lo Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
Brains Securities (Pvt.) Limited	30-Jan-24	NCCPL/CRO/16/24	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
DJM Securities Limited	30-Jan-24	NCCPL/CRO/15/24	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
Shaffi Securities (Pvt.) Limited	30-Jan-24	NCCPL/CRO/14/24	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
B & B Securities (Pvt.) Limited	30-Jan-24	NCCPL/CRO/13/24	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
M. Ashfaq Hussain Securities (Pvt.) Limited	30-Jan-24	NCCPL/CRO/12/24	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
Habib Metropolitan Financial Services Limited	30-Jan-24	NCCPL/CRO/11/24	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
Irfan Mazhar Securities (Pvt.) Limited	30-Jan-24	NCCPL/CRO/10/24	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
Zafar Moti Capital (Pvt.) Limited	30-Jan-24	NCCPL/CRO/09/24	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
Dawood Equities Limited	30-Jan-24	NCCPL/CRO/08/24	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
HBL Asset Management Limited - HBL Islamic Dedicated Equity Fund	16-Jan-24	NCCPL/CS/12/24	Termination of Non Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Pearl Securities Limited - Audit of CM &TRR	15-Jan-24	NCCPL/CRO/07/24	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations and under Joint Inspection Regulations
Azee Securities (Pvt.) Limited - Audit of CM	5-Jan-24	NCCPL/CRO/06/24	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
Sherman Securities (Pvt.) Limited - Audit of CM	5-Jan-24	NCCPL/CRO/05/24	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations
New Peak Securities (Pvt.) Limited - Audit of CM	5-Jan-24	NCCPL/CRO/04/24	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations
Friendly Securities (Pvt.) Limited - Audit of CM	5-Jan-24	NCCPL/CRO/03/24	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
Amer Securities (Pvt.) Limited - Audit of CM	5-Jan-24	NCCPL/CRO/02/24	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
Integrated Equities Limited	26-Dec-23	NCCPL/CS/305/23	Termination of Margin Trading Financee Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
First National Equities Limited	4-Dec-23	NCCPL/CRO/245/23	Revocation of Restriction of access to services as Margin Financier pursuant to submission of audited LC
Vector Securities (Pvt.) Limited	17-Nov-23	NCCPL/CS/281/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
MGM Securities (Pvt.) Limited	17-Nov-23	NCCPL/CS/280/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
MAS Commodities (Pvt.) Limited	24-Oct-23	NCCPL/CRO/225/23	Revocation of Suspension of the Authorized Intermediary Pursuant to action taken by PMEX
Ayub Chaudhry Investments (Pvt.) Limited	20-Oct-23	NCCPL/CS/251/23	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Amer Securities (Pvt.) Limited	20-Oct-23	NCCPL/CS/250/23	Restriction of access to services under Regulation 18.11(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self-request for closure of account due to appointment of PCM
Galaxy Capital Securities (Pvt.) Limited	20-Oct-23	NCCPL/CS/252/23	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Adam Securities (Pvt.) Limited	18-Oct-23	NCCPL/CS/248/23	Termination of Murabaha Share Financing and Financee Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
First National Equities Limited Alfalah Asset Management Limited - Alfalah GHP Pension Fund & Alfalah GHP Islamic Pension Fund - Debt Sub Fund	17-Oct-23 17-Oct-23	NCCPL/CRO/224/23 NCCPL/CS/247/23	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 78.2.4 of NCCPL Regulations, 2015. Termination of Non Broker Clearing Member Debt Market accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
MAS Commodities (Pvt.) Limited	16-Oct-23	NCCPL/CRO/223/23	Suspension as Authorized Intermediary under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX
Next Capital Limited - LSI	6-Oct-23	NCCPL/CRO/221/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Akhai Securities (Pvt.) Limited - TRR	6-Oct-23	NCCPL/CRO/222/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Hamza Farhad Securities (Pvt.) Limited	6-Sep-23	NCCPL/CRO/217/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 and 18.2 of NCCPL Regulations, 2015
92 Markets (Pvt.) Limited	1-Sep-23	NCCPL/CRO/216/23	Suspension as Authorized Intermediary under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX
CMA Securities (Pvt.) Limited	18-Aug-23	NCCPL/CS/201/23	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCP Regulations, 2015 upon self request for closure of account due to appointment of PCM
Progressive Securities (Pvt.) Limited	18-Aug-23	NCCPL/CS/200/23	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Alpha Capital (Pvt.) Limited	27-Jul-23	NCCPL/CRO/159/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
Continental Capital Management (Pvt.) Limited	27-Jul-23	NCCPL/CRO/158/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
Darson Securities (Pvt.) Limited	27-Jul-23	NCCPL/CRO/157/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
Msmaniar Financials (Pvt.) Limited	27-Jul-23	NCCPL/CRO/156/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
KTrade Securities Limited	27-Jul-23	NCCPL/CRO/155/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
Zafar Securities (Pvt.) Limited	27-Jul-23	NCCPL/CRO/154/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
K & I Global Capital (Pvt.) Limited	21-Jul-23	NCCPL/CS/184/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Strongman Securities (Pvt.) Limited	21-Jul-23	NCCPL/CS/183/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Millennium Brokerage (Pvt.) Limited	21-Jul-23	NCCPL/CS/182/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Dattoo Securities (Pvt.) Limited	19-Jul-23	NCCPL/CS/181/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
CAMCO (Pvt.) Limited	18-Jul-23	NCCPL/CRO/153/23	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
Saao Capital (Pvt.) Limited	17-Jul-23	NCCPL/CS/177/23	Termination of Broker Clearing Member account and Margin Financing Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
Saz Capital Securities (Pvt.) Limited - Audit of CM	7-Jul-23	NCCPL/CRO/152/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
First Choice Securities Ltd - Audit of CM	7-Jul-23	NCCPL/CRO/151/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
AM Chaudhry Securities (Pvt.) Limited	23-Jun-23	NCCPL/CS/161/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Sethi Securities (Pvt.) Limited	23-Jun-23	NCCPL/CS/160/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
Moneyline Securities (Pvt.) Limited	23-Jun-23	NCCPL/CS/159/23	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
M.M. Securities (Pvt.) Limited	16-Jun-23	NCCPL/CRO/148/23	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 7B.2.4 of NCCPL Regulations, 2015.
N. U. A Securities (Pvt.) Limited	16-Jun-23	NCCPL/CRO/147/23	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 7B.2.4 of NCCPL Regulations, 2015.
Spinzer Equities (Pvt.) Limited - Audit of CM	16-Jun-23	NCCPL/CRO/146/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
Seven Star Securities (Pvt.) Limited - LSI	16-Jun-23	NCCPL/CRO/145/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
Alfalah CLSA Securities (Pvt.) Limited	16-Jun-23	NCCPL/CRO/144/23	Warning issued and penalty imposed under Regulation 14.3 of NCCPL Regulations, 2015 on account of show-cause notice issued for default of money obligation
Arif Latif Securities (Pvt.) Limited - Audit of CM	16-Jun-23	NCCPL/CRO/142/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
Msmaniar Financials (Pvt.) Limited - Audit of CM	16-Jun-23	NCCPL/CRO/141/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
H.M. Idrees H Adam Securities (Pvt.) Limited - Audit of CM	16-Jun-23	NCCPL/CRO/140/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
Ayub Chaudhry Investments (Pvt.) Limited - Audit of CM	16-Jun-23	NCCPL/CRO/139/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
Askari Securities Limited - Audit of CM Dosslanis Securities (Pvt.) Limited	16-Jun-23 9-Jun-23	NCCPL/CRO/138/23 NCCPL/CS/149/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations Regulations of scene to account under Regulation 19.1 of 19.1 (10.1 %) 2.5 of MCCPL Regulations Regulations of scene to account under Regulation 19.1 (10.1 %) 2.5 of MCCPL Regulations Regulations of scene to account under Regulation 19.1 (10.1 %) 2.5 of MCCPL Regulations Regulations of scene to account under Regulation 19.1 (10.1 %) 2.5 of MCCPL Regulations Regulations of scene to account under Regulation 19.1 (10.1 %) 2.5 of MCCPL Regulations Regulations of scene to account under Regulation 19.1 (10.1 %) 2.5 of MCCPL Regulations Regulations of scene to account under Regulation 19.1 (10.1 %) 2.5 of MCCPL Regulations Regulations of scene to account under Regulation 19.1 (10.1 %) 2.5 of MCCPL Regulations Regulations of scene to account under Regulation 19.1 (10.1 %) 2.5 of MCCPL Regulations Regulation 19.1 (10.1 %) 2.
