction + Censure	29-Mar-21	Non-Compliance of CDC Regulations	6.2.2, 6.7.2 & 7.1.1
405	CMA Securities (Private) Limited	Notice in respect of Participant	26-Mar-21	Participant has complied with the Regulation 6.8.2 CDC Regulations	15.6.2
406	Insight Securities (Pvt) Limited	Censure	26-Mar-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
407	FDM Capital Securities (Private) Limited	Censure	24-Mar-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2A.1, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
408	Baba Equities (Pvt.) Limited	Removal of Restrictions	19-Mar-21	Consequent to restoration trading terminals by PSX vide notice no. PSX/N-396 dated March 19, 2021	15.6.2
409	New Peak Securities (Pvt.) Limited	Removal of Restrictions	19-Mar-21	Consequent to removal of Restrictions by PSX vide notice no. PSX/N-391 dated March 19, 2021	15.6.2
410	Baba Equities (Pvt.) Limited	Notice in respect of Participant	19-Mar-21	Participant has complied with the Regulation 6.8.2 CDC Regulations	15.6.2
411	AWT Income Fund	Removal of suspension	17-Mar-21	Consequent to the removal of suspension of Account holder by NCCPL as notified vide notice no. NCCPL/CRO/129/21 dated March 17, 2021.	15.6.2
412	AWT Income Fund	Suspended	17-Mar-21	Consequent to the suspension of Account holder by NCCPL as notified vide notice no. NCCPL/CRO/128/21 dated March 17, 2021.	15.2.1(b)
413	Azee Securities (Private) Limited	Restriction + Censure	15-Mar-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1





Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
414	Bawany Securities (Private) Limited	Censure	12-Mar-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
415	Y.H. Securities (Pvt.) Limited	Direct	11-Mar-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
416	Muhammad Ashfaq Hussain Securities (Private) Limited	Censure	9-Mar-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
417	First Equity Modaraba	Direct	8-Mar-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
418	H.M. Idrees H. Adam (Pvt.) Limited	Direct	8-Mar-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
419	A. I. Securities (Private) Limited	Direct	8-Mar-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
420	Tannu Securities (Private) Limited	Direct	4-Mar-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
421	JSK Securities Limited	Removal of Restrictions	2-Mar-21	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-295 dated March 01, 2021	15.6.2
422	Dawood Equities Ltd	Restriction + Censure	24-Feb-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A,6.2.4, 6.2.5, 6.2.5A & 7.1.1
423	Market 786 (Private) Limited	Censure	24-Feb-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
424	Cedar Capital (Private) Limited	Censure	24-Feb-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
425	Khadim Ali Shah Bukhari Securities (Pvt) Ltd	Restriction + Censure	16-Feb-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
426	H.P. Byramji & Co. (Pvt.) Limited	Terminated	15-Feb-21	Voluntary Termination	15.10.1
427	Prime Securities (Private) Limited	Censure	9-Feb-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
428	We Financial Services Limited -MF	Removal of Restrictions	3-Feb-21	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/92/21 dated February 03, 2021	15.6.2
429	Venus Securities (Pvt.) Limited	Censure	2-Feb-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
430	ABBASI & COMPANY (PRIVATE) LIMITED	Censure	29-Jan-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.2A & 7.1.1
431	M. J. Memon Securities (Pvt.) Limited	Removal of Restrictions	28-Jan-21	Participant has complied with the Regulation 6.8.2	15.6.2
432	Zafar Moti Capital Securities (Private) Limited	Censure	26-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
433	Moonaco Securities (Private) Limited	Censure	26-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
434	Creative Capital Securities (Private) Limited	Censure	26-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
435	Royal Securities (Pvt.) Limited	Suspended	25-Jan-21	Consequent to the suspension of license of the Participant as Securities Broker by SECP vide order dated January 22,2021	15.2.1(b)
436	Alfalal Securities (Private) Limited	Censure	25-Jan-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
437	SUMMIT CAPITAL (PRIVATE) LIMITED	Censure	22-Jan-21	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
438	Apex Capital Securities (Private) Limited	Censure	22-Jan-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
439	Hamza Farhad Securities (Private) Limited	Censure	19-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
440	New Peak Securities (Private) Limited	Censure	19-Jan-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
441	Iqbal Usman Kodvavi Securities (Pvt) Ltd	Censure	18-Jan-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
442	GMI Capital Securities (Private) Limited	Censure	18-Jan-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
443	Equity Master Securities (Private) Limited	Censure	12-Jan-21	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
444	Mayari Securities (Pvt) Limited	Censure	12-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 6.2.6 (b)
445	Equity Master Securities (Private) Limited	Censure	11-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 6.2.6 (b)
446	Gazipura Securities & Services (Private) Limited	Censure	11-Jan-21	Non-Compliance of CDC Regulations	6.2.4,6.2.5,6.2.5A & 6.2.6 (b)
447	Horizon Securities Limited	Censure	11-Jan-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
448	Infinite Securities Limited	Suspended	11-Jan-21	Consequent to the suspension of license of the Participant as Securities Broker stands suspended in light of SECP vide order dated November 10,2020 and switched off the trading terminals by PSX as notified vide notice no. PSX /N- 27 dated January 11, 2021.	15.2.1(b)
449	JSK Securities Limited	Notice in respect of Participant	5-Jan-21	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
450	Lakhani Securities (PVT) Limited.	Direct	4-Jan-21	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4,6.2.5,6.2.5A and 6.2.6 (b)
451	M. J. Memon Securities (Pvt.) Limited	Restricted	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
452	Abbasi Securities (Pvt.) Limited	Restricted	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)





Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
453	JSK Securities Limited	Restricted	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
454	Din Capital Limited	Restricted	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
455	First Capital Equities Limited	Restricted	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
456	IAK Securities (Private) Limited	Restricted	1-Jan-21	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
457	INVESTMENT MANAGERS SECURITIES (PVT.) LIMITED	Restriction + Censure	31-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
458	RAFI SECURITIES (PRIVATE) LIMITED	Censure	30-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
459	First National Equities Limited	Censure	28-Dec-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5 & 6.2.5A
460	ROYAL SECURITIES (PVT) LIMITED	Censure	24-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
461	SPECTRUM SECURITIES LIMITED	Restriction + Censure	24-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
462	A. H. M. Securities (Private) Limited	Censure	24-Dec-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
463	Brains Securities (Private) Limited	Restriction + Censure	22-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
464	128 Securities (Private) Limited	Censure	22-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
465	Adeel & Nadeem Securities (Pvt.) Limited	Direct	22-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
466	RAHAT SECURITIES LIMITED	Direct	22-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
467	Amer Securities (Private) Limited - MF	Terminated	18-Dec-20	Voluntary Termination	15.10
468	MND INVESTMENT (PVT) LTD.	Direct	16-Dec-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
469	MEMON SECURITIES (PVT.) LIMITED	Censure	16-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
470	TARIQ VOHRA SECURITIES (PVT) LIMITED	Direct	16-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
471	ISMAIL IQBAL SECURITIES (PVT) LTD.	Censure	15-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.3, 6.2.2A and 6.2.6 (b)
472	Sakarwala Capital Securities (Pvt.) Limited	Direct	15-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
473	Nini Securities (Pvt.) Limited	Direct	15-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
474	Progressive Securities (Private) Limited	Direct	15-Dec-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
475	NETWORTH SECURITIES LIMITED	Direct	14-Dec-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
476	JAVED IQBAL SECURITIES (PVT) LTD.	Censure	14-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
477	SURMAWALA SECURITIES (PRIVATE) LIMITED	Censure	14-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.2A and 6.2.6 (b)
478	Aba Ali Habib Securities (Private) Limited	Direct	14-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
479	N.U.A SECURITIES (PRIVATE) LIMITED	Censure	7-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.3, 6.2.2A and 6.2.6 (b)
480	INSIGHT SECURITIES (PVT.) LIMITED	Censure	7-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
481	Fortune Securities Limited	Direct	30-Nov-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
482	Shaukat Shafi Securities (Private) Limited	Terminated	25-Nov-20	Voluntary Termination	15.10.1
483	BMA Capital Management Limited	Direct	23-Nov-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
484	Friendly Securities (Private) Limited	Censure	23-Nov-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 8.2.1(e)
485	Bawa Securities (Private) Limited	Direct	23-Nov-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
486	Akhai Securities (Private) Limited	Removal of Restrictions	12-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1274 dated November 12, 2020	15.6.2
487	Q. Ain Khanani Securities (Private) Limited	Removal of Restrictions	11-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1262 dated November 10, 2020	15.6.2
488	Akhai Securities (Private) Limited	Restricted	11-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1265 dated November 10, 2020	15.2.1(a)
489	Muhammad Ashfaq Hussain Securities (Private) Limited	Restricted	11-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1263 dated November 10, 2020	15.2.1(a)
490	Muhammad Ashfaq Hussain Securities (Private) Limited	Removal of Restrictions	11-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1268 dated November 11, 2020	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
491	Continental Capital Management (Private) Limited	Removal of Restrictions	4-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1240 dated November 04, 2020	15.6.2
492	Continental Capital Management (Private) Limited	Restricted	3-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1225 dated November 03, 2020	15.2.1(a)
493	Q. Ain Khanani Securities (Private) Limited	Restricted	3-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1226 dated November 03, 2020	15.2.1(a)
494	Amer Securities (Private) Limited - MF	Restricted	3-Nov-20	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/311/20 dated November 03, 2020	15.2.1(a)
495	We Financial Services Limited - MF	Restricted	3-Nov-20	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/312/20 dated November 03, 2020	15.2.1(a)
496	Fairway Securities (Private) Limited - MF & MT	Removal of Restrictions	3-Nov-20	Consequent to Removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/309/20 dated November 03, 2020	15.6.2
497	A. I. Securities (Private) Limited	Removal of Restrictions	2-Nov-20	Consequent to restoration of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1215 dated November 02, 2020	15.6.2
498	A. I. Securities (Private) Limited	Restricted	29-Oct-20	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-1207 dated October 29, 2020.	15.2.1(a)
499	Darson Securities (Private) Limited	Censure	28-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.2A
500	Next Capital Limited	Censure	28-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
501	A. S. Securities (Private) Limited	Restriction + Censure	27-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A
502	The Bank of Khyber	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2
503	Silkbank Limited	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
504	Summit Bank Limited	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2
505	Saudi Pak Industrial & Agricultural Investment Co. Limited	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2
506	IMRA Securities Limited	Restriction + Censure	21-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.2A
507	S.D. MIRZA SECURITIES (PVT) LTD.	Censure	19-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
508	MSD CAPITAL EQUITIES (PVT) LTD.	Restriction + Censure	14-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
509	SINDH BANK LIMITED	Final Report issued	14-Oct-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
510	National Bank of Pakistan	Final Report issued	14-Oct-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
511	IAK Securities (Pvt) Limited	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
512	Shajar Capital Pakistan (Private) Limited	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
513	Habib Ullah Sheikh (Private) Limited	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
514	Brains Securities (Private) Limited	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
515	KHADIM ALI SHAH BUKHARI SECURITIES (PRIVATE) LIMITED	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
516	Xpert Securities Limited	Removal of Restrictions	7-Oct-20	Consequent to removal of Restrictions by PSX to change the status as an active TRE Certificate holder vide notice no. PSX/N -1116 dated October 07, 2020	15.6.2
517	MSD Capital Equities (Private) Limited	Removal of Restrictions	5-Oct-20	Consequent to removal of Restrictions by PSX to change the status as an active TRE Certificate holder vide notice no. PSX/N -1099 dated October 02, 2020	15.6.2
518	Arch Capital Securities (Private) Limited	Terminated	28-Sep-20	Voluntary Termination	15.10.1
519	Reliance Securities Limited	Notice in respect of Participant	28-Sep-20	Consequent to removal of suspension of Reliance Securities Limited by Pakistan Stock Exchange Limited as notified by PSX vide notice no. PSX/N-1058 dated September 25, 2020. However, Trading terminal has not activated due to the brokerage license of Reliance Securities has been expired.	15.6.2 and 15.2.1(a)
520	R.T SECURITIES (PVT.) LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
521	PUNJAB CAPITAL SECURITIES (PVT) LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
522	Taurus Securities Limited	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
523	SPECTRUM SECURITIES LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
524	TAURUS SECURITIES LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
525	Horizon Securities Limited	Censure	23-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
526	INA SECURITIES (PVT) LTD	Censure	23-Sep-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
527	SPINZER EQUITIES (PRIVATE) LIMITED	Censure	23-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
528	KHAWAJA SECURITIES (PVT.) LIMITED	Censure	17-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
529	SALMAN MAJEED SECURITIES (PRIVATE) LIMITED	Censure	17-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
530	First Street Capital (Private) Limited	Censure	17-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
531	New Peak Securities (Private) Limited	Restrictions on opening of New Sub-Accounts	17-Sep-20	Consequent to restriction on opening of new clients' account by the Participant as notified by PSX vide notice no. PSX/N/1017 dated September 17, 2020	15.2.1(a)
532	SAAO CAPITAL (PVT) LIMITED	Restriction + Censure	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
533	Zafar Securities (Private) Limited	Censure	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
534	Dattoo Securities (Private) Limited	Censure	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
535	Muhammad Tariq Moti Securities (Pvt) Ltd.	Restriction + Censure	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
536	Dossanis Securities (Private) Limited	Censure	10-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
537	Pearl Securities Limited	Restriction + Censure	9-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, & 6.2.5A
538	Faysal Bank Limited	Final Report issued	9-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
539	Time Securities (Pvt.) Limited	Censure	9-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1
540	Asda Securities (Private) Limited	Removal of Restrictions	3-Sep-20	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/265/20 dated September 03, 2020	15.6.2
541	Trust Securities & Brokerage Limited	Censure	28-Aug-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
542	Rahat Securities Limited	Censure	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
543	Millennium Brokerage (Pvt.) Limited	Censure	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
544	We Financial Services Limited	Censure	28-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
545	PAKISTAN KUWAIT INVESTMENT COMPANY (PVT) LTD	Final Report Issued	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
546	SAMBA BANK LIMITED	Final Report Issued	28-Aug-20	Non-Compliance of CDC Regulations	6.2.2
547	SONERI BANK LIMITED	Final Report Issued	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
548	RAH Securities (Pvt.) Limited	Censure	27-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
549	KOSMOPOLITAN SECURITIES (PRIVATE) LIMITED	Censure	27-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
550	Zafar Moti Capital Securities (Private) Limited	Restriction + Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1
551	Friendly Securities (Private) Limited	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
552	ASIAN SECURITIES LIMITED	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
553	FIRST NATIONAL EQUITIES LIMITED	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
554	Eleven Stars Securities (Private) Limited	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
555	M. M. SECURITIES (PVT.) LIMITED	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
556	Fairtrade Capital Securities (Pvt.) Limited	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
557	Askari Securities Limited	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
558	EFG HERMES PAKISTAN LIMITED	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
559	Amer Securities (Private) Limited	Removal of Restrictions	19-Aug-20	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/248/20 dated August 18, 2020	15.6.2
560	Fair Edge Securities (Private) Limited	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
561	Growth Securities (Private) Limited	Restriction + Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
562	Integrated Equities Limited	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
563	B & B Securities (Private) Limited	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
564	Fairway Securities (Private) Limited	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
565	High Land Securities (Private) Limited	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
566	R.A. Securities (Private) Limited	Terminated	30-Jul-20	Voluntary Termination	15.10.1
567	Apex Capital Securities (Private) Limited	Restriction + Censure	24-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1
568	General Invest. & Securities (Pvt.) Limited	Censure	24-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
569	MGM Securities (Private) Limited	Censure	24-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
570	General Invest. & Securities (Pvt.) Limited	Censure	20-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
571	ABM Securities (Pvt.) Limited	Censure	16-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
572	Asda Securities (Private) Limited	Restriction + Censure	16-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
573	Asad Mustafa Securities (Private) Limited - MT & MF	Removal of Restrictions	16-Jul-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/224/20 dated July 16, 2020	15.6.2
574	Patel Securities (Private) Limited	Removal of Suspension	14-Jul-20	Consequent to the removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/222/20 dated July 14, 2020.	15.6.2
575	Patel Securities (Private) Limited	Suspended	14-Jul-20	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/221/20 dated July 14, 2020.	15.2.1(b)
576	MILLENNIUM BROKERAGE (PVT.) LIMITED	Censure	9-Jul-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
577	Mayari Securities (Pvt.) Limited	Censure	8-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
578	Fair Edge Securities (Private) Limited	Censure	6-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
579	Hamza Farhad Securities (Private) Limited	Censure	6-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
580	Pasha Securities (Pvt.) Limited	Censure	6-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
581	SAZ Capital Securities (Pvt.) Limited	Censure	1-Jul-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 8.2.1
582	General Invest. & Securities (Pvt.) Limited	Censure	29-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
583	Progressive Securities (Private) Limited	Censure	29-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
584	Backers & Partners (Pvt.) limited	Censure	26-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
585	PUNJAB CAPITAL SECURITIES (PVT) LIMITED	Censure	26-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
586	Fikree's (Private) Limited	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1
587	Value Stock And Commodities (Private) Limited	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
588	Hamza Farhad Securities (Private) Limited	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
589	High Land Securities (Private) Limited	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