Venus Securities (Pvt.) Limited Venus Securities (Pvt.) Limited	9-Jun-23 9-Jun-23	NCCPL/CS/149/23 NCCPL/CS/148/23	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
	9-Jun-23 2-Jun-23	NCCPL/CS/148/23 NCCPL/CS/142/23	Restriction of access to services under regulation 18.1.1(), 18.1.1(g) 8 1.8.3 of NCCP. Regulations, 2015 upon seit request for closure of account oue to appointment of PCM Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) 8 1.8.3 of NCCP. Regulations, 2015 upon seit request for closure of account due to appointment of PCM
Salman Majeed Securities (Pvt.) Limited Gul Dhami Securities (Pvt.) Limited	2-Jun-23 2-Jun-23	NCCPL/CS/142/23 NCCPL/CS/141/23	Restriction of access to services under Regulation 1.8.1.1(), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon seal request for closure of account due to appointment of PCM Restriction of access to services under Regulation 18.1.1(g) is 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon seal request for closure of account due to appointment of PCM
UBL Fund Managers Limited - UBL Pakistan Enterprise Exchange Traded Fund	2-Jun-23	NCCPL/CS/141/23 NCCPL/CS/140/23	Termination of Non Broker Clearing Member account under Regulation 18.1.1(j), 8.1.3.0 in NCCPL regulations, 2015 upon sen request to closure or account one to appointment of PCM Termination of Non Broker Clearing Member account under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
NBP Fund Management Limited - NBP Islamic Active Allocation Equity Fund	31-May-23	NCCPL/CS/137/23	Termination of Non Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
B Askari Securities Limited	26-May-23	NCCPL/CS/133/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 due to amalgamation/merger on account of Self Termination
CMA Securities (Pvt.) Limited	19-May-23	NCCPL/CRO/135/23	Termination of access to services under Regulation 18.1.1(b) 8.18.3 of NCCPL Regulations, 2015 pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) 8.18.3 of NCCPL Regulations, 2015 pursuant to action taken by PSX
Xpert Securities Limited	17-May-23	NCCPL/CS/126/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCPL Regulations, 2015 on account of Self Termination
Adeel & Nadeem Securities (Pvt.) Limited	20-Apr-23	NCCPL/CS/120/23	Restriction of access to services under Regulation 18.1.1(s) 8.1.1(s) 8.1.3 of NCCP. Regulations, 2015 upon self-request for closure of account due to appointment of PCM
Msmaniar Financials (Pvt.) Limited	20-Apr-23	NCCPL/CRO/119/23	Resocution of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
Arif Latif Securities (Pvt.) Limited - TRR	12-Apr-23	NCCPL/CRO/115/23	Warning is need under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
securices programmed TMR	44 (PI-22	NCCPL/CRO/113/23 NCCPL/CRO/114/23	Warning issued under Regulation 14.1 of NCCFL Regulations, 2015 on account of inspection conducted under Join Inspection Regulations Warning issued under Regulation 14.1 of NCCFL Regulations, 2015 on account of inspection conducted under Join Inspection Regulations

S.No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
75	Friendly Securities (Pvt.) Limited - TRR	12-Apr-23	NCCPL/CRO/113/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
76	Zahid Latif Khan Securities (Pvt.) Limited	12-Apr-23	NCCPL/CRO/112/23	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
77	Value Stock & Commodities (Pvt.) Limited - Showcause & TRR	12-Apr-23	NCCPL/CRO/111/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 and on account of inspection
			NCCPL/CRO/110/23	conducted under Joint Inspection Regulations
78	Time Securities (Pvt.) Limited N. U. A. Securities (Pvt.) Limited	12-Apr-23 12-Apr-23	NCCPL/CRO/110/23 NCCPL/CRO/109/23	Warning Issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of MCCPL Regulations, 2015 Warning Issued under Regulation 14.5 of MCCPL Regulations, 2015
80	Bawany Securities (Pvt.) Limited	12-Apr-23	NCCPL/CRO/108/23	Warring issued under Regulation 14.1 or NCEPT Regulations, 2015 on account of show cause notice issued under Regulation 14.5 or NCEPT Regulations, 2015 Warring issued under Regulation 14.1 or NCEPT Regulations, 2015 on account of show cause notice issued under Regulation 14.5 or NCEPT Regulations, 2015
81	National Bank of Pakistan	12-Apr-23	NCCPL/CS/100/23	Termination of Margin Trading Clearing Member account under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
82	Cedar Capital (Pvt.) Limited	11-Apr-23	NCCPL/CS/99/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
83	Seven Star Securities (Pvt.) Limited	7-Apr-23	NCCPL/CRO/107/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
84	Progressive Securities (Pvt.) Limited	7-Apr-23	NCCPL/CRO/106/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
85	Pearl Securities (Pvt.) Limited	7-Apr-23	NCCPL/CRO/105/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
86 87	Next Capital Limited (Pvt.) Limited Enrichers Securities (Pvt.) Limited	7-Apr-23 7-Apr-23	NCCPL/CRO/104/23 NCCPL/CRO/103/23	Warring Issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of MCCPL Regulations, 2015 MCPL Regulations, 2015 MCPL Regulations, 2015 MCPL Regulations, 2015
88	Brains Securities (Pvt.) Limited	7-Apr-23	NCCPL/CRO/103/23	Warning issued under regulation 14.1 or NeCP Regulations, 2015 or account of show cause notice issued under Regulation 14.2 or NeCP Regulations, 2015 or account of show cause notice issued under Regulation 14.2 or NeCP Regulations, 2015 or account of show cause notice issued under Regulation 14.2 or NeCP Regulations, 2015
89	Axis Global Limited.(Pvt.) Limited	7-Apr-23	NCCPL/CRO/101/23	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
90	Equity Master Securities (Pvt.) Limited	3-Apr-23	NCCPL/CRO/100/23	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	Value Stock & Commodities (Pvt.) Limited	29-Mar-23	NCCPL/CRO/99/23	Revocation of Restriction of access to services as Margin Financier pursuant to submission of audited LC
92	Horizon Securities Limited	24-Mar-23	NCCPL/CS/92/23	Termination of Margin Financier Clearing Member and Trading Financier Clearing Member accounts under Rule 12 of the Rules and Regulation 7B.2.4 & 7C.2.4 of NCCPL Regulations, 2015
93 94	Khawaja Securities (Pvt.) Limited Khawaja Securities (Pvt.) Limited	24-Mar-23 21-Mar-23	NCCPL/CS/91/23 NCCPL/CRO/94/23	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCPL Regulations, 2015 upon self-reguest for dosure of account due to appointment of PCM Warning Issued and penalty imposed under Regulation 14.1 of NCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCPL Regulations, 2015
95	Galaxy Capital Securities (Pvt.) Limited	21-Mar-23	NCCPL/CRO/93/23	Warring issued and penalty imposed under negulation 14.1 or NCCPL Regulations, 2015 on account of show ause notice issued under negulation 14.5 or NCCPL Regulations, 2015 or NCCPL Reg
96	MoneyLine Securities (Pvt.) Limited	21-Mar-23	NCCPL/CRO/95/23	Warning issued under Regulation 14.1 or RCCPL Regulations, 2015 or account of show cause under Regulation 14.5 or NCCPL Regulations, 2015 or account of show cause under Regulation 14.5 or NCCPL Regulations, 2015 or account of show cause under Regulation 14.5 or NCCPL Regulations, 2015
97	K & I Global Capital (Pvt.) Limited	21-Mar-23	NCCPL/CRO/95/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
98	Abbasi & Company (Pvt.) Limited	21-Mar-23	NCCPL/CRO/92/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
99	Pasha Securities (Pvt.) Limited	17-Mar-23	NCCPL/CS/82/23	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
	Mannoo Capital (Pvt.) Limited A.S. Securities (Pvt.) Limited	17-Mar-23 17-Mar-23	NCCPL/CS/81/23 NCCPL/CRO/91/23	Restriction of access to services under Regulation 18.1.1(j. 18.1.1(g) & 18.3 of NCPL Regulations, 2015 upon self request for dosure of account due to appointment of PCM Revocation of Restriction of the Clearing Member pursuant to action taken by PSX PSX
101	A.S. Securities (Pvt.) Limited A.S. Securities (Pvt.) Limited	16-Mar-23	NCCPL/CRO/91/23 NCCPL/CRO/90/23	Neevocation or necurity of the Luearing whemone prusuant to action taken by Y-SA. Restriction of access to services under Regulation 18.1.1(b) Regulations, 2015 Pursuant to action taken by PSX.
	Equity Master Securities (Pvt.) Limited	16-Mar-23	NCCPL/CRO/89/23	Restriction of access to services under Regulation 18.1.1(b) 8.18.3 of NCCP. Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) 8.18.3 of NCCP. Regulations, 2015 Pursuant to action taken by PSX
	Enrichers Securities (Pvt.) Limited	16-Mar-23	NCCPL/CRO/88/23	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
105	Msmaniar Financials (Pvt.) Limited	16-Mar-23	NCCPL/CRO/87/23	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
106	Shaffi Securities (Pvt.) Limited	16-Mar-23	NCCPL/CRO/86/23	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 7B.2.4 of NCCPL Regulations, 2015.
	Aba Ali Habib Securities (Pvt.) Limited -LSI Shajar Capital Pakistan (Pvt.) Limited - LSI	13-Mar-23 13-Mar-23	NCCPL/CRO/84/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	Shajar Capital Pakistan (Pvt.) Limited - LSi Shajar Capital Pakistan (Pvt.) Limited - TRR	13-Mar-23	NCCPL/CRO/79/23 NCCPL/CRO/80/23	Warring issued and penalty imposed under Regulation 14.1 of NCCP Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warring issued under Regulation 14.1 of NCCP Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warring issued under Regulation 14.1 of NCCP Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	FDM Capital Securities (Pvt.) Limited - LSI	13-Mar-23	NCCPL/CRO/81/23	Warning issued under Regulation 14.1 of NCEC Engalations, 2015 on account in spection conducted under Joint inspection Regulations Warning issued under Regulation 14.1 of NCEC Engalations, 2015 on account of inspection conducted under Joint inspection Regulations Warning issued under Regulation 14.1 of NCEC Engalations, 2015 on account of inspection conducted under Joint inspection Regulations
111	Abbasi & Company (Pvt.) Limited - TRR	13-Mar-23	NCCPL/CRO/82/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Xpert Securities Limited	9-Mar-23	NCCPL/CRO/83/23	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	RAH Securities (Pvt.) Limited	17-Feb-23	NCCPL/CS/56/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
114	Mannoo Capital (Pvt.) Limited	17-Feb-23	NCCPL/CRO/78/23	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
116	Mannoo Capital (Pvt.) Limited We Financials Services Limited	16-Feb-23 15-Feb-23	NCCPL/CRO/77/23 NCCPL/CS/49/23	Restriction of access to services under Regulation 18.1.1(b) 8.18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination of Margin Financier Cearing Members account under Rule 12 of the Rules and Regulation 78.24 of NCCPL Regulations, 2015
117	Asian Securities Limited	14-Feb-23	NCCPL/CS/52/23	Termination of Broker Cleaning Member account under final ELO (in the Final ELO) (in the
118	Market 786 (Pvt.) Limited	8-Feb-23	NCCPL/CS/46/23	Termination of Broker Clearing Member, Margin Financing Clearing Member and Debt Market Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
119		3-Feb-23	NCCPL/CRO/15/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
120	Kosmopolitan Securities (Pvt.) Limited - TRR Ayub Chaudhry Investments (Pvt.) Limited - LSI	3-Feb-23 3-Feb-23	NCCPL/CRO/14/23 NCCPL/CRO/13/23	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
121	JSK Securities Limited - LSI	3-Feb-23	NCCPL/CRO/13/23 NCCPL/CRO/12/23	warring issued under regulation 14.1 or NCUF regulations, 2015 on account or inspection conducted under Joint Inspection Regulations Warring issued under Regulation 14.1 of NCUF Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warring issued under Regulation 14.1 of NCUF Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
123	Seven Star Securities (Pvt.) Limited	3-Feb-23	NCCPL/CS/44/23	Termination of Margin Financier Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
124	Q. Ain khanani Securities (Pvt.) Limited	2-Feb-23	NCCPL/CS/43/23	Termination of Broker Clearing Member account under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
125	RAH Securities (Pvt.) Limited	25-Jan-23	NCCPL/CS/39/23	Termination of Margin Financier, Margin Financee, Trading Financier, Trading Financee and Securities Lending and borrowing systems accounts under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account
			ricen, lee lee l	of Self Termination
126 127	Lakhani Securities (Pvt.) Limited CMA Securities (Pvt.) Limited	25-Jan-23 18-Jan-23	NCCPL/CS/38/23 NCCPL/CRO/09/23	Termination of Broker Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Resolution 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Revocation of Restriction of the Learning Member pursuant to accide the No. 18.1.1(ii) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Revocation Self Termination Self Termination Self Termination Self Te
127	Saao Capital (Pvt.) Limited	18-Jan-23 18-Jan-23	NCCPL/CRO/09/23 NCCPL/CRO/8/23	kevocation of kestriction of the Clearing Member pursuant to action taken by Y-SX Revocation of Restriction of the Clearing Member pursuant to action taken by Y-SX Revocation of Restriction of the Clearing Member pursuant to action taken by Y-SX Revocation of Restriction of the Clearing Member pursuant to action taken by Y-SX Revocation of Restriction of the Clearing Member pursuant to action taken by Y-SX Revocation of Restriction of the Clearing Member pursuant to action taken by Y-SX Revocation of Restriction of the Clearing Member pursuant to action taken by Y-SX Revocation of Restriction of the Clearing Member pursuant to action taken by Y-SX Revocation of Restriction of The Clearing Member pursuant to action taken by Y-SX Revocation of Restriction of The Clearing Member pursuant to action taken by Y-SX Revocation of Restriction of The Clearing Member pursuant to action taken by Y-SX Revocation of Restriction of The Clearing Member pursuant to action taken by Y-SX Revocation of Restriction of The Clearing Member pursuant to action taken by Y-SX Revocation of The Clearing Member pursuant to action taken by Y-SX Revocation of The Clearing Member pursuant to action taken by Y-SX Revocation of The Clearing Member pursuant to action taken by Y-SX Revocation of The Clearing Member pursuant to action taken by Y-SX Revocation of The Clearing Member pursuant to action taken by Y-SX Revocation of The Clearing Member pursuant to action taken by Y-SX Revocation of The Clearing Member pursuant to action taken by Y-SX Revocation of The Clearing Member pursuant to action taken by Y-SX Revocation of The Clearing Member pursuant to action taken by Y-SX Revocation of The Clearing Member pursuant to action taken by Y-SX Revocation of The Clearing Member pursuant to action taken by Y-SX Revocation of The Clearing Member pursuant to action taken by Y-SX Revocation of The Clearing Member pursuant to action taken by Y-SX Revocation The Clearing Member pursuant to action taken by Y-SX Revocation The Clearing Member pursuant to ac
	Saao Capital (Pvt.) Limited	17-Jan-23	NCCPL/CRO/07/23	Restriction of necessing viewing purposes (Section 1) (1) (1) (1) (1) (1) (1) (1) (1) (1)
	Merchant Investments (Pvt.) Limited	13-Jan-23	NCCPL/CS/25/23	Termination of Broker Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
131	ACM Global (Pvt.) Limited	30-Dec-22	NCCPL/CRO/262/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
132	GPH Securities (Pvt.) Limited	16-Dec-22	NCCPL/CS/336/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
133	High Land Securities (Pvt.) Limited	16-Dec-22	NCCPL/CS/335/22 NCCPL/CRO/235/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM Restriction of the Clearing Members pursuant to action taken by MSY.