590	JAVED IQBAL SECURITIES (PVT) LTD.	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
591	Gulrez Securities (Private) Limited	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
592	Bawa Securities (Private) Limited	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
593	DR. Arslan Razaque Securities (Pvt) Limited	Restriction + Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
594	MRA Securities Limited	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
595	Sethi Securities (Private) Limited	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2A.1
596	Zahid Latif Khan Securities (Pvt.) limited	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.5A
597	MONEYLINE SECURITIES (PRIVATE) LIMITED	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
598	Intermarket Securities Limited	Restriction + Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
599	Asad Mustafa Securities (Private) Limited - MT & MF	Restricted	16-Jun-20	consequent to imposing the Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/187/20 dated June 16, 2020	15.2.1(a)
600	Shajar Capital Pakistan (Private) Limited	Removal of Restrictions	16-Jun-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/188/20 dated June 16, 2020	15.6.2
601	Creative Capital Securities (Private) Limited	Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
602	Msmaniar Financial (Pvt.) Limited	Restriction + Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
603	Cedar Capital (Private) Limited	Restriction + Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
604	Msmaniar Financial (Pvt.) Limited	Restriction + Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
605	New Peak Securities (Pvt.) Limited	Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
606	ASA Stocks (Private) Limited	Restriction + Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
607	Askari Bank Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2
608	Bank Alfalah Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
609	Habib Bank Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
610	Al Baraka Bank (Pakistan) Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
611	BankIslami Pakistan Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
612	Concordia Securities (Private) Limited	Terminated	28-May-20	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
613	Vecttor Secrities (Private) Limited - MF	Removal of Restrictions	18-May-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/182/20 dated May 18, 2020	15.6.2
614	First Street Capital (Private) Limited - MF & MT	Removal of Restrictions	15-May-20	Consequent to Removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/181/20 dated May 15, 2020.	15.6.2
615	Progressive Investment Management (Pvt.) Ltd	Censure	14-May-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
616	Falki Capital (Private) Limited	Censure	14-May-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
617	Bridge Securities (Pvt.) Limited	Restriction + Censure	14-May-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
618	MCFSL-Trustee Allied Capital Protected Fund	Terminated	23-Apr-20	Voluntary Termination	15.10.1
619	Vecttor Secrities (Private) Limited - MF	Restricted	17-Apr-20	consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/163/20 dated April 17, 2020	15.2.1(a)
620	First Street Capital (Private) Limited - MF & MT	Restricted	17-Apr-20	consequent to imposing the Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/164/20 dated April 17, 2020	15.2.1(a)
621	Zillion Capital Securities (Private) Limited - MF	Restricted	17-Apr-20	consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/162/20 dated April 17, 2020	15.2.1(a)
622	Royal Securities (Pvt.) Ltd.	Censure	10-Apr-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
623	Next Capital Limited	Restriction + Censure	2-Apr-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
624	Axis Global Limited	Censure	2-Apr-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
625	HMC Stocks (Private) Limited	Censure	2-Apr-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
626	Khawaja Securities (Pvt.) Limited	Censure	2-Apr-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
627	Baba Equities (Pvt.) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of Restrictions.	15.3.7
628	KP Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
629	M. F. Stocks (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
630	Beaming Investment & Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
631	RUC Securities Private Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
632	Maha Securities (Pvt.) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
633	F.M. Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
634	CMA Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
635	A. S. Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
636	Reliance Securities Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
637	Akhai Securities (Private) Limited	Removal of Restrictions	24-Mar-20	Consequent to restoration of trading terminals of Participant by PSX vide notice noPSX/N-407 dated March 24, 2020 .	15.6.2
638	Amer Securities (Private) Limited - MF	Restricted	17-Mar-20	Consequent to imposing the Restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/130/20 dated March 17, 2020.	15.2.1(a)
639	Akhai Securities (Private) Limited	Restricted	17-Mar-20	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-353 dated March 17, 2020 .	15.2.1(a)
640	JSK Securities Limited	Restricted	17-Mar-20	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-353 dated March 17, 2020 .	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
641	Asda Securities (Private) Limited - MF	Restricted	17-Mar-20	Consequent to imposing the Restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/127/20 dated March 17, 2020.	15.2.1(a)
642	Zillion Capital Securities (Private) Limited - MF	Removal of Restrictions	16-Mar-20	Consequent to Removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/124/20 dated March 13, 2020.	15.6.2
643	Amer Securities (Private) Limited - MF	Removal of Restrictions	13-Mar-20	Consequent to Removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/122/20 dated March 13, 2020.	15.6.2
644	BIPL Securities Limited	Restriction + Censure	3-Mar-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
645	First Capital Equities Limited	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
646	Din Capital Limited	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
647	Concordia Securities (Private) Limited	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
648	IAK Securities (Private) Limited	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
649	Abbasi Securities (Pvt.) Limited - MT and MF	Restricted	20-Feb-20	Consequent to imposing the restriction by NCCPL as an MF Account Holder and MT Account Holder vide notice no. NCCPL/CRO/103/20 dated February 19, 2020.	15.2.1(a)
650	Fairway Securities (Private) Limited - MF & MT	Restricted	20-Feb-20	Consequent to imposing the restriction by NCCPL as an MF Account Holder and MT Account Holder vide notice no. NCCPL/CRO/102/20 dated February 19, 2020.	15.2.1(a)
651	Shajar Capital Pakistan (Private) Limited - MT and MF	Restricted	20-Feb-20	Consequent to imposing the restriction by NCCPL as an MF Account Holder and MT Account Holder vide notice no. NCCPL/CRO/104/20 dated February 19, 2020.	15.2.1(a)
652	Reliance Securities Limited	Suspended	14-Feb-20	Consequent to suspension of TRE Certificate of Participant by PSX vide notice no. PSX/N-201 dated February 14, 2020.	15.2.1(b)
653	BankIslami Pakistan Limited	Terminated	14-Feb-20	Voluntary Termination	15.10.1
654	Azee Securities (Private) Limited	Removal of Suspension	10-Feb-20	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/90/20 dated February 10, 2020	15.6.2
655	Azee Securities (Private) Limited	Suspended	10-Feb-20	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/89/20 dated February 10, 2020.	15.2.1(b)
656	Xpert Securities Limited	Notice in respect of Participant	7-Feb-20	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
657	AMCAP Securities (Private) Limited	Terminated	31-Jan-20	Consequent to the forfeiture of TRE Certificate of the Participant by PSX vide notice no. PSX/N-137 dated January 31, 2020.	15.3.7
658	Luxor Securities (SMC-Private) Limited	Terminated	30-Jan-20	Voluntary Termination	15.10.1
659	Foundation Securities (Private) Limited	Restriction + Censure	27-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
660	Foundation Securities (Private) Limited	Restriction + Censure	27-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
661	MCFSL-Trustee Askari Islamic Asset Allocation Fund	Terminated	21-Jan-20	Voluntary Termination	15.10.1
662	K & I Global Capital (Pvt.) Limited	Censure	14-Jan-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
663	Amer Securities (Private) Limited	Censure	14-Jan-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
664	Ayub Chaudhry Investments (Private) Limited	Restriction + Censure	13-Jan-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
665	Habib Metropolitan Financial Services Limited	Censure	10-Jan-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
666	Shajar Capital Pakistan (Private) Limited	Restriction + Censure	10-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
667	Q. Ain Khanani Securities (Private) Limited	Restriction + Censure	9-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
668	Oriental Securities (Pvt.) Limited	Censure	7-Jan-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
669	Surmawala Securities (Private) Limited	Censure	7-Jan-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
670	Baba Equities (Pvt.) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
671	KP Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)





Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
672	M. F. Stocks (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
673	Xpert Securities Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
674	Beaming Investment & Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
675	Reliance Securities Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
676	RUC Securities Private Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
677	Maha Securities (Pvt.) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
678	F.M. Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
679	CMA Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
680	A. S. Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
681	Chenab Stock Services (Private) Limited	Terminated	31-Dec-19	Voluntary Termintaion	15.10.1
682	Asda Securities (Private) Limited - MF	Removal of Restrictions	20-Dec-19	Consequent to Removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/209/19 dated December 19, 2019.	15.6.2
683	Abid Ali Habib Securities (Private) Limited	Terminated	11-Dec-19	Voluntary Termintaion	15.10.1
684	JS Global Capital Limited	Censure	10-Dec-19	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
685	Bhayani Securities (Private) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
686	Akhai Securities (Private) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
687	Muhammad Slaim Kasmani Securities (Pvt.) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
688	Growth Securities (Private) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
689	Fawad Yusuf Securities (Private) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
690	Value Stock & Commodities (Pvt.) limited	Restriction + Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
691	Ismail Iqbal Securities (Pvt.) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
692	S.D. Mirza Securities (Pvt.) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
693	Alfa Adhi Securities (Private) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
694	Abbasi Securities (Pvt.) Limited	Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
695	Jamshaid & Hasan Securities (Private) Limited	Terminated	27-Nov-19	Voluntary Termintaion	15.10.1
696	AL Habib Capital Markets (Pvt.) Limited	Censure	25-Nov-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) & 6.2.2A
697	H.P. Byramji & Co. (Pvt.) Limited	Censure	25-Nov-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
698	High Land Securities (Private) Limited	Censure	25-Nov-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
699	Yasir Mahmood Securities (Pvt.) Limited	Censure	25-Nov-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
700	Techno Fundamental Securities (Private) Limited	Terminated	21-Nov-19	Voluntary Termintaion	15.10.1
701	Schon Capital Markets Limited	Terminated	18-Nov-19	Voluntary Termintaion	15.10.1
702	Xpert Securities Limited	Restricted	18-Nov-19	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-1469 dated November 18, 2019 .	15.2.1(a)
703	MSD Capital Equities (Private) Limited	Restricted	18-Nov-19	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-1480 dated November 18, 2019 .	15.2.1(a)
704	Share Centre (Private) Limited	Terminated	7-Nov-19	Voluntary Termintaion	15.10.1
705	M. Munir M. Ahmed Khanani Securities (Pvt.) Limited	Imposition of Penalty	5-Nov-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.7.3(a)





Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
706	BMA Capital Management Limited	Restriction + Censure	31-Oct-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
707	Azee Securities (Private) Limited	Suspended	22-Oct-19	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/187/19 dated October 22, 2019.	15.2.1(b)
708	Azee Securities (Private) Limited	Removal of Suspension	22-Oct-19	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/188/19 dated October 22, 2019	15.6.2
709	BankIslami Pakistan Limited	Terminated	16-Oct-19	Voluntary Termintaion	15.10.1
710	Market 786 (Private) Limited	Restriction + Censure	14-Oct-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
711	Al-Hoqani Securities & Investment Corporation (Pvt.) Ltd	Terminated	10-Oct-19	Voluntary Termintaion	15.10.1
712	Pervez Ahmed Capital (Pvt.) Limited	Restricted	7-Oct-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1249 dated October 07, 2019 .	15.2.1(a)
713	AAA Securities (Private) Limited	Censure	7-Oct-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
714	Equity Master Securities (Private) Limited	Censure	1-Oct-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
715	Hamza Farhad Securities (Private) Limited	Removal of Restrictions	27-Sep-19	Consequent to restoration of trading terminals of Participant by PSX vide notice no. PSX/N-1201 dated September 27, 2019.	15.6.2
716	South Asian Securities (Private) Limited	Terminated	26-Sep-19	Voluntary Termintaion	15.10.1
717	Dawood Equities Ltd	Restriction + Censure	23-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1 (e)
718	Hamza Farhad Securities (Private) Limited	Restricted	19-Sep-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1162 dated September 19, 2019.	15.2.1(a)
719	Asda Securities (Private) Limited - MF	Restricted	17-Sep-19	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/127/19 dated September 17, 2019.	15.2.1(a)
720	Progressive Securities (Private) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
721	Rahat Securities Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
722	Adeel & Nadeem Securities (Pvt.) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
723	MND Investment (Pvt.) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
724	Insight Securities (Pvt.) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
725	Salman Majeed Securities (Private) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
726	Dattoo Securities (Private) Limited	Restriction + Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 8.2.1(e), 8.6.1(e), 8.2.2, 8.2.3 and 6.2A.1
727	Gul Dhami Securities (Private) Limited	Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
728	We Financial Services Limited	Removal of Suspension	16-Sep-19	Consequent to lift up the suspension of license of Participant by SECP vide Order dated September 16, 2019 as Securities Broker.	15.6.2
729	Zillion Capital Securities (Private) Limited - MF	Restricted	16-Sep-19	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/122/19 dated September 13, 2019.	15.2.1(a)
730	Amer Securities (Private) Limited - MF	Restricted	16-Sep-19	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/123/19 dated September 16, 2019.	15.2.1(a)
731	Baba Equities (Pvt.) Limited	Restricted	16-Sep-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1132 dated September 16, 2019 .	15.2.1(a)
732	We Financial Services Limited	Suspended	6-Sep-19	Consequent to suspension of the license of Participant by SECP vide order dated September 06, 2019 as Securities Broker.	15.2.1(b)
733	Msmaniar Financial (Pvt.) Limited	Censure	5-Sep-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 and 6.2.5A
734	FDM Capital Securities (Private) Limited	Restriction + Censure	5-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
735	Summit Capital (Pvt.) Limited	Restriction + Censure	5-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
736	Tariq Sayeed Securities (Pvt) Limited	Terminated	4-Sep-19	Voluntary Termintaion	15.10.1
737	Ashfaq Ashraf Securities (Private) Limited	Terminated	2-Sep-19	Voluntary Termintaion	15.10.1
738	Nayyar Sheikh Securities (Pvt.) Limited	Terminated	30-Aug-19	Voluntary Termintaion	15.10.1
739	Haji Abdul Sattar Securities (Pvt.) Limited	Terminated	30-Aug-19	Voluntary Termintaion	15.10.1
740	M H Securities (Private) Limited	Terminated	27-Aug-19	Voluntary Termintaion	15.10.1
741	R.F.J. Equity (Private) Limited	Terminated	21-Aug-19	Voluntary Termintaion	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
742	Zahid Latif Khan Securities (Pvt.) Limited	Censure	8-Aug-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
743	Memon Securities (Pvt.) Limited	Censure	8-Aug-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
744	Rafi Securities (Pvt.) Ltd	Censure	8-Aug-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
745	Multiline Securities (Pvt) Limited	Censure	31-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
746	Maan Securities (Private) Limited	Censure	26-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
747	Shajarpak Securities (Pvt) Limited	Censure	26-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
748	Nayyar Sheikh Securities (Pvt) Ltd.	Censure	26-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
749	Khawaja Securities (Pvt.) Limited	Censure	25-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
750	IAK Securities (Private) Limited	Removal of Restrictions	18-Jul-19	Consequent to restoration of trading terminals of Participant by PSX, as notified by PSX vide notice no. PSX/N-876 dated July 17, 2019.	15.6.2
751	IAK Securities (Private) Limited	Restricted	16-Jul-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-872 dated July 16, 2019.	15.2.1(a)
752	Topline Securities Limited	Censure	15-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
753	Aba Ali Habib Securities (Private) Limited	Censure	15-Jul-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 and 6.2.5A
754	Azee Securities (Private) Limited	Removal of Suspension	15-Jul-19	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/104/19 dated July 15, 2019.	15.6.2
755	KP Securities (Private) Limited	Restricted	15-Jul-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-867 dated July 15, 2019.	15.2.1(a)
756	Azee Securities (Private) Limited	Suspended	15-Jul-19	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/103/19 dated July 15, 2019.	15.2.1(b)
757	Alfalah Securities (Private) Limited	Restriction + Censure	9-Jul-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
758	Taurus Securities Limited	Restriction + Censure	9-Jul-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
759	Reliance Securities Limited	Removal of Restrictions	28-Jun-19	Consequent to restoration of trading terminals of Participant by PSX, as notified by PSX vide notice no. PSX/N-803 dated June 28, 2019.	15.6.2
760	Dawood Equities Ltd	Suspended	26-Jun-19	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/92/19 dated June 26, 2019.	15.2.1(b)
761	Dawood Equities Ltd	Removal of Suspension	26-Jun-19	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/93/19 dated June 26, 2019.	15.6.2
762	CMA Securities (Private) Limited	Notice in respect of Participant	21-Jun-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
763	Reliance Securities Limited	Restricted	18-Jun-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-745 dated June 18, 2019.	15.2.1(a)
764	Diyanah Islamic Financial Services (Private) Limited	Terminated	11-Jun-19	Voluntary Termination	15.10.1
765	Standard Capital Securities (Pvt.) Limited	Restriction + Censure	31-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 and 6.2.5A
766	Din Capital Limited	Censure	31-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
767	Azee Securities (Private) Limited	Restriction + Censure	30-May-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 and 6.2.5A
768	Nini Securities (Pvt.) Limited	Censure	30-May-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.5A
769	R.T. Securities (Pvt.) Limited	Restriction + Censure	30-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
770	Khadim Ali Shah Bukhari Securities (Pvt.) Limited	Restriction + Censure	28-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
771	A. H. M. Securities (Private) Limited	Restriction + Censure	28-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
772	Omni Capital Management (Private) Limited	Terminated	23-May-19	Voluntary Termination	15.10.1
773	First Capital Equities Limited	Removal of Restrictions	21-May-19	Consequent to restoration of trading terminals of Participant by PSX, as notified by PSX vide notice no. PSX/N-638 dated May 21, 2019.	15.6.2
774	First Capital Equities Limited	Restricted	16-May-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-622 dated May 16, 2019.	15.2.1(a)
775	Azee Securities (Private) Limited	Suspended	14-May-19	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/68/19 dated May 14, 2019.	15.2.1(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
776	Azee Securities (Private) Limited	Removal of Suspension	14-May-19	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/69/19 dated May 14, 2019.	15.6.2