134	Galaxy Capital Securities (Pvt.) limited Khawaja Securities (Pvt.) Limited	6-Dec-22 1-Dec-22	NCCPL/CRO/235/22 NCCPL/CRO/234/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to submission of audited LC Revocation of Restriction of the Clearing Member pursuant to submission of audited LC
	Galaxy Capital Securities (Pvt.) limited	1-Dec-22	NCCPL/CRO/234/22 NCCPL/CRO/233/22	Nestriction of access to services under Regulation 18.1.1(b) 8.18.3 of NCCIA Regulations, 2015 Pursuant to action taken by PSX
137	Khawaja Securities (Pvt.) Limited	29-Nov-22	NCCPL/CRO/232/22	Restriction of access to services under clause 6(6) of Securities Brokers (Licensing and Operations) Regulations, 2016
138	Millennium Brokerage (Pvt.) Limited - LSI	25-Nov-22	NCCPL/CRO/230/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	MRA Securities Limited - LSI	25-Nov-22	NCCPL/CRO/229/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Royal Securities (Pvt.) Limited	15-Nov-22	NCCPL/CRO/227/22	Suspension as Authorized Intermediary under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX [Spension as Authorized Intermediary under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX
	Asad Mustafa Securities (Pvt.) Limited Azee Securities (Pvt.) Limited	15-Nov-22 15-Nov-22	NCCPL/CRO/226/22 NCCPL/CRO/225/22	Suspension as Authorized Intermediary under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX Suspension as Authorized Intermediary under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX
142	A.S. Securities (Pvt.) Limited A.S. Securities (Pvt.) Limited	15-Nov-22 10-Nov-22	NCCPL/CRO/223/22	Suspension as Authorized interrendiary under regulation 8.2 & 8.3 or Centralized Know Your Customer Organization regulations, 2017 Pursuant to action taken by PMEX Revocation of Restriction of Recircidation of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to action taken by PSX Supplied to the Clearing Member pursuant to the
144	Value Stock & Commodities (Pvt.) Limited	31-Oct-22	NCCPL/CRO/219/22	Restriction of eacress to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 7B.2.4 of NCCPL Regulations, 2015.
145	ASDA Securities (Pvt.) Limited	18-Oct-22	NCCPL/CRO/215/22	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 7B.2.4 of NCCPL Regulations, 2015.
	Xpert Securities Limited	11-Oct-22	NCCPL/CRO/214/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
	Aziz Fidahusein & Company (Pvt.) Limited	6-Oct-22	NCCPL/CS/289/22	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	Value Stock & Commodities (Pvt.) Limited Cedar Capital (Pvt.) Limited	3-Oct-22 12-Sep-22	NCCPL/CRO/212/22 NCCPL/CS/272/22	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited LC Termination of Margin Financier Clearing Member and Trading Financier Clearing Member accounts under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
	Ocean Securities Limited	31-Aug-22	NCCPL/CS/2/2/22 NCCPL/CRO/209/22	termination of Margin Financier Gearing Member and Trading Financier Gearing Member accounts under Regulation 18.1.1(1) & 18.3 of NCLPL Regulations, 2015 on account of Self-Termination Revocation of Restriction of He Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of
150			,	

S.No.	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
151	ASDA Securities (Pvt.) Limited	17-Aug-22	NCCPL/CRO/208/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
152	Ocean Securities Limited	16-Aug-22	NCCPL/CRO/207/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	ASDA Securities (Pvt.) Limited	16-Aug-22	NCCPL/CRO/206/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	Value Stock & Commodities (Pvt.) Limited	16-Aug-22	NCCPL/CRO/205/22	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations & 78.2.4 of NCCPL Regulations, 2015.
155	Horizon Securities Limited AKD Securities Limited (Formerly: BIPL Securities Limited)	16-Aug-22	NCCPL/CRO/204/22 NCCPL/CRO/203/22	Restriction of access to services as Margin financier under Rule 11(1a) and as Trading Financier under Rule 19(1a) of the Rules and Regulations & 78.2.4 and 7C.2.4 of NCCPL Regulations, 2015. Warning Issued under Regulation 1.4.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 1.4.1 of NCCPL Regulations, 2015.
157		10-Aug-22 10-Aug-22	NCCPL/CRO/192/22	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
158	Investment Managers Securities (Pvt.) Limited	10-Aug-22	NCCPL/CRO/191/22	Warning issued under Regulation 34.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.1 of NCCPL Regulations, 2015
159	Bawany Securities (Pvt.) Limited	10-Aug-22	NCCPL/CRO/190/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	Alfalah CLSA Securities (Pvt.) Limited	10-Aug-22	NCCPL/CRO/189/22	Warning issued under Regulation 14.3 of NCCPL Regulations, 2015 on account of show-cause notice issued for default of money obligation
161		10-Aug-22	NCCPL/CRO/182/22	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
162	Akhai Securities (Pvt.) Limited Friendly Securities (Pvt.) Limited	10-Aug-22 10-Aug-22	NCCPL/CRO/181/22 NCCPL/CRO/180/22	Warning Issued and penalty imposed under Regulation 14.1 of MCCPI. Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of MCCPI. Regulations, 2015 Warning Issued and penalty imposed under Regulation 14.1 of MCCPI. Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of MCCPI. Regulations, 2015
	RAH Securities (Pvt.) Limited	10-Aug-22 10-Aug-22	NCCPL/CRO/180/22 NCCPL/CRO/179/22	warning issued and penanty imposed under regulation 14.1 or NCLPL regulations, 2015 on account of snotice issued under Regulation 14.5 or NCLPL regulations, 2015 Warning issued under Regulation 14.1 of NCLPL Regulations, 2015 on account of snotice issued under Regulation 14.5 or NCLPL regulations, 2015
165		10-Aug-22	NCCPL/CRO/178/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	S.D. Mirza Securities (Pvt.) Limited	5-Aug-22	NCCPL/CS/242/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
167	Al Habib Asset Management Limited - Islamic Income Fund & Asset	4-Aug-22	NCCPL/CS/241/22	Termination of Non Broker and Trading Financier Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
	Allocation Fund			
168	Fairtrade Capital Securities (Pvt.) Limited Khawaja Securities (Pvt.) Limited	22-Jul-22	NCCPL/CS/232/22 NCCPL/CRO/176/22	Restriction of access to services under Regulation 18.1.1(ii), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
	Khanani Securities (Pvt.) Limited Khanani Securities (Pvt.) Limited	22-Jul-22 19-Jul-22	NCCPL/CRO/176/22 NCCPL/CRO/174/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
	Fairtrade Capital Securities (Pvt.) Limited	19-Jul-22	NCCPL/CRO/172/22	Revocation of Restriction of the Clearing Wentuer pursuant to action taken by PSX Revocation of Restriction of the Clearing Wentuer pursuant to action taken by PSX Company of Restriction of the Clearing Wentuer pursuant to action taken by PSX Company of Restriction of the Clearing Wentuer pursuant to action taken by PSX Company of Restriction of the Clearing Wentuer pursuant to action taken by PSX Company of Restriction of the Clearing Wentuer pursuant to action taken by PSX Company of Restriction of the Clearing Wentuer pursuant to action taken by PSX Company of Restriction of
172	Horizon Securities Limited	19-Jul-22	NCCPL/CRO/171/22	Revocation of Restriction of access to services as Margin Financier and Trading Financier pursuant to submission of unaudited LC
173		19-Jul-22	NCCPL/CRO/170/22	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited LC
	Khanani Securities (Pvt.) Limited	18-Jul-22	NCCPL/CRO/169/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	Fairtrade Capital Securities (Pvt.) Limited	18-Jul-22 18-Jul-22	NCCPL/CRO/168/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCPL Regulations, 2015 Pursuant to action taken by PSX
	Khawaja Securities (Pvt.) Limited Xpert Securities Limited	18-Jul-22 18-Jul-22	NCCPL/CRO/167/22 NCCPL/CRO/166/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
178	MRA Securities Limited	13-Jul-22	NCCPL/CRO/166/22 NCCPL/CRO/163/22	Nestriction for access to services unue 1.4 of NCCPL Regulation (3.6.1.1) of 1.6.2 of NCCPL Regulation (3.6.1.1) of NCCPL Regulat
179	Continental Capital Management (Pvt.) Ltd	13-Jul-22	NCCPL/CRO/160/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	Khawaja Securities (Pvt.) Ltd	13-Jul-22	NCCPL/CRO/158/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	First Equity Modaraba	13-Jul-22	NCCPL/CRO/157/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
182 183	Dosslani's Securities (Pvt.) Ltd Zillion Capital Securities (Pvt.) Ltd	13-Jul-22 13-Jul-22	NCCPL/CRO/155/22 NCCPL/CRO/154/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
184	Gazipura Securities & Services (Pvt.) Limited	13-Jul-22 13-Jul-22	NCCPL/CRO/154/22 NCCPL/CRO/153/22	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning Issued under Regulation 14.5 of NCCPL Regulations, 2015
185		1-Jul-22	NCCPL/CS/214/22	wanting assured under negaration and a record regulations, 2013 in account of access to service under negaration assured under the regulation and access to service under negaration assured under the regulation and access to service under negaration assured under the regulation and access to service under negaration assured under the regulation and access to service under negaration assured under the regulation and access to service under negaration assured under the regulation and access to service under negaration assured under the regulation assured under the
	First Equity Modaraba - Audit of CM	24-Jun-22	NCCPL/CRO/152/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations
	Trust Securities & Brokerage Limited - Audit of CM	24-Jun-22	NCCPL/CRO/151/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
188		24-Jun-22	NCCPL/CRO/148/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
189	Cedar Capital (Private) Limited - Audit of CM	24-Jun-22	NCCPL/CRO/147/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
190 191		24-Jun-22 24-Jun-22	NCCPL/CRO/146/22 NCCPL/CRO/145/22	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
	Gul Dhami Securities (Private) Limited - Audit of CM	24-Jun-22	NCCPL/CRO/144/22	Warning issued under Regulation 34.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations
193		24-Jun-22	NCCPL/CRO/143/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations
194	BMA Chundrigar Road Saving Fund	23-Jun-22	NCCPL/CS/204/22	Termination of Non Broker, Debt Market and MTS Financier Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
	Akhai Securities (Private) Limited	21-Jun-22	NCCPL/CRO/150/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
	Akhai Securities (Private) Limited Azee Securities (Private) Limited	17-Jun-22 6-Jun-22	NCCPL/CRO/149/22 NCCPL/CRO/129/22	Restriction of access to services under Regulation 18.1.1(b) 8.18.3 of NCCP. Regulations, 2015 Pursuant to action taken by PSX Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
	Azee Securities (Private) Limited Azee Securities (Private) Limited	6-Jun-22	NCCPL/CRO/129/22 NCCPL/CRO/128/22	REVOCATION OF SUSPENSION OF THE LIGHTING MEMBER DEVIATION OF STREET AND ASSOCIATION OF SUSPENSION OF THE LIGHTING MEMBER DEVIATION OF STREET ASSOCIATION OF SUSPENSION OF THE LIGHTING MEMBER DEVIATION OF STREET ASSOCIATION OF STREET ASSOCIATIO
199	AWT Income Fund/AWT Asset Allocation Fund	6-Jun-22	NCCPL/CS/192/22	Termination of Non Broker and Debt Market Clearing Member accounts under Regulation 18.1.1() 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination
200	Azee Securities (Pvt.) Limited	30-May-22	NCCPL/CRO/126/22	Revocation of Suspension of the Clearing Member pursuant to action taken by PSX
	Azee Securities (Pvt.) Limited	24-May-22	NCCPL/CRO/121/22	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
202		23-May-22	NCCPL/CRO/120/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
	B & B Securities (Pvt.) Limited B & B Securities (Pvt.) Limited	19-May-22 17-May-22	NCCPL/CRO/117/22 NCCPL/CRO/116/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
204		17-May-22 17-May-22	NCCPL/CRO/115/22 NCCPL/CRO/115/22	RESTICTION OF ACCESS to Services under Regulation 18.1.1(p) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX RESTICTION OF ACCESS to Services under Regulation 18.1.1(p) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX RESTICTION OF ACCESS to Services under Regulation 18.1.1(p) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
206		17-May-22	NCCPL/CRO/113/22 NCCPL/CRO/114/22	Restriction of access to services a Margin Financier under Rule 11(1a) and as Trading Financier under Rule of 10 of the Rules and Regulations & 78.2.4 and 7C.2.4 of NCCPL Regulations, 2015.
207	ASDA Securities (Pvt.) Limited	17-May-22	NCCPL/CRO/113/22	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
208	Askari Asset Allocation Fund	16-May-22	NCCPL/CS/138/22	Termination of Non Broker, Debt Market and MTS Financier Clearing Member accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
209	Dawood Equities Limited	11-May-22	NCCPL/CRO/111/22	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
210	Dawood Equities Limited AWT Islamic Income Fund	11-May-22 29-Apr-22	NCCPL/CRO/110/22 NCCPL/CS/129/22	Suspension under Regulation 18.1.1(d) of NCPP. Regulations, 2015 on account of default of money obligation Termination of Non Broker Clearing Member account under Regulation 18.1.1(l) & 18.3 of NCPP. Regulations, 2015 on account of Self Termination
	Fikree's (Pvt.) Limited	29-Apr-22 20-Apr-22	NCCPL/CS/129/22 NCCPL/CRO/99/22	Termination of won proser usering wemper account under regulation 15.1.1() & 15.3 of NCUPL regulations, 2015 on account of seri remination Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of Restriction of Restriction to the Restriction of
	AKD Securities (Pvt.) Limited	19-Apr-22	NCCPL/CRO/80/22	Revocation or restriction of the Letting returning returning to section taken by 1-30 and 100
	Akhai Securities (Pvt.) Limited	19-Apr-22	NCCPL/CRO/79/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
215	Apex Capital Securities (Pvt.) Limited	19-Apr-22	NCCPL/CRO/78/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
216	Fikree's (Pvt.) Limited	18-Apr-22	NCCPL/CRO/81/22	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	Moneyline Securities (Pvt.) Limited	12-Apr-22	NCCPL/CS/121/22	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations, 2015.
218		12-Apr-22 29-Mar-22	NCCPL/CS/120/22	Restriction of access to services as Margin Financier under Rule 11(1a) and as Trading Financier under Rule 19(1a) of the Rules and Regulations & 78.2.4 and 7C.2.4 of NCCPL Regulations, 2015.
	KP Securities (Pvt.) Limited Allied Securities (Pvt.) Limited	29-Mar-22 28-Mar-22	NCCPL/CS/113/22 NCCPL/CS/110/22	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g), & 18.3 of MCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM Termination under Regulation 18.1.1(j) & 18.3 of MCCPL Regulation, 2015 on account of Self Termination under Regulation 18.1.1(j) & 18.3 of MCCPL Regulation, 2015 on account of Self Termination under Regulation 18.1.1(j) & 18.3 of MCCPL Regulation of Self Termination under Regulation 18.1.1(j) & 18.3 of MCCPL Regulation of Self Termination under Regulation 18.1.1(j) & 18.3 of MCCPL Regulation of Self Termination under Regulation 18.1.1(j) & 18.3 of MCCPL Regulat
221	Strongman Securities (Pvt.) Limited Strongman Securities (Pvt.) Limited	28-Mar-22 22-Mar-22	NCCPL/CS/110/22 NCCPL/CRO/76/22	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Several of Restriction of the Clearing Member pursuant to action taken by PSX
222	Gul Dhami Securities (Pvt.) Limited	21-Mar-22	NCCPL/CRO/68/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
223	A.H.M Securities (Pvt.) Limited	21-Mar-22	NCCPL/CRO/69/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	Fikree's Private Limited	21-Mar-22	NCCPL/CRO/70/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	Equity Master Securities (Pvt.) Limited	21-Mar-22	NCCPL/CRO/71/22	Warning issued under Regulation 14.1 of NCCPI. Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPI. Regulations, 2015
	H.H Misbah Securities (Pvt.) Limited Investment Managers Securities (Pvt.) Limited	21-Mar-22 21-Mar-22	NCCPL/CRO/73/22 NCCPL/CRO/74/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	Strongman Securities (Pvt.) Limited	21-Mar-22 21-Mar-22	NCCPL/CRO/74/22 NCCPL/CRO/75/22	warning issued under regulation 14.1 or NCLP1 regulations, 2015 on account of snow cause notice assisted under regulation 14.5 or NCLP1 regulations, 2015 on account of snow cause notice assisted under regulation 14.5 or NCLP1 regulations, 2015 Restriction of access to services under Regulation 18.1.1(b) is 18.3 of NCCP1 Regulations, 2015 Pursuant to action taken by PSX.