777	KSR Stock Brokerage (Pvt) Limited	Terminated	13-May-19	Voluntary Termination	15.10.1
778	Azee Securities (Private) Limited	Suspended	9-May-19	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/66/19 dated May 09, 2019.	15.2.1(b)
779	Azee Securities (Private) Limited	Removal of Suspension	9-May-19	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/67/19 dated May 09, 2019.	15.6.2
780	Spectrum Securities Limited	Restriction + Censure	9-May-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
781	Beaming Investment & Securities (Private) Limited	Notice in respect of Participant	7-May-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
782	SAL Securities (Pvt) Limited	Terminated	2-May-19	Voluntary Termination	15.10.1
783	Intermarket Securities Limited	Restriction + Censure	30-Apr-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
784	Royal Securities (Pvt.) Limited	Censure	29-Apr-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
785	EFG Hermes Pakistan Limited	Restriction + Censure	29-Apr-19	Non-Compliance of CDC Regulations	6.2.2 & 6.2.2A
786	Cassim Investment (Private) Limited	Terminated	19-Apr-19	Voluntary Termination	15.10.1
787	CMA Securities (Private) Limited	Suspended	9-Apr-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
788	Beaming Investment & Securities (Private) Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
789	First Fidelity Leasing Modaraba	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
790	Millennium Securities & Investments (Private) Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
791	Diyanah Islamic Financial Services (Private) Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
792	SMAC Investments (Private) Ltd.	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
793	First Pakistan Securities Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business day of restrictions.	15.3.7
794	Multiline Securities (Pvt.) Limited	Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
795	Seven Star Securities (Pvt.) Limited	Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, & 6.2.5A
796	Vector Securities (Pvt.) Limited	Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
797	Muhammad Ashfaq Hussain Securities (Private) Limited	Restriction + Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
798	Prime Securities (Pvt.) Limited	Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2A.1, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
799	Saao Capital (Pvt.) Limited	Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
800	IAK Securities (Private) Limited	Removal of Restrictions	22-Mar-19	Consequent to restoration of trading terminals of Participant by PSX with effect from Monday, March 25, 2019, as notified by PSX vide notice no. PSX/N-337 dated March 22, 2019.	15.6.2
801	Pine Securities (Private) Limited	Terminated	22-Mar-19	Voluntary Termination	15.10.1
802	RUC Securities (Pvt) Limited	Restricted	18-Mar-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-293 dated March 15, 2019.	15.2.1(a)
803	IAK Securities (Private) Limited	Restricted	18-Mar-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-293 dated March 15, 2019.	15.2.1(a)
804	M.F Stocks (Pvt) Limited	Restricted	18-Mar-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-293 dated March 15, 2019.	15.2.1(a)
805	Best Securities Pvt Ltd	Censure	28-Feb-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, and 6.2.2A
806	Reliance Securities Limited	Censure	28-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
807	Khanani Securities (Pvt.) Limited	Censure	27-Feb-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
808	N.U.A Securities (Pvt.) Limited	Censure	27-Feb-19	Non-Compliance of CDC Regulations	6.2.2A & 6.2.3
809	Fikree's (Private) Limited	Censure	27-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
810	Insight Securities (Pvt.) Limited	Censure	27-Feb-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
811	Maha Securities (Pvt.) Limited	Notice in respect of Participant	22-Feb-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
812	Maha Securities (Pvt.) Limited	Notice in respect of Participant	22-Feb-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
813	AMCAP Securities (Private) Limited	Restriction + Censure	22-Feb-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
814	Habib Metropolitan Financial Services Limited	Restriction + Censure	22-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 8.2.1(e)
815	AMCAP Securities (Private) Limited	Suspended	22-Feb-19	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/31/19 dated February 21, 2019.	15.2.1(b)
816	Maha Securities (Pvt.) Limited	Notice in respect of Participant	22-Feb-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
817	Invest Capital Markets Limited	Terminated	21-Feb-19	Consequent to the forfeiture of TRE Certificate of the Participant by PSX vide notice no. PSX/N-207 dated February 21, 2019.	15.3.7
818	128 Securities (Private) Limited	Removal of Restriction for opening of New Sub-Accounts	18-Feb-19	Consequent to removal of restriction for the opening of new clients' accounts by the PSX as notified by PSX vide notice no. PSX/N-194 dated February 18, 2019.	15.6.2
819	South Asian Securities (Private) Limited	Restricted	18-Feb-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-193 dated February 18, 2019.	15.2.1(a)
820	F.M. Securities (Private) Limited	Restriction + Censure	15-Feb-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
821	Growth Securities (Private) Limited	Restriction + Censure	13-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 8.2.1(e)
822	JSK Securities Limited	Censure	13-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 and 6.2.5A
823	Millenium Brokerage (Pvt.) Limited	Censure	13-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.2A.1
824	Pearl Brokerage (Private) Limited	Terminated	31-Jan-19	Voluntary Termination	15.10.1
825	Dalal Securities (Private) Limited	Restriction + Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1 (e)
826	Galaxy Capital Securities (Private) Limited	Restriction + Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
827	Fairway Securities (Private) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
828	Shajar Capital Pakistan (Private) Limited	Restriction + Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
829	Fawad Yusuf Securities (Private) Limited	Restriction + Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
830	ASA Stocks (Private) Limited	Restriction + Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
831	Foundation Securities (Private) Limited	Restriction + Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
832	N.U.A Securities (Private) Limited	Restriction + Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
833	Muhammad Salim Kasmani Securities (Pvt.) Ltd.	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
834	Abbasi & Company (Private) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
835	HH Misbah Securities (Private) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
836	ABM Securities (Pvt.) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
837	Saima Qaiser Securities (Pvt.) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2A.1
838	Javed Iqbal Securities (Pvt) Ltd.	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
839	Chenab Stock Services (Private) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
840	Alfa Adhi Securities (Private) Limited	Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
841	128 Securities (Private) Limited	Restriction + Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
842	HMC Stocks (Private) Limited	Removal of Restrictions	23-Jan-19	Consequent to restoration of trading terminals of Participant by PSX with immediate effect as notified by PSX vide notice no. PSX/N-75 dated January 23, 2019.	15.6.2
843	Arif Habib Limited	Restriction + Censure	22-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, & 6.2.6(b)
844	K.H.S. Securities (Pvt.) Limited	Removal of Restrictions	21-Jan-19	Consequent to restoration of trading terminals of Participant by PSX with immediate effect as notified by PSX vide notice no. PSX/N-64 dated January 21, 2019.	15.6.2
845	Fair Deal Securities (Private) Limited	Terminated	16-Jan-19	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
846	HMC Stocks (Private) Limited	Restricted	16-Jan-19	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-44 dated January 16, 2019.	15.2.1(a)
847	K.H.S. Securities (Pvt.) Limited	Restricted	16-Jan-19	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-44 dated January 16, 2019.	15.2.1(a)
848	CMA Securities (Private) Limited	Restricted	15-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
849	KSR Stock Brokerage (Pvt) Ltd.	Removal of Restrictions	15-Jan-19	Participant has complied with the Regulation 6.8.2	15.6.2
850	Fair Deal Securities (Private) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
851	Beaming Investment & Securities (Private) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
852	Maha Securities (Pvt.) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
853	Invest Capital Markets Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
854	SMAC Investments (Private) Ltd.	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
855	KSR Stock Brokerage (Pvt) Ltd.	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
856	First Pakistan Securities Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
857	Diyanah Islamic Financial Services (Private) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
858	Millennium Securities & Investments (Private) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
859	First Fidelity Leasing Modaraba	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
860	Sigma Leasing Corporation Limited	Suspended	31-Dec-18	Failure to settle the CDC outstanding dues.	-
861	South Asian Securities (Private) Limited	Removal of Suspension	21-Dec-18	Consequent to restoration of the trading terminals by PSX with immediate effect vide notice no. PSX/N-6554 dated December 21, 2018.	15.6.2
862	Iqbal usman kodvavi Securities (Pvt.) Limited	Censure	20-Dec-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
863	RUC Securities (Private) Limited	Removal of Restrictions	18-Dec-18	Consequent to restoration of trading terminals of Participant by PSX with immediate effect as notified by PSX vide notice no. PSX/N-6529 dated December 18, 2018	15.6.2
864	GMI Capital Securities (Private) Limited	Censure	14-Dec-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
865	Oriental Securities (Pvt.) Limited	Censure	14-Dec-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
866	Apex Capital Securities (Private) Limited	Censure	14-Dec-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
867	Time Securities (Pvt.) Limited	Censure	14-Dec-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
868	JS Bank Limited	Censure	14-Dec-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
869	MRA Securities Limited	Restriction + Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
870	Creative Capital Securities (Private) Limited	Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
871	B & B Securities (Private) Limited	Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
872	Akhai Securities (Private) Limited	Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
873	Surmawala Securities (Pvt.) Limited	Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
874	Tariq Sayeed Securities (Private) Limited	Removal of Suspension	29-Nov-18	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/217/18 dated November 28, 2018 and restoration of trading terminals by PSX as notified vide notice no. PSX/N-6419 dated November 16, 2018.	15.6.2
875	K&I Global Capital (Pvt.) Limited	Censure	23-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
876	Jahanzaib Securities (Pvt) Limited	Terminated	23-Nov-18	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
877	Bhayani Securities (Private) Limited	Restriction + Censure	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.2A.1
878	Nael Capital (Pvt) Limited	Restriction + Censure	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
879	TS Securities (Pvt.) Limited	Imposition of Penalty	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.2A.1
880	Dawood Equities Ltd	Restriction + Censure	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
881	Khayyam Securities (Private) Limited	Terminated	16-Nov-18	Voluntary Termination	15.10.1
882	AM Chaudhry Securities (Private) Limited	Removal of Suspension	16-Nov-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-6413 dated November 15, 2018.	15.2.1(a)
883	RUC Securities (Private) Limited	Restricted	16-Nov-18	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-6418 dated November 16, 2018.	15.2.1(a)
884	Moneyline Securities (Pvt.) Limited	Censure	15-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
885	Gul Dhami Securities (Private) Limited	Censure	15-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
886	CMA Securities (Private) Limited	Censure	15-Nov-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
887	Mayari Securities (Private) Limited	Censure	12-Nov-18	Non-Compliance of CDC Regulations	6.2.3
888	Q. Ain Khanani Securities (Private) Limited	Censure	12-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
889	Friendly Securities (Private) Limited	Censure	9-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
890	Shaffi Securities (Private) Limited	Censure	9-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b) and 6.2.5A
891	Cassim Investment (Private) Limited	Censure	9-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
892	Khawaja Securities (Pvt.) limited	Censure	9-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b) and 6.2.5A
893	B & B Securities (Private) Limited	Censure	7-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b), 6.2A.1 and 8.2.1(e)
894	Baba Equities (Pvt.) Limited	Censure	7-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b), 6.2A.1 and 8.2.1(e)
895	F.M. Securities (Private) Limited	Restricted	26-Oct-18	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-6381 dated October 26, 2018.	15.2.1(a)
896	Xpert Securities Limited	Removal of Restrictions	25-Oct-18	Consequent to restoration of trading terminals of Participant by PSX with effect from October 25, 2018 as notified by PSX vide notice no. PSX/N-6281 dated October 24, 2018.	15.6.2
897	IGI Investment Bank Limited	Terminated	22-Oct-18	Voluntary Termination	15.10.1
898	Salim Sozer Securities (Pvt.) Limited	Suspended	17-Oct-18	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/184/18 dated October 17, 2018.	15.2.1(b)
899	Salim Sozer Securities (Pvt.) Limited	Removal of Suspension	17-Oct-18	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/185/18 dated October 17, 2018.	15.6.2
900	A. S. Securities (Private) Limited	Restricted	16-Oct-18	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-6081 dated October 16, 2018.	15.2.1(a)
901	CAMCO (Private) Limited	Removal of Restrictions	12-Oct-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-6007 dated October 11, 2018.	15.6.2
902	Fairtrade Capital Securities (Pvt.) Limited	Restriction + Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
903	Unex Securities (Pvt) Limited	Restriction + Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 6.2A.1
904	Optimus Capital Management (Private) Limited	Restriction + Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
905	EFG Hermes Pakistan Limited	Restriction + Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 and 6.2.6(b)
906	FDM Capital Securities (Private) Limited	Restriction + Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.2.1(e)
907	Cassim Investment (Private) Limited	Restriction + Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.2.1(e)
908	Market 786 (Private) Limited	Restriction + Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6(b) and 8.2.1(e)
909	First Capital Equities Limited	Suspended	9-Oct-18	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/175/18 dated October 09, 2018.	15.2.1(b)
910	First Capital Equities Limited	Removal of Suspension	9-Oct-18	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/176/18 dated October 09, 2018.	15.6.2
911	INA Securities (Pvt) Limited	Removal of Restrictions	9-Oct-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-5917 dated October 09, 2018.	15.6.2
912	Summit Bank Limited - Summit Custodial Services	Censure	5-Oct-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2A.1, 6.2.4, 6.2.5 & 6.2.6(b)
913	MGM Securities (Private) Limited	Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) and 6.2A.1





Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
914	Fair Deal Securities (Private) Limited	Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.6.1 (e)
915	Riaz Ahmed Securities (Pvt) Ltd.	Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
916	Arif Latif Securities (Pvt) Ltd.	Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
917	Trust Securities & Brokerage Limited	Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 6.2A.1
918	Asda Securities (Private) Limited	Restriction + Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.2.1 (e)
919	Zahid Latif Khan Securities (Pvt.) Limited	Restriction + Censure	25-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.6(b)
920	CMA Securities (Private) Limited	Restricted	19-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5351 dated September 18, 2018.	15.2.1(a)
921	SMAC Investments (Private) Limited	Restricted	19-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5351 dated September 18, 2018.	15.2.1(a)
922	CAMCO (Private) Limited	Restricted	19-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5351 dated September 18, 2018.	15.2.1(a)
923	Apex Capital Securities (Private) Limited	Removal of Restrictions	19-Sep-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-5344 dated September 18, 2018.	15.6.2
924	MSD Capital Equities (Pvt.) Limited	Removal of Restrictions	19-Sep-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-5344 dated September 18, 2018.	15.6.2
925	Apex Capital Securities (Private) Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)
926	INA Securities (Pvt) Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)
927	MSD Capital Equities (Pvt.) Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)
928	Xpert Securities Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)
929	Progressive Investment Management (Pvt.) Ltd	Removal of Restrictions	18-Sep-18	Participant has removed causes of Restrictions	15.6.2
930	Next Capital Limited	Restriction + Censure	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
931	Horizon Securities Limited	Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b), 6.2.2A & 6.7.3
932	WE Financial Services Limited	Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, & 6.7.3(a)
933	Elixir Securities Pakistan (Pvt.) Limited	Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, & 6.7.3(a)
934	First Capital Equities Limited	Restriction + Censure	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.6(b)
935	Darson Securities (Private) Limited	Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, & 6.7.3(a)
936	Invest Forum (Private) Limited	Terminated	17-Sep-18	Voluntary Termination	15.10.1
937	Progressive Investment Management (Pvt.) Ltd	Restricted	14-Sep-18	Due to contravention of Section 24 of CD Act 1997 read with Regulation 6.7 of the CDC Regulations.	15.2.1(a)
938	AMCAP Securities (Private) Limited	Further revised Restriction	13-Sep-18	Due to the Prohibitory Order by SECP vide Order dated September 13, 2018.	15.2.1(a)
939	First National Equities Limited	Restriction + Censure	12-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
940	AMCAP Securities (Private) Limited	Revised Restriction	10-Sep-18	Consequent to suspension of the trading terminals of Participant by PSX vide notice no. PSX/N-5144 dated September 10, 2018.	15.2.1(a)
941	Fairtrade Capital Securities (Pvt.) Limited	Removal of Restrictions	31-Aug-18	Consequent to Removal of Restrictions by PSX as notified by PSX vide notice no. PSX/N-4985 dated August 30, 2018 for opening of new clients account.	15.6.2
942	Saima Qaiser Securities (Pvt.) Limited	Removal of Restrictions	20-Aug-18	Consequent to restoration of trading terminals by PSX as notified by PSX vide notice no. PSX/N-4832 dated August 20, 2018.	15.6.2
943	Saima Qaiser Securities (Pvt.) Limited	Restricted	17-Aug-18	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-4761 dated August 16, 2018.	15.2.1(a)
944	Venus Securities (Private) Limited	Removal of suspension	15-Aug-18	Consequent to restoration of trading terminals by PSX as notified by PSX vide notice no. PSX/N-4702 dated August 13, 2018 and in view of letter No. 2(33)SE/SMD/18 dated May 16, 2018 of the SECP.	15.6.2
945	Pearl Securities Limited	Restriction + Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)





Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
946	Summit Capital (Pvt.) Limited - Lhr	Restriction + Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
947	Topline Securities Limited	Restriction + Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
948	Zafar Securities (Private) Limited	Restriction + Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
949	HMC Stocks (SMC-Pvt.) Limited	Restriction & Penalty	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5, 6.2.6(b), 6.2A.1 & 6.7.3(a)
950	Javed Zakaria Gulabi Securities (Pvt.) Limited	Terminated	1-Aug-18	Voluntary Termintaion	15.10.1
951	Value Stock and Commodities (Private) Limited	Removal of Restrictions	1-Aug-18	Consequent to Removal of Restrictions by PSX as notified by PSX vide notice no. PSX/N-4532 dated August 01, 2018 for opening of new clients account.	15.6.2
952	Omni Capital Management (Private) Limited	Removal of Suspension	26-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4384 dated July 24, 2018	15.6.2
953	Ahsam Securities (Pvt.) Limited	Removal of Suspension	24-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4376 dated July 24, 2018	15.6.2
954	R.F.J. Equity (Private) Limited	Removal of Suspension	24-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4388 dated July 24, 2018	15.6.2
955	HK Securities (Private) Limited	Terminated	20-Jul-18	Voluntary Termintaion	15.10.1