226	Strongman Securities (FVL.) Littited	Z1-IVIdI-ZZ	NCCPL/CRO/75/22	nestriction of access to services under regulation 10.1.1[0] & 10.5 OF NCCPL Regulations, 2015 Pulsualit to action (alkeit by PSA

S.No Broker Name	Date	Order/ Notice Reference	Description of Disciolinary action
229 Asad Mustafa Securities (Pvt.) Limited	18-Mar-22	NCCPL/CS/105/22	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self-requestor for closure of account due to appointment of PCM
230 Fair Edge Securities (Pvt.) Limited	18-Mar-22	NCCPL/CS/103/22 NCCPL/CS/104/22	Restriction of access to services under negotation 16.1.1(t), 16.1.1(g) & 18.3 or INCCF, negotations, 20.2 upon seif request for closure of account use to appointment of PCM Restriction of access to services under negotation 18.1.1(i), 18.1.1(g) & 18.3 of NCCF, negotations, 20.2 upon seif request for closure of account due to appointment of PCM
231 Fairway Securities (Pvt.) Limited	18-Mar-22	NCCPL/CS/102/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
232 Habib Ullah Sheikh (Pvt.) Limited	18-Mar-22	NCCPL/CS/100/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
233 Muhammad Amer Riaz Securities (Pvt.) Limited	18-Mar-22	NCCPL/CS/103/22	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
234 Networth Securities Limited 235 Friendly Securities (Pvt.) Limited	18-Mar-22 17-Mar-22	NCCPL/CS/101/22 NCCPL/CRO/67/22	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM Restriction of access to services as Margin Financier under Rule 11(13) of the Rules and Regulations and P3.2 of NCPC. PR.2.4 of NCPC. PLAST account due to appointment of PCM Restriction of access to services as Margin Financier under Rule 11(13) of the Rules and Regulations and P3.2.4 of NCPC. PLAST account for the Regulations, 2015.
236 ABM Securities (Pvt.) Limited	11-Mar-22	NCCPL/CS/87/22	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of MCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
237 Gulrez Securities (Pvt.) Limited	11-Mar-22	NCCPL/CS/84/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
238 K.H.S Securities (Pvt.) Limited	11-Mar-22	NCCPL/CS/83/22	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
239 Patel Securities (Pvt.) Limited	11-Mar-22	NCCPL/CS/86/22	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
240 Tariq Vohra Securities (Pvt.) Limited 241 A.I. Securities (Pvt.) Limited	11-Mar-22 4-Mar-22	NCCPL/CS/85/22 NCCPL/CS/61/22	Restriction of access to services under Regulation 18.1.1(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM Restriction of access to services under Regulation 3.11(j), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
242 MSD Capital Equities (Pvt.) Limited	4-Mar-22	NCCPL/CS/60/22	Restriction of access to services under negulation 18.1.1(j), 18.1.1(j) & 18.3 of NCCPL Regulations, 2013 upon self request for closure of account use to appointment of PCM Restriction of access to services under Regulation 18.1.1(j), 18.1.1(j) & 18.3 of NCCPL Regulations, 2013 upon self request for closure of account use to appointment of PCM
243 Royal Securities (Pvt.) Limited	3-Mar-22	NCCPL/CRO/66/22	Restriction of access to services under Regulation 18.1.1 (c), 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
244 Cedar Capital (Pvt.) Limited - TRR	23-Feb-22	NCCPL/CRO/65/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
245 Continental Capital Management (Pvt.) Limited - TRR	23-Feb-22	NCCPL/CRO/64/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
246 Patel Securities (Pvt.) Limited - TRR	23-Feb-22	NCCPL/CRO/63/22	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
247 Abbasi Securities (Pvt.) Limited 248 Pearl Securities Limited - TRR	14-Jan-22 7-Jan-22	NCCPL/CS/10/22 NCCPL/CRO/03/22	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
248 Pearl Securities Limited - TRR 249 First National Equities Limited - TRR	7-Jan-22 7-Jan-22	NCCPL/CRO/03/22 NCCPL/CRO/02/22	Warning issued under Kegulation 14.1 or NCLP1. Kegulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCP1. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCP1. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCP1. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
250 JSK Securities Limited - JIT	7-Jan-22	NCCPL/CRO/01/22	Warning issued under neguration (APA) on The Conference of the Con
251 Pervez Ahmed Capital (Pvt.) Limited	30-Dec-21	NCCPL/CS/387/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
252 Khawaja Securities (Pvt.) Limited	29-Dec-21	NCCPL/CRO/425/21	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
253 M. Ashfaq Hussain Securities (Pvt.) Limited - Audit of CM	21-Dec-21	NCCPL/CRO/401/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations
254 AKY Securities (Pvt.) Limited - Audit of CM 255 Khausia Securities (Put.) Limited	21-Dec-21	NCCPL/CRO/398/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations Appetitudes a pages to produce under Deputation 9.1 1/10.3 polystems 20.5 polystems to action to the product of the produc
255 Khawaja Securities (Pvt.) Limited 256 Shaffi Securities (Pvt.) Limited	17-Dec-21 17-Dec-21	NCCPL/CRO/419/21 NCCPL/CRO/418/21	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited LC
257 Dawood Equities Limited	17-Dec-21	NCCPL/CRO/418/21 NCCPL/CRO/417/21	Warning issued under Regulation 14.3 of NCPL Regulations, 2015 on account of show-cause notice issued for default of money obligation
258 High Land Securities (Pvt.) Limited	17-Dec-21	NCCPL/CRO/416/21	Warning issued under Regulation 14.3 of NCCPL Regulations, 2015 on account of show-cause notice issued for default of money obligation
259 Shajar Capital Pakistan (Pvt.) Limited	15-Dec-21	NCCPL/CRO/415/21	Restriction of access to services as Margin Financier under Rule 11(1a) and as Trading Financier under Rule 19(1a) of the Rules and Regulations & 7B.2.4 and 7C.2.4 of NCCPL Regulations, 2015.
260 High Land Securities (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/397/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
261 Rahat Securities Limited - Audit of CM	26-Nov-21	NCCPL/CRO/396/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
262 Y.H. Securities (Pvt.) Limited - Audit of CM 263 Shajarpak Securities (Pvt.) Limited - Audit of CM	26-Nov-21 26-Nov-21	NCCPL/CRO/395/21 NCCPL/CRO/394/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations
264 Shaffi Securities (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/394/21 NCCPL/CRO/393/21	Warning issued under negoation 14.1 or NCCF1 negoations, 2015 on account of inspection conducted under Chapter 138 of NCCF1. Regulations Warning issued under Regulation 14.1 of NCCF1. Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCF1. Regulations
265 New Peak Securities (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/392/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 13B of NCCPL Regulations
266 MND Investments (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/391/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
267 Investment Managers Securities (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/390/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
268 Friendly Securities (Pvt.) Limited - Audit of CM	26-Nov-21	NCCPL/CRO/389/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
269 Brains Securities (Pvt.) Limited - Audit of CM 270 AHM Securities (Pvt.) Limited - Audit of CM	26-Nov-21 26-Nov-21	NCCPL/CRO/388/21 NCCPL/CRO/387/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations Understanding the Deputations 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations
271 JSK Securities Limited	25-Nov-21 25-Nov-21	NCCPL/CRO/387/21 NCCPL/CRO/399/21	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations Revocation of Restriction of the Clearing Member pursuant to action taken by PSX Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
272 Friendly Securities (Pvt.) Limited	16-Nov-21	NCCPL/CRO/382/21	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB
273 Shaffi Securities (Pvt.) Limited	16-Nov-21	NCCPL/CRO/381/21	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
274 JSK Securities Limited	16-Nov-21	NCCPL/CRO/378/21	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
275 MSD Capital Equities (Pvt.) Limited	11-Nov-21	NCCPL/CRO/377/21	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
276 MSD Capital Equities (Pvt.) Limited 277 JS Value Fund	9-Nov-21 22-Oct-21	NCCPL/CRO/376/21 NCCPL/CS/302/21	Restriction of access to services under Regulation 18.1.1[b] 8, 18.3 of NCCP. Regulations, 2015 Pursuant to action taken by PSX Termination of Non Broker Clearing Member account and Debt Market Clearing Member account under Regulation 18.1.1(i) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination of Non Broker Clearing Member account and Debt Market Clearing Member account under Regulation 18.1.1(i) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination of Non Broker Clearing Member account and Debt Market Clearing Member account under Regulation 18.1.1(i) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination of Non Broker Clearing Member account and Debt Market Clearing Member account under Self Termination 18.1.1(ii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(ii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(iii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(iii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(iii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(iii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(iii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(iii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(iii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(iii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(iii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(iii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(iii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(iii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(iii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(iii) 8, 18.3 of NCCPL Regulations, 2015 on account of Self Termination 18.1.1(
278 Moneyline Securities (Pvt.) Limited	18-Oct-21	NCCPL/CS/302/21 NCCPL/CRO/365/21	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 72.4 of NCCPL Regulations, 2015.