956	SMAC Investments (Private) Limited	Removal of Suspension	19-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4269 dated July 18, 2018	15.6.2
957	Interactive Securities (Private) Limited	Removal of Suspension	17-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4225 dated July 13, 2018	15.6.2
958	First Dawood Investment Bank Limited	Terminated	13-Jul-18	Voluntary Termintaion	15.10.1
959	Darson Securities (Private) Limited	Terminated	9-Jul-18	Voluntary Termintaion	15.10.1
960	Darson Securities (Private) Limited	Censure	6-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6(b)
961	Javed Iqbal Securities (Pvt.) Limited	Restriction + Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
962	Fair Edge Securities (Private) Limited	Restriction + Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
963	General Invest. & Securities (Pvt.) Limited	Restriction + Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
964	Msmaniar Financial (Pvt.) Limited	Restriction + Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
965	Safe Securities (Private) Limited	Terminated	4-Jul-18	Voluntary Termintaion	15.10.1
966	ASA Stocks (Private) Limited	Removal of Restrictions	29-Jun-18	Consequent to restoration of trading terminals by PSX as notified vide notice no. PSX/N-3946 dated June 29, 2018.	15.6.2
967	Sakarwala Capital Securities (Pvt) Ltd.	Censure	27-Jun-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
968	High Land Securities (Private) Limited	Censure	27-Jun-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
969	128 Securities (Private) Limited	Censure	27-Jun-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 6.2A.1 & 8.2.1
970	KP Securities (Private) Limited	Removal of Restrictions	27-Jun-18	Consequent to restoration of trading terminals by PSX as notified vide notice no. PSX/N-3897 dated June 27, 2018.	15.6.2
971	Fairtrade Capital Securities (Pvt.) Limited	Restriction on opening of New Sub-Accounts	25-Jun-18	Consequent to the restriction on opening of new clients account by PSX vide notice no. PSX/N-3828 dated June 22, 2018.	15.2.1(a)
972	R.T. Securities (Pvt) Limited	Censure	21-Jun-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
973	Gulrez Securities (Private) Limited	Censure	21-Jun-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
974	Summit Capital (Private) Limited	Censure	21-Jun-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.6.1 (e)
975	KP Securities (Private) Limited	Restricted	20-Jun-18	Consequent to switching-off the trading terminals by PSX as notified vide notice no. PSX/N-3783 dated June 20, 2018.	15.2.1(a)
976	ASA Stocks (Private) Limited	Restricted	20-Jun-18	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-3783 dated June 20, 2018.	15.2.1(a)
977	AMCAP Securities (Private) Limited	Modification in Restriction	19-Jun-18	Consequent to removal of suspension NCCPL as notified vide notice no. NCCPL/CRO/79/18 dated June 19, 2018. However, Restriction in respect of the opening of new Sub-Account not yet removed.	15.6.2
978	AMCAP Securities (Private) Limited	Suspended	19-Jun-18	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/78/18 dated June 19, 2018.	15.2.1(b)
979	Adeel Zafar Securities (Private) Limited	Terminated	1-Jun-18	Voluntary Termintaion	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
980	FDM Capital Securities (Private) Limited	Restriction + Censure	30-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
981	First Zeiva (Private) Limited	Terminated	29-May-18	Voluntary Termination	15.10.1
982	DJM Securities (Private) Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.2.1 (e)
983	Pearl Brokerage (Private) Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
984	Falki Capital (Private) Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
985	Continental Capital Management (Private) Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
986	Rahat Securities Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
987	Bismillah Securities (Private) Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
988	Yasir Mahmood Securities (Pvt.) Limited	Censure	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
989	Fair Deal Securities (Private) Limited	Restricted	16-May-18	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-3262 dated May 16, 2018.	15.2.1(a)
990	Standard Capital Securities Pvt Ltd.	Restriction + Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
991	Patel Securities (Pvt.) Limited	Restriction + Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
992	Pasha Securities (Pvt.) Limited	Restriction	7-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
993	Hamza Farhad Securities (Private) Limited	Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
994	Spinzer Equities (Pvt.) Limited	Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
995	JSK Securities Limited	Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
996	Punjab Capital Securities (Pvt.) Limited	Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.2A
997	Progressive Investment Management (Pvt.) Ltd	Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
998	Iqbal Usman Kodvavi Securities (Pvt.) Limited	Censure	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b) & 8.2.1(e)
999	Dossanis Securities (Private) Limited	Censure	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
1000	Seven Star Securities (Pvt.) Limited	Censure	25-Apr-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6 (b)
1001	First National Equities Limited	Censure	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
1002	Pace Investment & Securities (Private) Limited	Terminated	16-Apr-18	Voluntarily termination	15.10.1
1003	Fortune Securities Limited	Restriction + Censure	13-Apr-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
1004	Mannoo Capital (Pvt.) Limited	Censure	13-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
1005	Askari Securities Limited	Censure	9-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
1006	Abbasi Securities (Pvt.) Limited	Censure	6-Apr-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6 (b)
1007	S.D. Mirza Securities (Pvt.) Limited	Restriction + Censure	30-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
1008	Brains Securities (Private) Limited	Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
1009	Adeel & Nadeem Securities (Pvt.) Limited	Restriction + Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
1010	Amer Securities (Private) Limited	Restriction + Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
1011	MND Investment (Pvt.) Limited	Restriction + Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
1012	Fair Deal Securities (Private) Limited	Censure	28-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b)
1013	KP Securities (Private) Limited	Censure	28-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b)
1014	Al-Haq Securities (Pvt.) Limited	Restriction + Censure	27-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
1015	Axis Global Limited	Restriction + Censure	27-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
1016	Ali Husain Rajabali Limited	Terminated	22-Mar-18	Voluntary Termination	15.10.1
1017	Adam Securities Limited	Restriction + Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
1018	Progressive Securities (Private) Limited	Restriction + Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
1019	Rahat Securities Limited	Restriction + Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
1020	Equity Master Securities (Private) Limited	Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
1021	Jamshaid & Hasan Securities (Pvt.) Limited	Restriction + Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
1022	Shaffi Securities (Private) Limited	Restricted	19-Mar-18	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-1786 dated March 16, 2018.	15.2.1(a)
1023	Maha Securities (Pvt.) Limited	Restricted	19-Mar-18	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-1787 dated March 16, 2018.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1024	Shaffi Securities (Private) Limited	Removal of Restrictions	19-Mar-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-1802 dated March 19, 2018.	15.6.2
1025	Naveed H. M. Idrees (Private) Limited	Terminated	12-Mar-18	Participant has ceased to be Trading Right Entitlement Certificate holder as communicated by PSX vide notice no. PSX/N-1586 dated March 06, 2018.	15.1.1(a)(i) read with 15.2.1
1026	Alfalah Securities (Private) Limited	Restriction + Censure	9-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
1027	Saya Securities (Pvt.) Limited	Restriction + Censure	9-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 (b)
1028	F.M. Securities (Private) Limited	Restriction on opening of New Sub-Accounts	9-Mar-18	Consequent to the restriction on opening of new clients account by PSX as notified vide notice no. PSX/N-1671 dated March 09, 2018.	15.2.1(a)
1029	128 Securities (Private) Limited	Restriction & Penalty	8-Mar-18	Non-Compliance of CDC Regulations	6.2.2 6.7.3 (a) 6.2.2A, 6.2.4 6.2.5 6.2.6 (b)
1030	Dossanis Securities (Private) Limited	Restriction & Penalty	8-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 (a), 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
1031	Ismail Iqbal Securities (Pvt.) Limited	Restriction + Censure	2-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
1032	Aba Ali Habib Securities (Private) Limited	Restriction + Censure	2-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
1033	Summit Capital (Pvt.) Limited	Restriction + Censure	2-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
1034	Aba Ali Habib Securities (Private) Limited	Censure	1-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.7.2, 6.2A.1 & 8.2.1(e)
1035	128 Securities (Private) Limited	Restriction on opening of New Sub-Accounts	1-Mar-18	Consequent to the restriction on opening of new clients account by PSX as notified vide notice no. PSX/N-1502 dated March 01, 2018.	15.2.1(a)
1036	Royal Securities (Pvt) Limited	Censure	26-Feb-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, & 6.2.6(b)
1037	Wisdom Securities (Private) Limited	Terminated	22-Feb-18	Voluntary Termination	15.10.1
1038	Ali Husain Rajabali Limited	Censure	21-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
1039	Ghani Osman Securities (Private) Limited	Restriction + Censure	21-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
1040	HH Misbah Securities (Private) Limited	Censure	20-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
1041	Bawa Securities (Private) Limited	Restriction + Censure	20-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.7.3
1042	F.M. Securities (Private) Limited	Censure	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2A.1 & 8.2.1
1043	ICON Capital Management (Pvt.) Limited	Censure	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
1044	Fortune Securities Limited	Censure	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
1045	Alfalah Securities (Private) Limited	Censure	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
1046	M.M. Securities (Pvt.) Limited	Censure	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 8.2.1
1047	MGM Securities (Pvt.) Limited	Restriction + Censure	15-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
1048	New Peak Securities (Pvt.) Limited	Censure	15-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
1049	Infinite Securities Limited	Censure	15-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
1050	M.A.N Securities (Pvt.) Limited	Terminated	14-Feb-18	Voluntary Termination	15.10.1
1051	High Land Securities (Private) Limited	Restriction + Censure	8-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
1052	K.H.S Securities (Pvt.) Limited	Censure	8-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1053	Zafar Moti Capital Securities (Private) Limited	Restriction + Censure	8-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
1054	BlackStone Equities (Private) Limited	Terminated	26-Jan-18	Voluntary Termination	15.10.1
1055	Alfa Adhi Securities (Private) Limited	Restriction & Penalty	25-Jan-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.7.3(a)
1056	H. P. Byramji & Co. (Pvt.) Limited	Restriction & Penalty	23-Jan-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, 6.2A.1 & 6.7.3
1057	XPERT Securities (Private) Limited	Removal of Restrictions	19-Jan-18	Participant has complied with Regulation 6.8.2 of the CDC Regulations.	15.6.2
1058	Millennium Securities & Investments (Private) Limited	Restricted	1-Jan-18	Consequent to suspension of the trading terminals by PSX vide notice no. PSX/N-001 dated January 01, 2018.	15.2.1(a)
1059	Pearl Brokerage (Private) Limited	Removal of Restrictions	1-Jan-18	Consequent to restoration of trading terminals by PSX w.e.f. January 01, 2018, as notified by PSX vide notice no. PSX/N-29 dated January 01, 2018.	15.6.2
1060	Bright Investment and Securities (Private) Limited	Terminated	28-Dec-17	Voluntarily termination and surrender of TREC as communicated by PSX vide notice no. PSX/N-7870 dated December 27, 2017.	15.3.7 (a) read with 15.10
1061	Pearl Brokerage (Private) Limited	Restricted	26-Dec-17	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-7866 dated December 26, 2017.	15.2.1(a)
1062	Asad Mustafa Securities (SMC-Pvt.) Ltd	Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
1063	Rafi Securities (Pvt.) Ltd	Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1064	Fair Edge Securities (Private) Limited	Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2A.1 & 8.2.1e
1065	First Capital Equities Limited	Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
1066	A. N. Equities (Pvt.) Limited	Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
1067	Khawaja Securities (Pvt.) Limited	Restriction + Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5
1068	Strongman Securities (Private) Limited	Censure	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
1069	Techno Fundamental Securities (Private) Limited	Censure	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
1070	Maan Securities (Private) Limited	Censure	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
1071	Sherman Securities (Pvt.) Limited	Censure	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
1072	Muhammad Amer Riaz Securities (Private) Limited	Restriction & Penalty	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b), 6.2.2A & 6.2A.1
1073	N.U.A Securities (Pvt.) Ltd	Restriction & Penalty	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, 6.7.3 & 6.7.3(a)
1074	Nini Securities (SMC-Pvt.) Ltd	Censure	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1075	Memon Securities (Pvt.) Ltd	Censure	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1076	First Zeiva (Private) Limited	Censure	20-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1077	XPERT Securities (Private) Limited	Restricted	20-Dec-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)
1078	K.H.S. Securities (Private) Limited	Removal of Restrictions	19-Dec-17	Consequent to restoration of trading terminals by PSX w.e.f. December 20, 2017, as notified by PSX vide notice no. PSX/N-7742 dated December 19, 2017.	15.6.2
1079	A.H.K.D. Securities (Private) Limited	Suspended	14-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
1080	HK Securities (Private) Limited	Suspended	14-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
1081	Invest Forum (SMC-Private) Limited	Suspended	14-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
1082	Invest Forum (SMC-Private) Limited	Restricted	13-Dec-17	Due to the cancellation of liscence by SECP as a securities broker vide order dated December 13, 2017.	15.2.1(a)
1083	HK Securities (Private) Limited	Restricted	13-Dec-17	Due to the cancellation of liscence by SECP as a securities broker vide order dated December 13, 2017.	15.2.1(a)
1084	Jahanzaib Securities (Pvt.) Limited	Suspended	12-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
1085	Shaukat Shaffi Securities (Private) Limited	Suspended	12-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
1086	AM Chaudhry Securities (Private) Limited	Suspended	12-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
1087	First Pakistan Securities Limited	Restricted	4-Dec-17	Due to refusal of the application for grant of license as securities broker by SECP vide order dated November 29, 2017.	15.2.1(a)
1088	AM Chaudhry Securities (Private) Limited	Removal of Restrictions	30-Nov-17	Consequent to the restoration of trading terminals by PSX vide notice dated PSX/N-7471 dated November 30, 2017.	15.6.2
1089	Topline Securities Limited	Censure	29-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.7.1
1090	A. S. Securities (Private) Limited	Censure	28-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b), 6.2.2A & 6.2A.1
1091	AM Chaudhry Securities (Private) Limited	Restriction + Censure	28-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
1092	Din Capital Limited	Revised Restriction	23-Nov-17	Consequent to the restoration of trading terminals by PSX vide notice dated PSX/N-7369 dated November 23, 2017 however opening of new sub-Account is restricted.	15.6.2
1093	Tumbi Securities (Private) Limited	Terminated	22-Nov-17	Participant has ceased to be Trading Right Entitlement Certificate holder as communicated by the Pakistan Stock Exchange Limited vide notice no. PSX/N-7317 dated November 21, 2017	15.1.1(a)(i) read with 15.3.7
1094	My Securities (Private) Limited	Terminated	22-Nov-17	Participant has ceased to be Trading Right Entitlement Certificate holder as communicated by the Pakistan Stock Exchange Limited vide notice no. PSX/N-7203 dated November 13, 2017	15.1.1(a)(i) read with 15.3.7



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1095	Ayub Chaudhry Investments (Private) Limited	Restriction + Censure	21-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1096	Darson Securities (Private) Limited	Imposition of Penalty	17-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6, 6.2A.1, 8.2.1e & 8.6.1e
1097	Din Capital Limited	Restricted	17-Nov-17	Consequent to the suspension of liscence by SECP as a securities broker vide order dated November 08, 2017	15.2.1(a)
1098	Elixir Securities Pakistan (Pvt.) Limited	Censure	14-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.2.1e
1099	Reliance Securities Limited	Censure	14-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6, 6.2A.1 & 8.2.1e
1100	Gazipura Securities & Services (Private) Limited	Censure	11-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1101	Concordia Securities (Private) Limited	Censure	11-Nov-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
1102	R.T Securities (Pvt.) Limited	Censure	11-Nov-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.6(b) & 6.2.2A
1103	Fikree (SMC-Pvt.) Limited	Censure	8-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6, 6.2.3 & 6.2.2A
1104	Millennium Securities & Investments (Private) Limited	Restriction + Censure	8-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1105	MSD Capital Equities (Pvt.) Limited	Restriction + Censure	8-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1106	First Equity Modaraba	Censure	8-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.2.1e
1107	Din Capital Limited	Revised Restriction	8-Nov-17	Due to advise of PSX vide email dated November 07, 2017	15.6.2
1108	Millennium Securities & Investments (Private) Limited	Restricted	6-Nov-17	Consequent FS as of June 30, 2017 submitted by Participant under Regulation 6.8.2 of the CDC Regulations discloses <b>negative</b> Capital Adequacy Level	15.3.1(a)
1109	Din Capital Ltd	Restricted	6-Nov-17	Consequent to imposition of restriction by PSX as notified vide notice no. PSX/N-7045 dated November 03, 2017	15.2.1(a)
1110	Shaukat Shaffi Securities (Private) Limited	Restricted	1-Nov-17	Consequent to the suspension of the trading terminals by PSX as notified vide notice no. PSX/N-6951 dated November 01, 2017	15.2.1(a)
1111	Safe Securities (Private) Limited	Restricted	31-Oct-17	Consequent to suspension of the trading terminals by PSX vide notice no. PSX/N-6903 dated October 31, 2017	15.2.1(a)
1112	K.H.S. Securities (Private) Limited	Restricted	30-Oct-17	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-6826 dated October 30, 2017	15.2.1(a)
1113	Sakarwala Capital Securities (Pvt.) Limited	Restriction & Penalty	26-Oct-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1114	Sunrise Capital (Private) Limited	Further Suspended	20-Oct-17	Due to cancellation of liscence by Securities and Exchange Commission of Pakistan vide order dated September 14, 2017	15.2.1(b)
1115	Pak Meezan Securities (Private) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017	15.1.1(b)
1116	Kayzone Capital Markets (SMC-Private) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017	15.1.1(b)
1117	Faith Securities (Private) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017	15.1.1(b)
1118	Stock Vision(Pvt.) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017	15.1.1(b)
1119	Value Stock and Commodities (Private) Limited	Restriction & Penalty	16-Oct-17	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.4, 8.2.1e, 8.6.1e & 6.2A.1
1120	Earth Securities (Private) Limited	Terminated	16-Oct-17	Voluntary Termintaion	15.10.1
1121	F.M. Securities (Private) Limited	Imposition of Penalty	16-Oct-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
1122	Value Stock and Commodities (Private) Limited	Restriction & Penalty	16-Oct-17	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.4, 8.2.1e, 8.6.1e & 6.2A.1
1123	Switch Securities (Private) Limited	Suspended	13-Oct-17	Consequent to the suspension of liscence by Securities and Exchange Commission of Pakistan vide order dated October 11, 2017	15.2.1(b)
1124	Shaffi Securities (Private) Limited	Censure	4-Oct-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.2.1e, 6.2A.1
1125	Security Investment Bank Limited	Terminated	29-Sep-17	Voluntary Termintaion	15.10.1
1126	Kausar Securities (Private) Limited	Terminated	27-Sep-17	Voluntary Termintaion	15.10.1
1127	Abbasi Securities (Pvt.) Limited	Restriction + Censure	27-Sep-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1128	Askari Securities Limited	Restriction + Censure	25-Sep-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.7.3
1129	First Zeiva (Private) Limited	Removal of Restrictions	22-Sep-17	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-5512 dated September 22, 2017	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1130	First Zeiva (Private) Limited	Restricted	21-Sep-17	Consequent to switching-off of trading terminal of Participant by PSX vide notice no. PSX/N-5462 dated September 20, 2017	15.2.1(a)
1131	AM Chaudhry Securities (Private) Limited	Restricted	21-Sep-17	Consequent to switching-off of trading terminal of Participant by PSX vide notice no. PSX/N-5462 dated September 20, 2017	15.2.1(a)
1132	Global Securities Pakistan Limited	Terminated	21-Sep-17	Voluntary Termination	15.10.1
1133	Progressive Investment Management (Pvt.) Ltd	Imposition of Penalty	21-Sep-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.2.1e & 6.2A.1
1134	Invest Capital Markets Limited	Restricted	18-Sep-17	Consequent to imposing the restriction by NCCPL vide notice no. NCCPL/CRO/237/17 dated September 15, 2017	15.2.1(a)
1135	PACE Investment & Securities (Private) Limited	Restricted	7-Sep-17	Consequent to suspension of the trading terminals by PSX vide notice no. PSX/N-5248 dated September 07, 2017	15.2.1(a)
1136	Live Securities Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
1137	Qasim Mahmood Securities (SMC-Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
1138	SMB Securities (Private) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
1139	AKD Analytics (Private) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
1140	Stable Securities (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
1141	Quality Islamic Investments & Securities (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
1142	Mian Pervaz Aslam Securities (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
1143	Riaz Ahmed Securities (Pvt) Ltd.	Censure	21-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1144	Safe Securities (Private) Limited	Restriction Letter	21-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1145	Adeel Zafar Securities (Private) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
1146	IAK Securities (Private) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1147	Shajarpak Securities (Pvt.) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1148	AAA Securities (Private) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
1149	K & I Global Capital (Pvt.) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
1150	Mannoo Capital (Pvt.) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A.1
1151	Haji Abdul Sattar Securities (Pvt.) Limited	Restriction Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.7.3
1152	Bridge Securities (Pvt.) Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1153	Amanah Investments Limited	Censure	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
1154	Habib Ullah Sheikh (Private) Limited	Restriction Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1155	Intermarket Securities Limited	Restriction & Penalty	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1156	Gul Dhami Securities (Private) Limited	Restriction Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1157	Time Securities (Pvt.) Limited	Restriction & Penalty	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1158	128 Securities (Private) Limited	Removal of Restrictions	8-Aug-17	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-4699 dated August 08, 2017	15.6.2
1159	Moneyline Securities (Pvt.) Limited	Restriction Letter	8-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1160	Baba Equities (Pvt.) Limited	Restriction Letter	8-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.7.3
1161	UNEX Securities (Pvt) Limited	Censure	4-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
1162	Strongman Securities (Private) Limited	Censure	4-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
1163	128 Securities (Private) Limited	Restricted	3-Aug-17	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-4631 dated August 03, 2017	15.2.1(a)
1164	NIB Bank Limited	Terminated	1-Aug-17	Voluntary Termination	15.10.1





Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1165	AMCAP Securities (Private) Limited	Modification in Restriction	24-Jul-17	consequent to restoration of trading terminals by PSX with effect from July 24, 2017 as notified by notice no. PSX/N-4413 dated July 21, 2017 However, PSX has not lifted restriction on opening of new Client Accounts.	15.6.2
1166	S. Z. Securities (Pvt.) Limited	Terminated	18-Jul-17	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-4346 dated July 18, 2017	15.3.7
1167	Jamshaid & Hasan Securities (Pvt) Ltd	Imposition of Penalty	22-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1168	Zafar Securities (Private) Limited	Imposition of Penalty	22-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1169	Azee Securities (Private) Limited	Suspended	22-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/199/17 dated June 22, 2017	15.2.1(b)
1170	Azee Securities (Private) Limited	Removal of Suspension	22-Jun-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/200/17 dated June 22, 2017	15.6.2
1171	Aziz Dawood Securities (Private) Limited	Suspended	16-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/197/17 dated June 16, 2017	15.3.7(b)
1172	Tariq Sayeed Securities (Private) Limited	Suspended	16-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/195/17 dated June 16, 2017	15.3.7(b)
1173	AB Equities (Private) Limited	Suspended	16-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/196/17 dated June 16, 2017	15.3.7(b)
1174	Reliance Securities Limited	Censure	13-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1175	Habib Metropolitan Financial Services Limited	Censure	13-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1176	Invest and Finance Securities Limited	Restriction & Penalty	13-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1177	Dawood Equities Ltd	Suspended	5-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/187/17 dated June 05, 2017	15.2.1(b)
1178	Dawood Equities Ltd	Removal of Suspension	5-Jun-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/188/17 dated June 05, 2017	15.6.2
1179	Oriental Securities (Pvt.) Limited	Censure	5-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1180	Value Stock and Commodities (Private) Limited	Restriction on opening of New Sub-Accounts	1-Jun-17	Consequent to imposing restriction on Participant by PSX vide notice no. notice no. PSX/N-3566 dated May 31, 2017 for opening of new sub-accounts	15.2.1(a)
1181	Escorts Capital Limited	Suspended	31-May-17	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of Restrictions.	15.3.7(b)
1182	Allied Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1183	S. A Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1184	Interactive Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1185	Chippa Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1186	JCR Capital Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1187	Luxor Securities (SMC-Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1188	MAN Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1189	Omni Capital Management (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1190	Jawed Zakaria Gulabi Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1191	MAC Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1192	Muhammad Anaf Kapadia Securities (SMC-Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1193	Motiwala Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1194	My Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1195	AAU Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1196	Abid Ali Habib Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1197	Ahsam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1198	Ashfaq Ashraf Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1199	BMS Capital (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1200	Bright Investment and Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)





Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1201	Fine Securities (SMC-Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1202	Fort Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1203	Fortress Financial Services (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1204	H.H.K. Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1205	Khayyam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1206	Prime Capital Management (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1207	R.F.J. Equity (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1208	S. M. Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1209	Schon Capital Markets Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1210	Sher Capital Equities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1211	SMAC Investments (SMC-Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1212	South Asian Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1213	Union Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1214	Venus Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1215	ZM Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1216	MAS Capital Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1217	R. A. Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
1218	Fine Securities (SMC-Private) Limited	Restricted	26-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no.notice no. PSX/N-3463 dated May 25, 2017	15.2.1(a)
1219	Luxor Securities (SMC-Pvt.) Limited	Restricted	26-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no.notice no.PSX/N-3463 dated May 25, 2017	15.2.1(a)
1220	Mian Pervez Aslam Securities (Private) Limited	Restricted	23-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no.PSX/N-3401 dated May 23, 2017	15.2.1(a)
1221	Trust Securities & Brokerage Limited	Restriction Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1222	Switch Securities (Private) Limited	Restriction Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1223	SETHI SECURITIES (SMC-PVT) LTD	Restriction Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1224	ASA Stocks (Private) Limited	Censure	18-May-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
1225	M. M. SECURITIES (PVT.) LIMITED	Censure	18-May-17	Non-Compliance of CDC Regulations	6.2.3 6.2.4, 6.2.5 & 6.2.6
1226	Live Securities Limited	Restricted	12-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-3196 dated May 12, 2017	15.2.1(a)
1227	MSD Capital Equities (Private) Limited	Removal of Restrictions	10-May-17	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-3075 dated May 10, 2017	15.6.2
1228	MAM Securities (Private) Limited	Terminated	10-May-17	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-3074 dated May 10, 2017	15.3.7
1229	Tariq Sayeed Securities (Private) Limited	Removal of Restrictions	8-May-17	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-2987 dated May 08, 2017	15.6.2
1230	Shaffi Securities (Private) Limited	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1231	Techno Fundamental Securities (Private) Limited	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1232	NAYYAR SHEIKH SECURITIES (PVT) LTD.	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1233	MAAN SECURITIES (PRIVATE) LIMITED	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1234	Pearl Brokerage (Private) Limited	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1235	INTEGRATED EQUITIES (PRIVATE) LIMITED	Censure	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1236	Gulrez Securities (Private) Limited	Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1237	Fairway Securities (Private) Limited	Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1238	Networth Securities Limited	Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1239	Khawaja Securities (Pvt.) Limited	Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1240	ABM Securities (Pvt.) Limited	Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1241	MSD Capital Equities (Private) Limited	Restricted	27-Apr-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-2636 dated April 26, 2017	15.2.1(a)
1242	AMCAP Securities (Private) Limited	Modification in Restriction	25-Apr-17	Consequent to restoration of sale side transactions for only Sub-Accounts of the Participant by PSX vide notice no. PSX/N-2499 dated April 24, 2017	-
1243	AMCAP Securities (Private) Limited	Restricted	5-Apr-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-2131 dated April 05, 2017	15.2.1(a)
1244	Creative Capital Securities (Private) Limited	Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
1245	SAZ CAPITAL SECURITIES (PVT) LTD.	Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1246	M. J. Memon Securities (Pvt.) Limited	Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1247	SPECTRUM SECURITIES (PVT.) LIMITED	Censure	30-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 3.7
1248	TARIQ VOHRA SECURITIES (PVT) LIMITED	Censure	30-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
1249	GLOBAL SECURITIES PAKISTAN LIMITED	Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1250	H.M. Idress H. Adam(SMC-Pvt.) Limited	Censure	30-Mar-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 3.7
1251	Motiwala Securities (Private) Limited	Restriction & Penalty	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
1252	H.H.K. Securities (Pvt.) Limited	Restriction & Penalty	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
1253	MUHAMMAD HUSSAIN ISMAIL SECURITIES (PVT) LTD.	Censure	30-Mar-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6
1254	ACM GLOBAL (PVT.) LIMITED	Censure	30-Mar-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6
1255	JCR Capital Securities (Private) Limited	Notice in respect of Participant	29-Mar-17	Participant has complied with the Regulation 6.8.2	15.6.2
1256	Invest Forum (SMC-Private) Limited	Restricted	17-Mar-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-1742 dated March 16, 2017	15.2.1(a)
1257	HK Securities (Private) Limited	Restricted	17-Mar-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-1743 dated March 16, 2017	15.2.1(a)
1258	Bhayani Securities (Private) Limited	Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
1259	First Equity Modaraba	Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
1260	Muhammad Ashfaq Hussain Securities (Private) Limited	Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
1261	Surmawala Securities (Private) Limited	Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
1262	SEVEN STAR SECURITIES (PVT.) LTD.	Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4 & 6.2.6
1263	IQBAL USMAN KODVAVI SECURITIES (PVT) LTD	Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4 & 6.2.6
1264	MULTILINE SECURITIES (PVT.) LIMITED	Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
1265	Dattoo Securities (Private) Limited	Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
1266	SECURITY INVESTMENT BANK LIMITED	Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.6 & 6.2.6
1267	S. Z. Securities (Pvt.) Limited	suspended	14-Mar-17	Due to violation of Section 24 of the Central Depositories Act, 1997	15.2.1(b)
1268	KSR Stock Brokerage (Pvt.) Ltd	Imposition of Penalty	13-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.3A.1 & 6.2A.1
1269	Progressive Securities (Private) Limited	Imposition of Penalty	13-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 6.7.4 & 6.2A.1
1270	MAM Securities (Private) Limited	Further Suspended	13-Mar-17	Consequent to suspension of TRE Certificate of Participant by PSX vide notice no. PSX/N-1637 dated March 10, 2017.	15.2.1(b)
1271	Tariq Sayeed Securities (Private) Limited	Restricted	7-Mar-17	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1531 dated March 06, 2017 on the Participant request.	15.2.1(a)
1272	ESCORTS CAPITAL LIMITED	Restricted	6-Mar-17	Participant has not complied with Regulation 6.8.1 of the CDC Regulations,	15.2.1(a)
1273	Faith Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1274	Stock Vision(Pvt.) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1275	Kayzone Capital Markets (SMC-Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1276	A.H.K.D. Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1277	AKD Analytics (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1278	SNM Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1279	SMB Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1280	Stable Securities (Pvt) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1281	Qasim Mahmood Securities (Smc-Pvt) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1282	JCR Capital Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1283	Reliance Capital (Pvt) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1284	Fincap Investments (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1285	Allied Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business day of restrictions.	15.3.7(b)
1286	Ab Equities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2 of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
1287	Universal Equities (Private) Limited	Terminated	2-Mar-17	Voluntary Termination	15.10.1
1288	M. R. Securities (SMC-Private) Limited	Terminated	2-Mar-17	Consequent to the forfeiture of TRE Certificate of the Participant by PSX vide notice no. PSX/N-1460 dated March 01, 2017	15.3.7
1289	AWJ Securities (Private) Limited	Terminated	28-Feb-17	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-1334 dated February 27, 2017	15.3.7
1290	MAM Securities (Private) Limited	Suspended	20-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
1291	Sunrise Capital (Private) Limited	Suspended	17-Feb-17	Due to non-compliances of regulatory provisions	15.2.1(b)
1292	M. R. Securities (SMC-PVT.) Limited	Further Suspended	10-Feb-17	Due to non-compliances of regulatory provisions	15.2.1(b) & 50(2) of the Sec. Act.
1293	MAM Securities (Private) Limited	Imposition of Penalty	8-Feb-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2A.1 & 8.2.1e
1294	M. R. Securities (SMC-PVT.) Limited	Intention of further Suspension	6-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
1295	M. R. Securities (SMC-PVT.) Limited	Suspended	1-Feb-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/20/17 dated February 01, 2017	15.2.1(b)
1296	AWJ Securities (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
1297	Sunrise Capital (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
1298	Zafar Securities (Private) Limited	Restricted	30-Jan-17	Participant has not complied with Regulation 6.8.1 of the CDC Regulations,	15.2.1(a)
1299	Zafar Securities (Private) Limited	Removal of Restrictions	30-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1300	Sonia Shahzad Securities (Private) Limited	Terminated	24-Jan-17	Voluntary Termination	15.10.1
1301	Pak Meezan Securities (Private) Limited	Notice in respect of Participant	18-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1302	Zafar Moti Capital Securities (Private) Limited	Removal of Suspension	18-Jan-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/36/17 dated January 17, 2017.	15.6.2
1303	Zafar Moti Capital Securities (Private) Limited	Suspended	17-Jan-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/36/17 dated January 17, 2017	15.2.1(b)
1304	AM Chaudhry Securities (Private) Limited	Removal of Restrictions	13-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1305	AWJ Securities (Private) Limited	Removal of Suspension	13-Jan-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/31/17 dated January 13, 2017.	15.6.2
1306	Mashhadi Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1307	SIS Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
1308	AWJ Securities (Private) Limited	Suspended	12-Jan-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/26/17 dated January 11, 2017	15.2.1(b)
1309	Allied Bank Limited - LSE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
1310	Allied Bank Limited - ISE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
1311	Allied Bank Limited- KSE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
1312	Sherman Securities (Pvt.) Limited	Restriction	6-Jan-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, & 6.2.6
1313	Diyanah Islamic Financial Services (Private) Limited	Notice in respect of Participant	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1314	Malik Securities (Private) Limited	Terminated	6-Jan-17	Voluntary Termination	15.10.1
1315	S A Securities (Pvt) Limited	Removal of Restrictions	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1316	SIS Securities (Private) Limited	Removal of Restrictions	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
1317	A.H.K.D. Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1318	Ab Equities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1319	AKD Analytics (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1320	Allied Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1321	AM Chaudhry Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1322	Diyanah Islamic Financial Services (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1323	Escorts Capital Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1324	Faith Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1325	Fincap Investments (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1326	JCR Capital Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1327	Kayzone Capital Markets (SMC-Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1328	Malik Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1329	Mashhadi Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1330	Pak Meezan Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1331	Qasim Mahmood Securities (Smc-Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1332	Reliance Capital (Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1333	S A Securities (Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1334	SIS Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1335	SMB Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1336	SNM Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1337	Stable Securities (Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1338	Stock Vision(Pvt.) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
1339	Allied Bank Limited- KSE Branch	Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
1340	Allied Bank Limited - LSE Branch	Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