279 Friendly Securities (Pvt.) Limited	18-Oct-21	NCCPL/CRO/364/21	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
280 We Financial Services Limited	18-Oct-21	NCCPL/CRO/363/21	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
281 Azee Securities (Pvt.) Limited	13-Oct-21	NCCPL/CRO/358/21	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX
282 Azee Securities (Pvt.) Limited	7-Oct-21	NCCPL/CRO/353/21	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Vision
283 Adam Securities Limited - LSI 284 Pasha Securities (Pvt.) Limited - JIT	17-Sep-21 17-Sep-21	NCCPL/CRO/349/21 NCCPL/CRO/350/21	Warning Issued under Regulation 1.4.1 of NCCP. Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 1.4.1 of NCCP. Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations 31 of NCCP. Regulations 32 of NCCP. Regulations 33 of NCCP. Regulations 34 of NCCP. Regulations 35 of NCCP. Regulations 36 of NCCP. Regulations 36 of NCCP. Regulations 37 of NCCP. Regulations 37 of NCCP. Regulations 38 of NCCP. Regulations 39 of NCCP. Regulations 30 of NCCP. Regulations 31 of NCCP. Regulations 30 of NCCP. Regulations
285 WE Financial Services Limited	17-Sep-21	NCCPL/CRO/352/21	warming issued uniter negaritation 3.2.1 of Next regulations, 2021 on account or inspection of uniterated NCB Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB
286 Falki Capital Private Limited	17-Sep-21	NCCPL/CS/259/21	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
287 Ahsam Securities (Pvt) Limited	10-Sep-21	NCCPL/CS/253/21	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
288 HP Securities (Pvt) Limited	10-Sep-21	NCCPL/CS/252/21	Restriction of access to services under Regulation 18.1.1(i), 18.1.1(g) & 18.3 of NCCPL Regulations, 2015 upon self request for closure of account due to appointment of PCM
289 Royal Securities (Pvt.) Limited 290 Royal Securities (Pvt.) Limited	10-Sep-21 8-Sep-21	NCCPL/CRO/347/21 NCCPL/CRO/345/21	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations, 2015. Revocation of Suspension of the Clearing Member pursuant to action taken by PSX
291 MAC Securities (Pvt.) Limited 291 MAC Securities (Pvt.) Limited	8-Sep-21 27-Aug-21	NCCPL/CRO/345/21 NCCPL/CS/221/21	Kevocation of suspension of the Clearing Member 2 missing and to action factor by Post. Termination under Regulation 18.1.1(i) 8.18.0 for CVEN Regulation, 2015 on account of Self Termination
292 SM Securities (Pvt.) Limited	27-Aug-21 27-Aug-21	NCCPL/CS/224/21	Termination under Regulation 1.6.1.1/1 à 16.3 of NCCP. Regulations, 2015 of account of Self Termination
293 Msmaniar Financials (Pvt.) Limited	13-Aug-21	NCCPL/CRO/343/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
294 DJM Securities (Pvt.) Limited	13-Aug-21	NCCPL/CRO/342/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
295 Salim Sozer Securities (Pvt.) Limited	13-Aug-21	NCCPL/CRO/341/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
296 Time Securities (Pvt) Limited 297 General Investments & Securities (Pvt) Limited	13-Aug-21	NCCPL/CRO/340/21 NCCPL/CRO/339/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.6 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
297 General Investments & Securities (Pvt.) Limited 298 New Peak Securities (Pvt.) Limited - JIT	13-Aug-21 13-Aug-21	NCCPL/CRO/339/21 NCCPL/CRO/338/21	Warning Issued under Regulation 14.1 of NCCP. Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
		NCCPL/CRO/337/21	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
299 Azee Securities (Pvt.) Limited - JIT 300 Inveslink Capital (Pvt.) Limited	13-Aug-21 9-Jul-21	NCCPL/CRO/250/21	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
299 Azee Securities (Pvt.) Limited - JIT 300 Inveslink Capital (Pvt.) Limited 301 Fikree's (Pvt.) Limited	13-Aug-21 9-Jul-21 9-Jul-21	NCCPL/CRO/250/21 NCCPL/CRO/249/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
299 Azee Securities (Pvt.) Limited - JIT 300 Inveslink Capital (Pvt.) Limited 301 Fikree's (Pvt.) Limited 302 Surnawala Securities (Pvt.) Limited	13-Aug-21 9-Jul-21 9-Jul-21 9-Jul-21	NCCPL/CRO/250/21 NCCPL/CRO/249/21 NCCPL/CRO/252/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
299 Axee Securities [Pvt,] Limited - JIT 300 Investink Capital [Pvt,] Limited 301 Filtree's [Pvt,] Limited 302 Surmawala Securities [Pvt,] Limited 303 Patel Securities [Pvt,] Limited	13-Aug-21 9-Jul-21 9-Jul-21 9-Jul-21 9-Jul-21	NCCPL/CRO/250/21 NCCPL/CRO/249/21 NCCPL/CRO/252/21 NCCPL/CRO/253/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
299 Axee Securities (Pvt.) Limited - JIT 300 Inveslink Capital (Pvt.) Limited 301 Fikree's (Pvt.) Limited 302 Surmawala Securities (Pvt.) Limited 304 M. Ashfaq Hussain Securities (Pvt.) Limited 305 M. Ashfaq Hussain Securities (Pvt.) Litd	13-Aug-21 9-Jul-21 9-Jul-21 9-Jul-21 9-Jul-21 9-Jul-21	NCCPL/CRO/250/21 NCCPL/CRO/249/21 NCCPL/CRO/252/21 NCCPL/CRO/253/21 NCCPL/CRO/251/21	Warning Issued under Regulation 14.1 of NCCP. Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP. Regulations, 2015 Warning Issued under Regulation 14.1 of NCCP. Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP. Regulations, 2015 Warning Issued under Regulation 14.1 of NCCP. Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP. Regulations, 2015 Warning Issued under Regulation 14.1 of NCCP. Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP. Regulations, 2015 Warning Issued under Regulation 14.1 of NCCP. Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP. Regulations, 2015
299 Axee Securities [Pvt,] Limited - JIT 300 Investink Capital [Pvt,] Limited 301 Filtree's [Pvt,] Limited 302 Surmawala Securities [Pvt,] Limited 303 Patel Securities [Pvt,] Limited	13-Aug-21 9-Jul-21 9-Jul-21 9-Jul-21 9-Jul-21	NCCPL/CRO/250/21 NCCPL/CRO/249/21 NCCPL/CRO/252/21 NCCPL/CRO/253/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015

S.No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
	AM Chaudhry Securities (Pvt.) Limited - JIT	9-Jul-21	NCCPL/CRO/227/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Vector Securities (Pvt.) Limited - TRR	9-Jul-21	NCCPL/CRO/237/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	128 Securities (Pvt.) Limited - TRR	9-Jul-21	NCCPL/CRO/236/21	Warning issued and penalty imposed under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
311	128 Securities (Pvt.) Limited - Audit of CM	30-Jun-21	NCCPL/CRO/243/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
312 313	Arif Latif Securities (Pvt.) Limited - Audit of CM	25-Jun-21	NCCPL/CRO/241/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
	Salim Sozer Securities (Pvt.) Limited - Audit of CM Amer Securities (Pvt.) Limited - Audit of CM	25-Jun-21 25-Jun-21	NCCPL/CRO/239/21 NCCPL/CRO/240/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations
	HMC Stocks (Pvt.) Limited - Audit of CM	25-Jun-21 25-Jun-21	NCCPL/CRO/240/21 NCCPL/CRO/245/21	Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations Warning Issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations and the control of the Chapter 138 of NCCPL Regulations (2015) on account of Inspection conducted under Chapter 138 of NCCPL Regulations and the control of the Chapter 138 of NCCPL Regulations (2015) on account of Inspection conducted under Chapter 138 of NCCPL Regulations and the control of NCCPL Regulations (2015) on account of Inspection conducted under Chapter 138 of NCCPL Regulations and the control of NCCPL Regulations (2015) on account of Inspection conducted under Chapter 138 of NCCPL Regulations and the control of NCCPL Regulations (2015) on account of Inspection conducted under Chapter 138 of NCCPL Regulations and the control of NCCPL Regulations (2015) on account of Inspection conducted under Chapter 138 of NCCPL Regulations and the control of NCCPL Regulations (2015) on account of Inspection conducted under Chapter 138 of NCCPL Regulations and the control of NCCPL Regulations (2015) on account of Inspection conducted under Chapter 138 of NCCPL Regulations and the control of NCCPL Regulations (2015) on account of Inspection conducted under Chapter 138 of NCCPL Regulations and the control of NCCPL Regulations (2015) on account of Inspection conducted under Chapter 138 of NCCPL Regulations and the control of NCCPL Regulations (2015) on account of Inspection control of NCCPL Regulations and the control of NCCPL Regulations (2015) on account of Inspection control of NCCPL Regulations (2015) on account of NCCPL Regul