1341	Allied Bank Limited - ISE Branch	Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
1342	Sunrise Capital (Private) Limited	Restricted	21-Dec-16	Due to contravention of provisions of the CDC Regulations	15.2.1(a)
1343	Apex Capital Securities (Private) Limited	Restriction	20-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.25, 6.2.6
1344	Apex Capital Securities (Private) Limited	Restriction	20-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4 & 6.2.6
1345	A. I. Securities (Private) Limited	Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1346	B & B Securities (Private) Limited	Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1347	Continental Capital Management (Private) Limited	Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1348	Fawad Yusuf Securities (Private) Limited	Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1349	Irfan Mazhar Securities (Pvt.) Limited	Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1350	Khanani Securities (Pvt.) Limited	Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1351	M H Securities (Pvt.) Limited	Censure	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6
1352	Muhammad Tariq Moti Securities (Pvt) Ltd.	Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1353	Vector Securities (Pvt.) Ltd.	Censure	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6, 3.7
1354	Z.A. Ghaffar Securities (Private) Limited	Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
1355	Ghory's Securities (Private) Limited	Terminated	9-Dec-16	Voluntary Termination	15.10.1
1356	Paramount Securities (SMC-Private) Limited	Terminated	8-Dec-16	Voluntary Termination	15.10.1
1357	AM Chaudhry Securities (Private) Limited	Removal of Restrictions	7-Dec-16	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-6981 dated December 07, 2016.	15.6.2
1358	Y.S. Stocks (Private) Limited	Terminated	2-Dec-16	Voluntary Termination	15.10.1
1359	AM Chaudhry Securities (Private) Limited	Restricted	30-Nov-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-6865 dated November 30, 2016.	15.2.1(a)
1360	A. H. M. Securities (Private) Limited	Restriction	22-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.25, 6.2.6, 3.7
1361	Moonaco Securities (Pvt.) Ltd	Restriction	22-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1362	Invest Forum (SMC-Private) Limited	Removal of Restrictions	16-Nov-16	Consequent to restoration of opening of new sub-accounts and trading in the House Account of Participant by PSX vide notice no. PSX/N-6619 dated November 16, 2016.	15.6.2
1363	First Punjab Modaraba	Terminated	14-Nov-16	Voluntary Termination	15.10.1
1364	MYM Equities (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
1365	Fort Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
1366	Abid Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
1367	Shajar Capital Pakistan (Private) Limited	Restriction	4-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.25, 6.2.6, 3.7
1368	Friendly Securities (Private) Limited	Restriction	4-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.25, 6.2.6, 3.7
1369	Al Habib Capital Markets (Pvt.) Limited	Restriction	1-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1370	Icon Capital Management (Private) Limited	Censure	1-Nov-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6, 3.7
1371	Sunrise Capital (Private) Limited	Censure	1-Nov-16	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6, 3.7



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1372	JCR Capital Securities (Private) Limited	Restricted	31-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-6216 dated October 31, 2016	15.2.1(a)
1373	DJM Securities (Private) Limited	Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1374	Muhammad Salim Kasmani Securities	Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1375	Prime Securities (Pvt.) Limited	Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1376	Q. Ain Khanani Securities (Pvt.) Limited	Restriction	27-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1377	SAAO Capital (Pvt.) Limited	Restriction	27-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1378	Akbani Securities (SMC-PVT) Limited	Terminated	25-Oct-16	Voluntary Termination	15.10.1
1379	Cassim Investment (Private) Limited	Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1380	Ample Securities (Private) Limited	Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1381	GMI Capital Securities (Private) Limited	Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1382	Al-Hoqani Securities & Investment Corporation (Pvt.) Ltd	Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1383	Dalal Securities (Private) Limited	Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1384	Investment Managers Securities (Pvt.) Ltd	Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1385	Zillion Capital Securities (Private) Limited	Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1386	H. P. Byramji & Co. (Pvt.) Limited	Removal of Restrictions	18-Oct-16	Participant has complied with Regulation 6.8.1 of the CDC Regulations,	6.8.1
1387	Prosperity Securities (Private) Limited	Terminated	18-Oct-16	Voluntary Termination	15.10.1
1388	H. P. Byramji & Co. (Pvt.) Limited	Restricted	14-Oct-16	Participant has not complied with Regulation 6.8.1 of the CDC Regulations,	15.6.2
1389	Stock Vision Securities (Private) Limited	Restricted	13-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5666 dated October 13, 2016	15.2.1(a)
1390	Growth Securities (Private) Limited	Restriction	10-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1391	TS Securities (Pvt.) Limited	Restriction	10-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1392	Escorts Capital Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016	15.2.1(a)
1393	Omni Capital Management (Private) Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016	15.2.1(a)
1394	Pak Meezan Securities (Private) Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016	15.2.1(a)
1395	Aziz Dawood Securities (Private) Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016	15.2.1(a)
1396	Star Securities (Private) Limited	Terminated	10-Oct-16	Voluntary Termination	15.10.1
1397	Beaming Investment & Securities (Private) Limited	Restricted	30-Sep-16	Due to suspension of all trading terminals of Participant by PSX vide notice no. PSX/N-5372 dated September 30, 2016	15.2.1(a)
1398	Asian Securities Limited	Restriction	29-Sep-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1399	Mayari Securities (Private) Limited	Restriction	29-Sep-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
1400	MBJ Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
1401	Taha Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
1402	Faith Securities (Private) Limited	Restricted	26-Sep-16	Due to suspension of all trading terminals of Participant by PSX vide notice no. PSX/N-5259 dated September 26, 2016	15.2.1(a)
1403	Taha Securities (Private) Limited	Restricted	22-Sep-16	Due to suspension of all trading terminals of Participant by PSX vide notice no. PSX/N-5179 dated September 21, 2016	15.2.1(a)
1404	Smart Investments Capital Management (Pvt.) Limited	Terminated	8-Sep-16	Voluntary Termination	15.10.1
1405	Pace Investment & Securities (Pvt.) Limited	Removal of Suspension	7-Sep-16	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/446/16 dated September 07, 2016	15.6.2
1406	Pace Investment & Securities (Pvt.) Limited	Suspended	7-Sep-16	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/445/16 dated September 06, 2016	15.2.1(b)
1407	Nizam Securities (Private) Limited	Terminated	1-Sep-16	Voluntary Termination	15.10.1





Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1408	SNM Securities (Private) Limited	Restricted	31-Aug-16	Consequent to switch off of trading terminals of Participant by PSX vide notice no. PSX/N-4841 dated August 31, 2016	15.2.1(a)
1409	AB Equities (Private) Limited	Removal of Suspension	26-Aug-16	Participant has complied with the Regulation 6.8.2	15.6.2
1410	Quality Islamic Investments & Securities (Pvt) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
1411	A.H.K.D. Securities (Private) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
1412	Stable Securities (Pvt) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
1413	Qasim Mahmood Securities (Smc-Pvt) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
1414	Mashhadi Securities (Private) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
1415	SMB Securities (Private) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
1416	H.M.Y. Securities (Private) Limited	Terminated	19-Aug-16	Voluntary Termination	15.10.1
1417	Saima Qaiser Securities (Pvt.) Limited	Suspended	17-Aug-16	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/410/16 dated August 17, 2016	15.2.1(b)
1418	Saima Qaiser Securities (Pvt.) Limited	Removal of Suspension	17-Aug-16	consequent to removal of suspension National Clearing Company of Pakistan vide notice no. NCCPL/CS/411/16 dated August 17, 2016	15.6.2
1419	Cassim Investment (Private) Limited	Removal of Restrictions	12-Aug-16	Participant has complied with Regulation 6.8.1 of the CDC Regulations,	15.6.2
1420	Cassim Investment (Private) Limited	Restricted	11-Aug-16	As the Participant has not complied 6.8.1 of the CDC Regulation	15.3.1(a)
1421	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
1422	Alpha Beta Capital Markets (Private) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
1423	Amin Tai Securities (Private) Limited	Terminated	20-Jul-16	Voluntary Termination	15.10.1
1424	Concept Securities (Private) Limited	Terminated	13-Jul-16	Voluntary Termination	15.10.1
1425	Malik Securities (Private) Limited	Restricted	11-Jul-16	Consequent to imposing restriction by PSX vide notice no. no. PSX/N-4021 dated July 11, 2016	15.2.1(a)
1426	Invest Forum (SMC-Private) Limited	Restricted	29-Jun-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-3911 dated June 29, 2016	15.2.1(a)
1427	Platinum Capital Management (Private) Limited	Terminated	24-Jun-16	Voluntary Termination	15.10.1
1428	Infinite Securities Limited	Suspended	22-Jun-16	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/308/16 dated June 22, 2016	15.2.1(b)
1429	Infinite Securities Limited	Removal of Suspension	22-Jun-16	consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/309/16 dated June 22, 2016	15.6.2
1430	Stock Street (Private) Limited	Terminated	13-Jun-16	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-3611 dated June 13, 2016	15.3.7
1431	Dugan Securities (Private) Limited	Terminated	6-Jun-16	Voluntary Termination	15.10.1
1432	Shehzad Chamdia Securities (Pvt.) Limited	Terminated	3-Jun-16	Voluntary Termination	15.10.1
1433	Stock Street (Private) Limited	Suspended	2-Jun-16	Consequent to suspension of Participant by PSX vide notice no. PSX/N-3457 dated June 01, 2016	15.3.7
1434	Switch Securities (Private) Limited	Restricted	31-May-16	Consequent to imposing restriction by PSX vide letter no. PSX/RAD-0-250 dated May 30, 2016	15.2.1(a)
1435	Mikon Securities (Pvt.) Limited	Terminated	27-May-16	Voluntary Termination	15.10.1
1436	Sohail Raza Moosani (SMC-Pvt) Limited	Terminated	25-May-16	Voluntary Termination	15.10.1
1437	Main Muhammad Akram Securities (Private) Limited	Terminated	18-May-16	Voluntary Termination	15.10.1
1438	Muhammad Bashir Kasmani Securities (Pvt.) Limited	Terminated	17-May-16	Voluntary Termination	15.10.1
1439	Munaf Sattar Securities (Pvt.) Limited	Terminated	9-May-16	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1440	Stock Street (Private) Limited	Restricted	2-May-16	Consequent to suspension of trading terminals by PSX vide notice no. PSX/N-2883 dated May 02, 2016	15.2.1(a)
1441	Pak Meezan Securities (Private) Limited	Removal of Restrictions	28-Apr-16	Consequent certificate of registration as broker is granted by SECP and PSX declared the Participants as active broker vide notice no. PSX/N-2565 dated April 26, 2016	15.6.2
1442	Uzma Shabbir Securities (Private) Limited	Terminated	12-Apr-16	Voluntary Termination	15.10.1
1443	H.R. Securities & Brokerage (Private) Limited	Terminated	7-Apr-16	Voluntary Termination	15.10.1
1444	Al Asar Securities (Private) Limited	Terminated	6-Apr-16	Voluntary Termination	15.10.1
1445	AKD Analytics (Private) Limited	Removal of Suspension	5-Apr-16	Participant has complied with the Regulation 6.8.2	15.6.2
1446	Samba Bank Limited	Terminated	25-Mar-16	Voluntary Termination	15.10.1
1447	Quality Islamic Investments & Securities (Pvt) Limited	Removal of Restrictions	25-Mar-16	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-1869 dated March 25, 2016	15.6.2
1448	Quality Islamic Investments & Securities (Pvt) Limited	Restricted	16-Mar-16	Consequent to Switching off trading terminals by PSX vide notice no. PSX/N-1701 dated March 16, 2016	15.2.1(a)
1449	A.H.K.D. Securities (Private) Limited	Removal of Suspension	4-Mar-16	Participant has complied with the Regulation 6.8.2	15.6.2
1450	A.H.K.D. Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1451	Ab Equities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1452	AKD Analytics (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1453	Pak United Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1454	Invisor Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1455	QF Securities (Pvt) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1456	Khoja'S Capital Management (Pvt.) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1457	Al-Mal Securities & Services Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1458	Mohammed Hanif Moosa	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1459	Investec Securities Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1460	Javed Omer Vohra & Company Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1461	Yousuf Ebrahim	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1462	Shahid Hassan Awan	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1463	Mohammad Tanveer Malik	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1464	Islamabad Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1465	Orion Investments (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1466	Tariq Sayeed Securities (Private) Limited	Removal of Restrictions	1-Mar-16	Participant has complied with the Regulation 6.8.2	15.6.2
1467	Elixir Securities Pakistan (Pvt.) Limited	Restricted	24-Feb-16	As the Participant has not complied 6.8.1 of the CDC Regulation	15.3.1(a)
1468	Elixir Securities Pakistan (Pvt.) Limited	Removal of Restrictions	24-Feb-16	Participant has complied with the Regulation 6.8.1	15.6.2
1469	Fincap Investments (Private) Limited	Notice in respect of Participant	3-Feb-16	Participant has complied with the Regulation 6.8.2	15.6.2
1470	Pak Meezan Securities (Private) Limited	Notice in respect of Participant	3-Feb-16	Participant has complied with the Regulation 6.8.2	15.6.2
1471	Trust Capital (Private) Limited	Suspended	25-Jan-16	on the completion of 60 days of Restriction.	15.3.7(b)
1472	Saima Qaiser Securities (Pvt.) Limited	Removal of Restrictions	22-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
1473	Safe Securities (Private) Limited	Terminated	18-Jan-16	Voluntary Termination	15.10.1
1474	JCR Capital Securities (Private) Limited	Removal of Restrictions	13-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
1475	Kayzone Capital Markets (SMC-Private) Limited	Notice in respect of Participant	7-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
1476	SMB Securities (Private) Limited	Removal of Restrictions	30-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1477	Kayzone Capital Markets (SMC-Private) Limited	Restricted	23-Dec-15	Duet to switching off of all trading terminals by the LSE vide notice no.6621 Dated December 22, 2015 received by CDC on December 23, 2015.	15.2.1(a)
1478	Trust Securities & Brokerage Limited	Removal of Restrictions	22-Dec-15	Consequent to restoration of all trading terminals by the LSE vide notice no.6620 Dated December 22, 2015	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1479	Faith Securities (Private) Limited	Removal of Restrictions	18-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1480	Trust Securities & Brokerage Limited	Restricted	14-Dec-15	Due to switching off of all trading terminals by the LSE vide notice no.6245 Dated December 11, 2015 received by CDC on December 14, 2015.	15.2.1(a)
1481	AKD Analytics (Private) Limited	Restricted	14-Dec-15	Due to switching off of all trading terminals by the LSE vide notice no.6248 Dated December 11, 2015 received by CDC on December 14, 2015.	15.2.1(a)
1482	Faith Securities (Private) Limited	Restricted	14-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1483	Aziz Fidahusein & Company (Private) Limited	Suspended	11-Dec-15	Consequent to suspension of Participant by KSE vide notice no. KSE/N-6454 dated December 10, 2015	15.2.1(b)
1484	Shaukat Shaffi Securities (Private) Limited	Removal of Restrictions	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1485	First Fidelity Leasing Modaraba	Removal of Restrictions	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1486	Sohail Raza Moosani (Smc-Private) Limited	Removal of Restrictions	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1487	JCR Capital Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1488	Saima Qaiser Securities (Pvt.) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1489	SMB Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1490	A.H.K.D. Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1491	AB Equities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1492	Shaukat Shaffi Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1493	AKD Analytics (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1494	H.R. Securities & Brokerage (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1495	Kayzone Capital Markets (SMC-Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1496	Sohail Raza Moosani (SMC-Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1497	Tariq Sayeed Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1498	Pak United Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1499	Aziz Fidahusein & Company (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1500	Pak Meezan Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1501	Invisor Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1502	QF Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1503	First Fidelity Leasing Modaraba	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1504	Khoja's Capital Management (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1505	Al-Mal Securities & Services Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.3.1(a)
1506	Mohammed Hanif Moosa	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1507	Investec Securities Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.3.1(a)
1508	Javed Omer Vohra & Company Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1509	Yousuf Ebrahim	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1510	Shahid Hassan Awan	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1511	Mohammad Tanveer Malik	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1512	Islamabad Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1513	Fincap Investments (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1514	Orion Investments (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1515	Trust Capital (Private) Limited	Restricted	26-Nov-15	Participant under Regulation 6.8.2 of the CDC Regulations discloses negative Capital Adequacy Level	15.3.1(a)
1516	A.H.K.D. Securities (Private) Limited	Removal of Intention to Suspend	24-Nov-15	Participant has settled the CDC outstanding dues.	15.9.1 (e)
1517	Main Muhammad Akram Securities (Private) Limited	Removal of Suspension	17-Nov-15	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/537/15 dated November 17, 2015	15.6.2
1518	Main Muhammad Akram Securities (Private) Limited	Suspended	16-Nov-15	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/536/15 dated November 16, 2015	15.2.1(b)
1519	A.H.K.D. Securities (Private) Limited	Final Intention to Suspend	16-Nov-15	Failure to settle the CDC outstanding dues.	15.9.1 (e)
1520	A.H.K.D. Securities (Private) Limited	Extension of intention to suspend	30-Oct-15	Failure to settle the CDC outstanding dues.	15.9.1 (e)
1521	A.H.K.D. Securities (Private) Limited	Intention to Suspend	15-Oct-15	Failure to settle the CDC outstanding dues.	15.9.1 (e)
1522	Hamza Farhad Securities (Private) Limited	Suspended	29-Sep-15	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/469/15 dated September 29, 2015	15.2.1(b)
1523	Hamza Farhad Securities (Private) Limited	Removal of Suspension	29-Sep-15	consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/470/15 dated September 29, 2015	15.6.2
1524	Invest Capital Markets Limited	Revised Restriction	28-Sep-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1525	BMS Capital (Private) Limited	Removal of Restrictions	28-Sep-15	Consequent to restoration of trading terminals by LSE vide notice no. 4848 dated September 28, 2015	15.6.2
1526	Allied Securities (Private) Limited	Removal of Restrictions	21-Sep-15	Consequent to restoration of trading terminals by LSE vide notice no. 4810 dated September 21, 2015	15.6.2
1527	Hatim Investments & Securities (Pvt.) Limited	Terminated	18-Sep-15	Voluntary Termination	15.10.1
1528	First National Equities Limited	Revised Restriction	15-Sep-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1529	FDM Capital Securities (Private) Limited	Imposition of Penalty	31-Aug-15	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1530	Allied Securities (Private) Limited	Restricted	31-Aug-15	Consequent to Switching off trading terminals by LSE vide notice no. 4535 dated August 31, 2015	15.2.1(a)
1531	QF Securities (Private) Limited	Restricted	31-Aug-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1532	BMS Capital (Private) Limited	Restricted	28-Aug-15	Consequent to expiry of broker registration of Participant as notified by LSE vide notice no. 4478 dated August 26, 2015 received on August 28, 2015	15.2.1(a)
1533	Live Securities Limited	Removal of Restriction for opening of New Sub-Accounts	5-Aug-15	consequent to lifting of restriction of Participants for opening of new sub-accounts by KSE vide notice no. KSE/GEN-6177 dated August 03, 2015	15.6.2
1534	Darson Securities (Private) Limited	Removal of Restriction for opening of New Sub-Accounts	5-Aug-15	consequent to lifting of restriction of Participants for opening of new sub-accounts by KSE vide notice no. KSE/GEN-6188 dated August 04, 2015	15.6.2
1535	Azee Securities (Private) Limited	Removal of Restriction for opening of New Sub-Accounts	5-Aug-15	consequent to lifting of restriction of Participants for opening of new sub-accounts by KSE vide notice no. KSE/GEN-6173 dated August 04, 2015	15.6.2
1536	WE Financial Services Limited	Imposition of Penalty	24-Jul-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1537	Live Securities Limited	Restriction on opening of New Sub-Accounts	22-Jul-15	Due to imposed restriction on Participants for opening of new sub-accounts by KSE vide order no. KSE/GEN-5746 dated July 16, 2015.	15.2.1(a)
1538	Darson Securities (Private) Limited	Restriction on opening of New Sub-Accounts	22-Jul-15	Due to imposed restriction on Participants for opening of new sub-accounts by KSE vide order no.KSE/GEN-5747 dated July 16, 2015	15.2.1(a)
1539	Aziz Fidhusein & Company (Private) Limited	Restricted	22-Jul-15	Consequent to the suspension of Trading Right Entitlement Certificate of the Participant by KSE vide notice no.no. KSE/N-3626 dated July 16, 2015	15.2.1(a)
1540	Azee Securities (Private) Limited	Restriction on opening of New Sub-Accounts	22-Jul-15	Due to imposed restriction on Participants for opening of new sub-accounts by KSE vide order no.KSE/GEN-5721 dated July 16, 2015	15.2.1(a)
1541	Aziz Fidhusein & Company (Private) Limited	Restricted	14-Jul-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1542	H. P. Byramji & Co. (Pvt.) Limited	Restriction & Penalty	6-Jul-15	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1543	Harvest Smartrend Securities (Private) Limited	Terminated	6-Jul-15	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by LSE vide notice no.3069 dated July 03, 2015	15.2.1(a)
1544	Azee Securities (Private) Limited	Removal of Restrictions	2-Jul-15	Participant represented to CDC vide letter dated July 02, 2015 to consider removing the Restriction against deposit amount sufficient to settle the claims.	15.6.2
1545	Pak Meezan Securities (Private) Limited	Restricted	1-Jul-15	Due to suspension of registration Participant as Broker by Securities Exchange Commission of Pakistan vide order dated June 30, 2015	15.2.1(a)
1546	Reliance Capital (Private) Limited	Restricted	1-Jul-15	Due to suspension of registration Participant as Broker by Securities Exchange Commission of Pakistan vide order dated June 30, 2015	15.2.1(a)
1547	Azee Securities (Private) Limited	Restricted	1-Jul-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1548	Investforum (Smc-Pvt) Limited	Imposition of Penalty	19-Jun-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1549	ACE Securities (Private) Limited	Terminated	18-May-15	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by KSE vide notice no. KSE/N-2793 dated May 15, 2015 .	15.3.7
1550	First National Equities Limited	Restricted	14-May-15	Due to contravention of provision of Regulation 6.7.3 of the CDC Regulations	15.2.1(a)
1551	ACE Securities (Private) Limited	Suspended	14-May-15	Consequent to suspension of Participant by KSE vide notice no. KSE/N-2754 dated May 13, 2015	15.2.1(b)
1552	Invest Capital Markets Limited	Imposition of Penalty & Restricted	13-May-15	Due to contravention of provision of Regulation 6.7.3 of the CDC Regulations	14.3.1 (b) and 15.2.1(a)
1553	MAK Securities (Private) Limited	Terminated	30-Apr-15	Voluntary Termination	15.10.1
1554	ACE Securities (Private) Limited	Suspended	27-Apr-15	Consequent to Switching off trading terminals by KSE vide email dated April 27, 2015 and Directive of SECP vide Letter no. 4(BRK-129)SE/SMD/2001 dated April 27, 2015.	15.2.1(b)
1555	S. Z. Securities (Pvt.) Limited	Imposition of Penalty	24-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1556	Alfa Adhi Securities (Private) Limited	Censure	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1557	Ali Husain Rajabali Limited	Censure	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1558	AWJ Securities (Private) Limited	Censure	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1559	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Censure	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1560	Prime Securities (Pvt.) Limited	Censure	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1561	Azee Securities (Private) Limited	Imposition of Penalty	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1562	Alfalalah Securities (Private) Limited	Imposition of Penalty	14-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1563	Aziz Fidahusein & Company (Private) Limited	Imposition of Penalty	14-Apr-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
1564	KASB Securities Limited	Removal of Restrictions	14-Apr-15	Pursuant to directive issued vide letter no. SMD/SE/2(20)2014 dated April 13, 2015 of the SECP.	-
1565	First National Equities Limited	Imposition of Penalty	2-Apr-15	Non-Compliance of CDC Regulations	6.2.2, 6.2.6 & 6.7.3
1566	Capital Vision Securities (Private) Limited	Terminated	31-Mar-15	Consequent to declaring the participant as defaulter by Lahore stock Exchange Limited vide notice no. LSE/1417 dated March 31, 2015.	15.3.7
1567	Patel Securities (Pvt.) Limited	Imposition of Penalty	9-Mar-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
1568	Moosani Securities (Pvt.) Limited	Terminated	6-Mar-15	Voluntary Termination	15.10.1
1569	Main Muhammad Akram Securities (Private) Limited	Imposition of Penalty	5-Mar-15	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1570	A.H.K.D. Securities (Private) Limited	Removal of Restrictions	3-Mar-15	Consequent to restoration of trading terminals by the Karachi Stock Exchange Limited vide notice no. 1188 dated March 03, 2015	15.6.2
1571	Capital Vision Securities (Private) Limited	Imposition of Penalty	27-Feb-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1572	Motiwala Securities (Private) Limited	Removal of Suspension	18-Feb-15	Consequent to Change of status of participant as an active TRE Holder of Karachi Stock Exchange as notified by KSE vide notice no. KSE/N-702 dated February 17, 2015.	15.6.2
1573	Universal Equities (Private) Limited	Removal of Restrictions	16-Feb-15	Consequent to Restoration of Trading terminals of participant by Lahore Stock Exchange as notified by LSE vide notice no. 0643 dated February 13, 2015.	15.6.2
1574	Excel Securities (Pvt.) Limited	Terminated	13-Feb-15	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE vide notice no. 035 of 2015 dated February 13, 2015.	15.3.7
1575	H.H.K. Securities (Pvt.) Limited	Removal of suspension	29-Jan-15	Consequent to Restoration of Trading of participant by Karachi Stock Exchange as notified by KSE vide notice no. KSE/N-419 dated January 29, 2015.	15.6.2
1576	A. S. Securities (Private) Limited	Removal of suspension	22-Jan-15	Consequent to Restoration of Trading of participant by Lahore Stock Exchange as notified by LSE vide notice no. 0276 dated January 16, 2015.	15.6.2
1577	Aazeb Securities (Private) Limited	Terminated	24-Dec-14	Voluntary Termination	15.10.1
1578	Dossanis Securities (Private) Limited	Censure	12-Dec-14	Non-Compliance of CDC Regulations	6.2.6
1579	KASB Securities Limited	Relaxation on Restriction	3-Dec-14	Pursuant to directive issued vide letter no. SMD/SE/2(20)2014 dated December 02, 2014 of the SECP.	-
1580	KASB Securities Limited	Restricted	18-Nov-14	Pursuant to directive issued vide letter no. SMD/SE/2(20)2014 dated November 17, 2014 of the SECP.	-
1581	Harvest Smartrend Securities (Private) Limited	Restricted	31-Oct-14	Consequent to switching off of all trading terminals by the LSE vide notice no.7910 Dated October 31, 2014.	15.2.1(a)
1582	Invest Capital Markets Limited	Restricted	24-Sep-14	Due to contravention of provision of Regulation 6.7.3 of the CDC Regulations	15.2.1(a)
1583	AFIC Securities (Private) Limited	Terminated	4-Sep-14	Voluntary Termination	15.10.1
1584	AFIC Securities (Private) Limited	Restricted	3-Sep-14	Consequent to Switching off trading terminals by LSE on the request of AFIC Securities (Private) Limited	15.2.1(a)
1585	Ismail Iqbal Securities (Pvt.) Limited	Imposition of Penalty	25-Aug-14	Non-Compliance of CDC Regulations	6.2.2, 6.2.6 & 6.7.3
1586	FDM Capital Securities (Private) Limited	Imposition of Penalty	6-Aug-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
1587	Beaming Investment & Securities (Private) Limited	Removal of Suspension	25-Jul-14	Consequent to Revocation of Suspension of participant by Karachi Stock Exchange as notified by KSE vide notice no. ISE/RAD/205 dated July 25, 2014.	15.6.2
1588	Diyanah Islamic Financial Services (Private) Limited	Restricted	20-Jun-14	Consequent to broker registration of the Participant has expired as notified by ISE vide notice no. ISE/RAD/161 dated June 16, 2014	15.1.1(a) (ii) to (iv)
1589	Ghory's Securities (Private) Limited	Removal of suspension	18-Jun-14	Consequent to change of status of participant as an active TRE Certificates holder of Karachi Stock Holder as notified by KSE vide notice no. KSE/N-3337 dated June 18, 2014.	15.6.2
1590	Ghory's Securities (Private) Limited	Suspended	11-Jun-14	Consequent to completion of 60 Business Day of Restriction	15.3.7(b)
1591	Invest Capital Markets Limited	Imposition of Penalty	10-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1592	High Land Securities (Private) Limited	Censure	5-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1593	Din Capital (Private) Limited	Censure	8-May-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6





Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1594	Ayub Chaudhry Investments (Private) Limited	Censure	24-Apr-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1595	Muhammad Tariq Moti Securities (Pvt.) Limited	Censure	10-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
1596	SAAO Capital (Pvt.) Limited	Censure	9-Apr-14	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1597	MSMANIAR Financials (Pvt.) Limited	Imposition of Penalty	9-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
1598	K. H. S. Securities (Pvt.) Limited	Imposition of Penalty	7-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1599	Islamabad Securities (Private) Limited	Suspended	7-Apr-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE	15.2.1(b)
1600	Aziz Fidhusein & Company (Private) Limited	Censure	26-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
1601	Highlink Capital (Private) Limited	Terminated	26-Mar-14	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE vide notice no. 1585 dated March 24, 2014	15.3.7
1602	SNM Securities (Private) Limited	Removal of Restrictions	25-Mar-14	Consequent to change of status of participant as an active TRE Certificates holder of Karachi Stock Holder as notified by KSE vide notice no. KSE/N-1624 dated March 24, 2014.	15.2.1(b)
1603	Alfalsh Securities (Private) Limited	Censure	21-Mar-14	Non-Compliance of CDC Regulations	6.2.6
1604	Excel Securities (Pvt.) Limited	Suspended	21-Mar-14	Pursuant to directive dated February 20, 2014 of the SECP.	15.2.1(b)
1605	Ghory's Securities (Private) Limited	Restricted	19-Mar-14	Consequent to Switching off trading terminals by KSE on the request of Ghory's Securities (Private) Limited	15.2.1(a)
1606	Multiline Securities (Pvt.) Limited	Censure	13-Mar-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
1607	Apex Capital Securities (Private) Limited	Censure	4-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1608	Pearl Brokerage (Private) Limited	Imposition of Penalty	4-Mar-14	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1609	Maximus Securities (Private) Limited	Terminated	4-Mar-14	Voluntary Termination	15.10.1
1610	FINCAP Investments (Private) Limited	Suspended	21-Feb-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE vide notice no. ISE/2014/050 dated February 21, 2014.	15.2.1(b)
1611	Highlink Capital (Private) Limited	Suspended	20-Feb-14	Pursuant to order dated February 20, 2014 of the SECP.	15.2.1(b)
1612	Highlink Capital (Private) Limited	Restricted	18-Feb-14	Consequent to switching off of all trading terminals by the LSE vide notice no.856 Dated February 17, 2014, due to Suspension of its registration as a Broker by SECP.	15.2.1(a)
1613	Capital Vision Securities (Private) Limited	Censure	14-Feb-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
1614	First National Equities Limited	Imposition of Penalty	14-Feb-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 and 6.2A.1
1615	Nasir Ali Shah Bukhari	Terminated	14-Feb-14	Voluntary Termination	15.10.1
1616	Prime Securities (Pvt.) Limited	Censure	13-Feb-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1617	Escorts Capital Limited	Imposition of Penalty	31-Jan-14	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1618	G. R. Securities (SMC-Pvt.) Limited	Terminated	30-Jan-14	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE	15.3.7
1619	Maximus Securities (Private) Limited	Restricted	29-Jan-14	Consequent to expiry of broker registration as notified by LSE.	15.2.1(a)
1620	G. R. Securities (SMC-Pvt.) Limited	Suspended	13-Jan-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE	15.1.1(a) (ii) to (iv)
1621	Diyanah Islamic Financial Services (Private) Limited	Restricted	31-Dec-13	Consequent to switching off of all trading terminals by the ISB and Cancellation of its registration as a Broker by SECP.	15.1.1(a) (ii) to (iv)
1622	SNM Securities (Private) Limited	Restricted	26-Dec-13	Consequent to deactivation of all trading terminals by the KSE	15.1.1(a)
1623	M. J. Memon Securities (Pvt.) Limited	Censure	18-Dec-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1624	Maha Securities (Pvt.) Limited	Censure	9-Dec-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1625	Highlink Capital (Private) Limited	Restricted	29-Nov-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1626	Highlink Capital (Private) Limited	Removal of Restrictions	29-Nov-13	Consequent to restoration of all trading terminals by the LSE in view of order dated 29-11-2013 of Court of Senior Civil Judge, Lahore	15.6.2
1627	Hameed Mukhtar Chaudhry	Terminated	27-Nov-13	Voluntary Termination	15.10.1
1628	Excel Securities (Pvt.) Limited	Censure	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1629	Main Muhammad Akram Securities (Private) Limited	Censure	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1630	MTM Securities (Private) Limited	Terminated	20-Nov-13	Voluntary Termination	15.10.1
1631	Value Stock Securities (Pvt.) Limited	Imposition of Penalty	18-Nov-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1632	MTM Securities (Private) Limited	Restricted	18-Nov-13	Consequent to Switching off trading terminals by LSE on the request of MTM Securities (Private) Limited	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1633	Trade-In-Securities (Pvt.) Limited	Censure	7-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1634	Highlink Capital (Private) Limited	Imposition of Penalty	6-Nov-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1635	MCFSL - Trustee MCFSL Trustee Atlas Fund of Funds	Terminated	6-Nov-13	Voluntary Termination	15.10.1
1636	Jamshaid & Hasan Securities (Pvt.) Limited	Imposition of Penalty	5-Nov-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1637	Time Securities (Pvt.) Limited	Imposition of Penalty	5-Nov-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.6
1638	Ghani Osman Securities (Private) Limited	Removal of Restrictions	28-Oct-13	Pursuant to Order dated October 26, 2013 of the Honorable High Court of Sindh at Karachi in Civil Suit No. 1346 of 2013	Court Order
1639	Ghani Osman Securities (Private) Limited	Restricted	25-Oct-13	Consequent to Suspension of registration of Participant by SECP vide Order dated October 25, 2013	15.2.1(a)
1640	Fair Edge Securities (Private) Limited	Censure	24-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1641	Azee Securities (Private) Limited	Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1642	TS Securities (Pvt.) Limited	Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1643	Apex Capital Securities (Private) Limited	Removal of Intention to Suspend	4-Oct-13	Participant has settled the fine imposed by CDC	15.9.1(e)
1644	Dosslanis Securities (Private) Limited	Imposition of Penalty	2-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1645	Gul Dhami Securities (Private) Limited	Censure	30-Sep-13	Non-Compliance of CDC Regulations	6.2.6
1646	AMCAP Securities (Private) Limited	Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1647	First Pakistan Securities Limited	Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1648	Dattoo Securities (Private) Limited	Censure	27-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1649	Intermarket Securities Limited	Censure	26-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1650	Apex Capital Securities (Private) Limited	Imposition of Penalty / Intention to Suspend	23-Sep-13	Penalty imposed on non-compliances highlighted in Inspection of Participant Record and Intention to Suspend in case of non removing discrepancies and failure to pay amount of fine.	14.3.1 (b)
1651	FDM Capital Securities (Private) Limited	Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1652	Oriental Securities (Pvt.) Limited	Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1653	Standard Capital Securities (Pvt.) Limited	Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1654	Ismail Iqbal Securities (Pvt.) Limited	Imposition of Penalty	28-Aug-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1655	SNM Securities (Private) Limited	Censure	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1656	Axis Global Limited	Imposition of Penalty	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1657	Sakarwala Capital Securities (Pvt.) Limited	Censure	20-Aug-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1658	Akhai Securities (Private) Limited	Imposition of Penalty	31-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1659	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Terminated	29-Jul-13	Consequent to forfeiture of Trading Right Entitlement Certificate of the Participant by the KSE	15.3.7
1660	DJM Securities (Private) Limited	Imposition of Penalty	24-Jul-13	Non-Compliance of CDC Regulations	6.7.2 & 6.2A.1
1661	Live Securities Limited	Imposition of Penalty	19-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1662	Invest Capital Markets Limited	Imposition of Penalty	11-Jul-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.1
1663	Diyanah Islamic Financial Services (Private) Limited	Imposition of Penalty	10-Jul-13	Non-Compliance of CDC Regulations	6.2A.1 & 6.2.6
1664	Dalia Securities (Private) Limited	Removal of Restrictions	5-Jul-13	Consequent of re-registration as broker under the Brokers & Agents Registration Rules (the "Rules").	15.6.2
1665	Arif Majid Chaudhry	Removal of Restrictions	26-Jun-13	Consequent to restoration of trading right entitlement by the LSE and withdrawal of directives of SECP	Rule 7
1666	Arif Majid Chaudhry	Terminated	26-Jun-13	Voluntary Termination	15.10.1
1667	Continental Capital Management (Private) Limited	Censure	21-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1668	Irfan Mazhar Securities (Pvt.) Limited	Censure	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1669	KASB Securities Limited	Censure	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1670	Dawood Equities Ltd	Imposition of Penalty	21-Jun-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.2.6
1671	Mian Nusrat-Ud-Din	Imposition of Penalty	21-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1672	Darson Securities (Private) Limited	Censure	19-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1673	M.R.A. Securities (Pvt.) Limited	Censure	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1674	MSMANIAR Financials (Pvt.) Limited	Imposition of Penalty	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
1675	Live Securities Limited	Removal of Restrictions	17-Jun-13	As the Participant has provided the evidence in form of Sub-Account Opening Form from the Complainant	15.6.3
1676	Live Securities Limited	Extension of Restricted Period	10-Jun-13	Due to non-resolution of investor's complaint against the Participant	15.3.1
1677	Alfalsh Securities (Private) Limited	Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.7.3
1678	Progressive Securities (Private) Limited	Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.6
1679	Live Securities Limited	Restricted	5-Jun-13	Restriction Imposed due to no clarification is given by the Participant w.r.t. Investor complaint	15.3.1
1680	Ghani Osman Securities (Private) Limited	Censure	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1681	Multiline Securities (Pvt.) Limited	Censure	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6
1682	Moonaco Securities (Pvt.) Limited	Censure	3-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1683	Bawa Securities (Private) Limited	Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1684	S. Z. Securities (Pvt.) Limited	Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
1685	Alfa Adhi Securities (Private) Limited	Censure	24-May-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1686	Adeel & Nadeem Securities (Pvt.) Limited	Imposition of Penalty	24-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1687	Aziz Fidahusein & Company (Private) Limited	Imposition of Penalty	22-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1688	Hameed Mukhtar Chaudhry	Removal of Restrictions	21-May-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
1689	K. H. S. Securities (Pvt.) Limited	Imposition of Penalty	17-May-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1690	ZHV Securities (Private) Limited	Terminated	15-May-13	Consequent to Forfeiture of TRE Certificate by KSE	15.3.7
1691	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Suspended	15-May-13	Consequent to suspension of TRE Certificate by KSE	15.2.1(b)
1692	Saliha Haroon	Terminated	15-May-13	Voluntary Termination	15.10.1
1693	B & B Securities (Private) Limited	Imposition of Penalty	14-May-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.7.3
1694	We Financial Services Limited	Imposition of Penalty	14-May-13	Non-Compliance of CDC Regulations	6.2.2 and 6.7.3
1695	Zahid Ali Habib	Terminated	14-May-13	Voluntary Termination	15.10.1
1696	SAZ Capital Securities (Pvt.) Limited	Censure	9-May-13	Non-Compliance of CDC Regulations	6.2.6
1697	Arif Latif	Terminated	9-May-13	Voluntary Termination	15.10.1
1698	Mian Nusrat-Ud-Din	Terminated	9-May-13	Voluntary Termination	15.10.1
1699	Mohammad Amer Riaz	Terminated	9-May-13	Voluntary Termination	15.10.1
1700	Muhammad Ayub Chaudhry	Terminated	9-May-13	Voluntary Termination	15.10.1
1701	Sajid Masood	Terminated	9-May-13	Voluntary Termination	15.10.1
1702	Saima Qaiser	Terminated	9-May-13	Voluntary Termination	15.10.1
1703	First Fidelity Leasing Modaraba	Restricted	8-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1704	Investforum (Smc-Pvt) Limited	Imposition of Penalty	7-May-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.6 & 6.2A.1
1705	Seven Star Securities (Pvt.) Limited	Imposition of Penalty	7-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1706	Arif Latif	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1707	Mian Nusrat-Ud-Din	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1708	Mohammad Amer Riaz	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1709	Zahid Ali Habib	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1710	Arif Majid Chaudhry	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1711	Saliha Haroon	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1712	Muhammad Ayub Chaudhry	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1713	Hameed Mukhtar Chaudhry	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1714	Nasir Ali Shah Bukhari	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1715	Sajid Masood	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1716	Saima Qaiser	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1717	H. M. Idrees H. Adam	Terminated	6-May-13	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1718	Tewfiq Mohammed Amin Fikree	Terminated	6-May-13	Voluntary Termination	15.10.1
1719	Muhammad Tariq Moti	Terminated	6-May-13	Voluntary Termination	15.10.1
1720	Rayomund J.H.P Byramji	Terminated	6-May-13	Voluntary Termination	15.10.1
1721	Dawood Mohammad	Terminated	6-May-13	Voluntary Termination	15.10.1
1722	Surmawala Securities (Private) Limited	Imposition of Penalty	18-Apr-13	Non-Compliance of CDC Regulations	6.2.6, 6.2A.1 & 6.7.3
1723	Apex Capital Securities (Private) Limited	Imposition of Penalty	16-Apr-13	Penalty imposed on non-compliances highlighted in Inspection of Participant Record and Intention to Suspend in case of non removing discrepancies and failure to pay amount of fine.	6.2.2, 6.2.6, 6.2A.1, 6.7.2, & 6.7.3
1724	A. I. Securities (Private) Limited	Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1725	G. R. Securities (SMC-Pvt.) Limited	Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
1726	Sajid Masood	Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1727	Stock Street (Private) Limited	Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.2A.1 & 9.1.1
1728	ZHV Securities (Private) Limited	suspended	11-Apr-13	Consequent to suspension of TRE Certificate by the KSE	15.2.1(b)
1729	Dalia Securities (Private) Limited	Censure	9-Apr-13	Non-Compliance of CDC Regulations	6.2.6
1730	Pearl Brokerage (Private) Limited	Censure	9-Apr-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
1731	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	suspended	9-Apr-13	Consequent to suspension of clearing member account by the NCCPL	15.2.1(b)
1732	BlackStone Equities (Private) Limited	Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1733	Creative Capital Securities (Private) Ltd.	Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1734	Prosperity Securities (SMC-Pvt.) Limited	suspended	3-Apr-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
1735	N.U.A Securities (Pvt.) Limited	Imposition of Penalty	28-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1736	Techno Fundamental Securities (Private) Limited	Censure	27-Mar-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
1737	Fair Deal Securities (Private) Limited	Imposition of Penalty	27-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1738	Maan Securities (Pvt.) Limited	Imposition of Penalty	27-Mar-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1739	A. H. M. Securities (Private) Limited	Imposition of Penalty	26-Mar-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 & 6.7.3
1740	Ms. Saliha Haroon	Imposition of Penalty	26-Mar-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1741	Alfalsh Securities (Private) Limited	Removal of Restrictions	25-Mar-13	Consequent to restoration of trading right entitlement certificate by the KSE	15.6.2
1742	First National Equities Limited	Removal of Intention to Suspend	18-Mar-13	Participant has settled the fine imposed by CDC	15.9.1(e)
1743	Switch Securities (Private) Limited	Censure	15-Mar-13	Non-Compliance of CDC Regulations	6.2.6
1744	Alfalsh Securities (Private) Limited	Restricted	15-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
1745	ZHV Securities (Private) Limited	Restricted	13-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
1746	Friendly Securities (Private) Limited	Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1747	Khanani Securities (Pvt.) Limited	Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.2A.1
1748	Harvest Smartrend Securities (Private) Limited	Imposition of Penalty	4-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2A.1 & 9.1.1
1749	First National Equities Limited	Intention to Suspend	4-Mar-13	Due to failure to pay the fine to CDC	15.9.1(e)
1750	M. J. Memon Securities (Pvt.) Limited	Censure	27-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1751	Dalia Securities (Private) Limited	Restricted	26-Feb-13	Consequent to switching off the trading terminal by the ISE due to non-submission of renewal of registration document to SECP	15.2.1(a)
1752	Sherman Securities (Pvt.) Limited	Imposition of Penalty	20-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1753	GMI Capital Securities (Private) Limited	Imposition of Penalty	19-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1754	KSR Stock Brokerage (Pvt.) Limited	Censure	15-Feb-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 9.1.1
1755	Arif Majid Chaudhry	Restricted	15-Feb-13	SECP directive pursuant to Rule 7 of Central Depository Companies (Establishment and Regulation) Rules, 1996	-
1756	Baba Equities (Pvt.) Limited	Censure	12-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
1757	MCBFSL - Trustee AH Dow Jones Pak Titans 15 Index Fund	Terminated	12-Feb-13	Voluntary Termination	15.10.1
1758	Safe Securities (Private) Limited	Censure	11-Feb-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1759	SAAO Capital (Pvt.) Limited	Imposition of Penalty	11-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 & 6.7.3
1760	Arif Majid Chaudhry	Removal of Suspension	11-Feb-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1761	First National Equities Limited	Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.7.3, 9.1.1 & 6.2A.1
1762	Habib Metropolitan Financial Services Limited	Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1763	Infinite Securities Limited	Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1764	Muhammad Ayub Chaudhry	Imposition of Penalty	28-Jan-13	Non-Compliance of CDC Regulations	6.2.2 & 9.1.1
1765	Jahanzaib Gondal	Terminated	24-Jan-13	Voluntary Termination	15.10.1
1766	A. S. Securities (Private) Limited	Suspended	11-Jan-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
1767	Prosperity Securities (SMC-Pvt) Limited	Restricted	7-Jan-13	Consequent to Switching off trading terminals by the ISE, on the request of the Participant	15.2.1(a)
1768	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Removal of Intention to Suspend	4-Jan-13	Participant has settled the fine imposed by CDC	15.9.1(e)
1769	AWJ Securities (Private) Limited	Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1770	Excel Securities (Pvt.) Limited	Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
1771	Zafar Securities (Private) Limited	Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1772	Imperial Investments (Private) Limited	Terminated	24-Dec-12	Consequent to expulsion of Participant by the KSE.	15.3.7
1773	ACE Securities (Private) Limited	Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1774	Maha Securities (Pvt.) Limited	Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2A.1 & 9.1.1
1775	Time Securities (Pvt.) Limited	Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.2.3, 6.2.6, 6.2A.1 & 6.7.3
1776	Ahmad Shoaib Akram	Terminated	18-Dec-12	Voluntary Termination	15.10.1
1777	Arif Majid Chaudhry	Suspended	17-Dec-12	Consequent to suspension of trading right entitlement certificate by the LSE	15.2.1(b)
1778	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Intention to Suspend	17-Dec-12	Due to failure to pay the fine to CDC	15.9.1(e)
1779	Arif Majid Chaudhry	Restricted	14-Dec-12	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1780	First National Equities Limited	Restricted	12/3/2012	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1781	Arif Majid Chaudhry	Intention to Suspend	30-Nov-12	Due to failure to pay CDC dues	15.9.1(e)
1782	Moosa, Noor Mohammad, Shahzada & Co (Pvt.) Limited	Imposition of Penalty	20-Nov-12	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.6, 6.7.2 & 6.7.3
1783	Imperial Investments (Private) Limited	Suspended	13-Nov-12	Consequent to suspension of trading right entitlement certificate by the ISE	15.2.1(b)
1784	Highlink Capital (Private) Limited	Imposition of Penalty	30-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1785	Imperial Investments (Private) Limited	Imposition of Penalty	24-Oct-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.6 & 9.1.1
1786	Imperial Investments (Private) Limited	Suspended	22-Oct-12	Due to non-compliance of regulatory requirements with respect to transfer of securities and non payment of Penalty	15.2.1(b)
1787	Value Stock Securities (Pvt.) Limited	Imposition of Penalty	19-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1788	Pearl Securities Limited	Imposition of Penalty	18-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1789	A. S. Securities (Private) Limited	Restricted	15-Oct-12	Consequent to Switching off trading terminals by the LSE on the request of the Participant.	15.2.1(a)
1790	Invisor Securities (Private) Limited	Restricted	12-Oct-12	Consequent to Switching off trading terminals by the KSE on the request of the Participant.	15.2.1(a)
1791	Imperial Investments (Private) Limited	Restricted	12-Oct-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1792	Dattoo Securities (Private) Limited	Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1793	H. P. Byramji & Co. (Pvt.) Limited	Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1794	Rayomund J.H.P. Byramji	Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1795	Pearl Capital Management (Private) Limited	Terminated	4-Oct-12	Membership suspended by the KSE.	15.3.7
1796	Intermarket Securities Limited	Imposition of Penalty	3-Oct-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.3 and 6.2.6
1797	TS Securities (Pvt.) Limited	Imposition of Penalty	28-Sep-12	Non-Compliance of CDC Regulations	6.2 & 6.2.6
1798	Gul Dhami Securities (Private) Limited	Imposition of Penalty	26-Sep-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1799	F.M. Securities (Private) Limited	Imposition of Penalty	14-Sep-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
1800	Jamshaid & Hasan Securities (Pvt.) Limited	Imposition of Penalty	13-Sep-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1801	Pearl Capital Management (Private) Limited	Imposition of Penalty	13-Sep-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.2, 6.7.3 & 9.1.1
1802	Jahangir Siddiqui & Company Limited	Terminated	11-Sep-12	Voluntary Termination	15.10.1
1803	Dossanis Securities (Private) Limited	Imposition of Penalty	30-Aug-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1804	Pearl Capital Management (Private) Limited	Restricted	24-Aug-12	Consequent to Switching off trading terminals by the KSE on the request of the Participant.	15.2.1(a)





Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1805	Pearl Capital Management (Private) Limited	Suspended	24-Aug-12	Membership suspended by the KSE.	15.2.1(b)
1806	NBP Trustee - NI(UT) (LOC) Fund	Terminated	15-Aug-12	Voluntary Termination	15.10.1
1807	First Pakistan Securities Limited	Imposition of Penalty	9-Aug-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
1808	Switch Securities (Private) Limited	Removal of Intention	8/3/2012	Participant has settled the CDC outstanding dues	15.9.1(e)
1809	Unex Securities (Pvt.) Limited	Censure	1-Aug-12	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
1810	AMCAP Securities (Private) Limited	Imposition of Penalty	1-Aug-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1811	Arif Majid Chaudhry	Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1812	Live Securities Limited	Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1813	Hum Securities Limited	Imposition of Penalty	25-Jul-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1814	Hum Securities Limited	Imposition of Penalty	24-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 9.1.1
1815	Salma	Terminated	20-Jul-12	Voluntary Termination	15.10.1
1816	YKD Securities (Pvt.) Limited	Terminated	19-Jul-12	Voluntary Termination	15.10.1
1817	Al-Hamd Investment and Securities (Private) Ltd.	Terminated	19-Jul-12	Voluntary Termination	15.10.1
1818	Darson Securities (Private) Limited	Removal of Restrictions	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
1819	Darson Securities (Private) Limited	Removal of Restrictions	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
1820	Darson Securities (Private) Limited	Imposition of Penalty	25-Jun-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1821	Al-Hamd Investment and Securities (Private) Ltd.	Suspended	25-Jun-12	Consequent to completion of 60 Business Days of Restrictions	15.3.7(b)
1822	Salman Capital Investments (Private) Limited	Terminated	22-Jun-12	Voluntary Termination	15.10.1
1823	Invisor Securities (Private) Limited	Removal of Restrictions	18-Jun-12	Consequent to change of status as an Active Member by KSE	15.6.2
1824	Dawoodi Alibhoy Morkas	Terminated	14-Jun-12	Voluntary Termination	15.10.1
1825	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Terminated	13-Jun-12	Consequent to cancellation of the membership by the ISE	15.3.7
1826	Beaming Investment & Securities (Private) Limited	Suspended	8-Jun-12	Consequent to Suspension of Membership by the ISE.	15.2.1(b)
1827	United Capital Securities (Private) Limited	Terminated	6/3/2012	Consequent to expulsion of Participant by the KSE.	15.3.7
1828	H.H.K. Securities (Pvt.) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1829	Khoja's Capital Management (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1830	Mr. Haroon Suleman	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1831	MAK Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1832	Motiwala Securities (Private) Limited	Restricted	3-Jun-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1833	Naveed H. M. Idrees	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1834	Latif Suleman Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1835	H.H.K. Securities (Pvt.) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
1836	Motiwala Securities (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
1837	Khoja's Capital Management (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
1838	Khawaja Securities (Pvt.) Limited	Removal of Suspension	30-May-12	Consequent to restoration of trading terminals	15.6.2
1839	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Suspended	28-May-12	Consequent to Suspension of membership by the ISE.	15.2.1(b)
1840	Beaming Investment & Securities (Private) Limited	Restricted	28-May-12	Consequent to Switching off trading terminals by the ISE.	15.2.1(a)
1841	Beaming Investment & Securities (Private) Limited	Censure	25-May-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.3 & 6.2.6
1842	SAL Securities (Pvt.) Limited	Censure	25-May-12	Non-Compliance of CDC Regulations	6.2.6 & A041
1843	A.H.K.D. Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1844	Invisor Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)
1845	Arif Habib Securities Limited	Terminated	23-May-12	Voluntary Termination	15.10.1
1846	Escorts Investment Bank Limited	Terminated	22-May-12	Voluntary Termination	15.10.1
1847	MCFSL - Trustee UBL Capital Protected Fund-II	Terminated	22-May-12	Voluntary Termination	15.10.1
1848	Stock Master Securities (Private) Limited	Terminated	16-May-12	Consequent to Expulsion of the membership by the LSE	15.3.7
1849	Latif Suleman Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
1850	Aqeel Karim Dhedhi Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
1851	Hum Securities Limited	Terminated	8-May-12	Voluntary Termination	15.10.1
1852	Khoja's Capital Management (Private) Limited	Intention to Suspend	30-Apr-12	Due to failure to pay CDC dues	15.9.1(e)
1853	Naveed H. M. Idrees	Terminated	30-Apr-12	Voluntary Termination	15.10.1
1854	Beaming Investment & Securities (Private) Limited	Restricted	27-Apr-12	Consequent to Switching off of trading terminals by the LSE.	15.2.1(a)
1855	Y. S. Securities & Services (Private) Limited	Terminated	24-Apr-12	Consequent to Expulsion by the LSE	15.3.7
1856	Trust Capital (Private) Limited	Restricted	18-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
1857	Arif Majid Chaudhry	Removal of Intention to Suspend	18-Apr-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1858	Darson Securities (Private) Limited	Restricted	12-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1859	Darson Securities (Private) Limited	Restricted	12-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1860	Salman Capital Investments (Private) Limited	Restricted	12-Apr-12	Consequent to change of status as inactive member	15.2.1(a)
1861	Stock Master Securities (Private) Limited	Suspended	10-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(b)
1862	Y. S. Securities & Services (Private) Limited	Suspended	10-Apr-12	Consequent to Suspension of membership by the LSE.	15.2.1(b)
1863	Y. S. Securities & Services (Private) Limited	Restricted	9-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
1864	Stock Master Securities (Private) Limited	Restricted	5-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1865	Dawoodi Alibhoy Morkas	Restricted	5-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
1866	Al-Haq Securities (Pvt.) Limited	Censure	30-Mar-12	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1867	Ms. Saliha Haroon	Censure	30-Mar-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1868	Al-Hamd Investment and Securities (Private) Ltd.	Restricted	30-Mar-12	Consequent to Switching off of trading terminals by the LSE.	15.2.1(a)
1869	Stock Master Securities (Private) Limited	Intention to Restrictions	30-Mar-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.1.1(b)(iii)
1870	Dossanis Securities (Private) Limited	Intention to Restrictions	30-Mar-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.1.1(b)(iii)
1871	Harvest Smartrend Securities (Private) Limited	Removal of Intention	27-Mar-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1872	Universal Equities (Private) Limited	Restricted	26-Mar-12	Non-Renewal of Broker Registration Certificate	15.2.1(a)
1873	MAK Securities (Private) Limited	Terminated	22-Mar-12	Voluntary Termination	15.10.1
1874	Haroon Suleman	Terminated	22-Mar-12	Ceasing of as Member of KSE	15.2.1(c)
1875	First National Equities Limited	Removal of Restrictions	22-Mar-12	Participant complied with Regulatory requirements relating to transfer of securities	15.2.1(a)
1876	Mr. Shahid Nauman Rana	Terminated	16-Mar-12	Due to declaration of the Participant as defaulter by the LSE	15.2.1(c)
1877	Hum Securities Limited	Restricted	13-Mar-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulations
1878	Javed Iqbal Securities (Pvt.) Limited	Censure	28-Feb-12	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1879	National Bank of Pakistan	Terminated	28-Feb-12	Voluntary Termination	15.10.1
1880	AKY Securities (Private) Limited	Terminated	27-Feb-12	Voluntary Termination	15.10.1
1881	Value Stock Securities (Pvt.) Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1882	First Dawood Investment Bank Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1883	Pak United Securities (Private) Limited	Restricted	14-Feb-12	Consequent to non-renewable of broker registration certificate	15.2.1(a)
1884	Shehzad Chamdia Securities (Private) Limited	Terminated	3-Feb-12	Voluntary Termination	15.10.1
1885	Trustee of AH-Pak Brunei Islamic Income Fund	Terminated	3-Feb-12	Voluntary Termination	15.10.1
1886	Switch Securities (Private) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1887	Harvest Smartrend Securities (Private) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1888	Arif Majid Chaudhry	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1889	Value Stock Securities (Pvt.) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1890	First Dawood Investment Bank Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1891	United Capital Securities (Private) Limited	Suspended	1-Feb-12	Consequent to suspension of membership by the KSE.	15.2.1(b)
1892	United Capital Securities (Private) Limited	Restricted	31-Jan-12	Consequent of Switching off of trading terminals by the KSE.	15.2.1(a)
1893	First National Equities Limited	Imposition of Penalty	23-Jan-12	Non-Compliance of CDC Regulations	6.7.3 & 4.19
1894	AFIC Securities (Private) Limited	Censure	18-Jan-12	Non-Compliance of CDC Regulations	6.2.6
1895	Standard Securities (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
1896	Elite Stock Services (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
1897	United Capital Securities (Private) Limited	Revised Intention to suspend	3-Jan-12	Extending the period of Restriction.	9.1.1
1898	Zafar Moti Capital Securities (Private) Limited	Removal of Restrictions	2-Jan-12	Pursuant to Court Order dated 30-12-2011.	Court Order