	Pearl Securities Limited - Audit of CM	25-Jun-21	NCCPL/CRO/245/21	Warning issued under Regulation 4.1 of NCCF Regulations, 2015 on account of inspection conducted under clinique and NCCF Regulations Warning issued under Regulation 14.1 of NCCF Regulations, 2015 on account of inspection conducted under clinique 13.0 of NCCF Regulations Warning issued under Regulation 14.1 of NCCF Regulations, 2015 on account of inspection conducted under clinique 13.0 of NCCF Regulations
317	Axis Global Limited - Audit of CM	25-Jun-21	NCCPL/CRO/242/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations
318	Q. Ain Khanani Securities (Pvt.) Limited	18-Jun-21	NCCPL/CRO/232/21	Revocation of Restriction of Access to Services
319		18-Jun-21	NCCPL/CRO/231/21	Suspension under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX
320	Q. Ain Khanani Securities (Pvt.) Limited	16-Jun-21	NCCPL/CRO/230/21	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
321	Bawany Securities (Pvt.) Limited - TRR	11-Jun-21	NCCPL/CRO/226/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
322	Integrated Equities Limited - TRR	11-Jun-21	NCCPL/CRO/225/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
323	ACM Global (Pvt.) Limited - TRR	11-Jun-21	NCCPL/CRO/224/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
324 325	Saya Securities (Pvt.) Limited - TRR	11-Jun-21 11-Jun-21	NCCPL/CRO/223/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
325	Nini Securities (Pvt.) Limited - TRR		NCCPL/CRO/222/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Death and the Company of the C
	Moneyline Securities (Pvt.) Limited - JIT NBP Fund Management Limited - NAFA Islamic Principle Protected	11-Jun-21 28-May-21	NCCPL/CRO/221/21 NCCPL/CS/142/21	Warning issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Termination under Regulation 14.1 of MCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 14.1 of MCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 14.1 of MCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 14.1 of MCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 14.1 of MCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 14.1 of MCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 14.1 of MCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 14.1 of MCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 14.1 of MCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 14.1 of MCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 14.1 of MCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 14.1 of MCCPL Regulations Termination under Regulation 14.1 of MCCPL Regulation 1
327	Fund-II	ZO-IVIdy-ZI	NCCPL/C3/142/21	reminional under neguration 20.7.4(1) & 20.3 or mosel. Negurations, 2023 on decount of Self-Termination
328	Khawaja Securities (Pvt.) Limited	28-May-21	NCCPL/CS/141/21	Termination as Margin Trading Financee under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
329	Azee Securities (Pvt.) Limited	25-May-21	NCCPL/CRO/215/21	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
330	Azee Securities (Pvt.) Limited	25-May-21	NCCPL/CRO/214/21	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
331	Infinite Securities Limited	18-May-21	NCCPL/CRO/212/21	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	MAS Capital Securities (Pvt.) Limited	4-May-21	NCCPL/CS/97/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
333	BMA Capital Management Limited - LSI	3-May-21	NCCPL/CRO/208/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Khanani Securities (Pvt.) Limited - TRR	3-May-21	NCCPL/CRO/203/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
335	HMC Stocks (Pvt.) Limited	3-May-21	NCCPL/CRO/202/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
336	K & I Global Capital (Pvt.) Limited Irfan Mazhar Securities (Pvt.) Limited - TRR	3-May-21 3-May-21	NCCPL/CRO/201/21 NCCPL/CRO/200/21	Warning Issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of MCCPL Regulations, 2015 On account of show cause notice issued under Regulation 14.5 or MCCPL Regulations, 2015 On account of Inspection onducted under Joint Inspection Regulations
	Y.H. Securities (Pvt.) Limited - TRR	3-May-21	NCCPL/CRO/200/21 NCCPL/CRO/199/21	Warning issued under Regulation 14.1 of NCCF. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCF. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCF. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	RAH Securities (Pvt.) Limited	3-May-21	NCCPL/CRO/198/21	Warning issued under Regulation 14.1 or NCF C Regulations, 2015 on account or inspection consideration in inspection in inspecti
340	First National Equities Limited - TRR	3-May-21	NCCPL/CRO/193/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
341	Aba Ali Habib Securities (Pvt.) Limited - TRR	3-May-21	NCCPL/CRO/192/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
342	M. Ashfaq Hussain Securities (Pvt.) Limited - TRR	23-Apr-21	NCCPL/CRO/190/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
343	Bhayani Securities (Pvt.) Limited - TRR	23-Apr-21	NCCPL/CRO/186/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Bawany Securities (Pvt.) Limited	23-Apr-21	NCCPL/CRO/176/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
345		23-Apr-21	NCCPL/CRO/175/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
346	AKY Securities Private Limited	23-Apr-21	NCCPL/CRO/174/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
347	Value Stock and Commodities (Pvt.) Limited Salman Majeed Securities (Pvt.) Limited	23-Apr-21 23-Apr-21	NCCPL/CRO/173/21 NCCPL/CRO/172/21	Warning issued and genalty imposed under Regulation 1.4.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 1.4.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 1.4.5 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 1.4.5 of NCCPL Regulations, 2015
	A.I Securities Private Limited	23-Apr-21 23-Apr-21	NCCPL/CRO/172/21 NCCPL/CRO/171/21	warning issued and penalty imposed under Regulation 14.1 of NCCP. Regulations, 2015 on account of show cause notice issued under Regulation 14.5 or NCCP. Regulations, 2015 Warning issued and penalty imposed under Regulation 14.1 of NCCP. Regulations, 2015 on account of show cause notice issued under Regulation 14.3 or NCCP. Regulations, 2015 Warning issued and penalty imposed under Regulation 14.1 of NCCP. Regulations, 2015 Warning issued and penalty imposed under Regulation 14.1 of NCCP. Regulations, 2015 Warning issued and penalty imposed under Regulation 14.1 of NCCP. Regulations, 2015
350	Akhai Securities Private Limited	23-Apr-21	NCCPL/CRO/171/21 NCCPL/CRO/170/21	Warning issued and penalty imposed under Regulation 14.2 of NCCP. Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP. Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP. Regulations, 2015
	Fikree's Private Limited	16-Apr-21	NCCPL/CRO/167/21	Warning issued and penalty imposed under Regulation 14.1 and 14.3 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 and 18.2 of NCCPL Regulations, 2015
351			,,,,	9
352	Apex Capital Securities (Pvt.) Limited - JIT	16-Apr-21	NCCPL/CRO/165/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and penalty imposed
	Dawood Equities Limited - TRR	16-Apr-21	NCCPL/CRO/163/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	We Financial Services Limited	16-Apr-21	NCCPL/CRO/187/21	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
355		14-Apr-21	NCCPL/CRO/184/21	Revocation of Suspension of the Authorized Intermediary Pursuant to action taken by PMEX
	ACM Gold (Pvt.) Limited	12-Apr-21	NCCPL/CRO/178/21	Suspension under Regulation 8.2 & 8.3 of Centralized Know Your Customer Organization Regulations, 2017 Pursuant to action taken by PMEX
357	Infinite Securities Limited	9-Apr-21	NCCPL/CRO/177/21	Revocation of Restriction of Access to Services
358	Icon capital Management (Pvt.) Limited Salim Sozer Securities (Pvt.) Limited	8-Apr-21 26-Mar-21	NCCPL/CS/86/21 NCCPL/CRO/150/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Warning Issue under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
360	GMI Capital Securities (Pvt.) Limited GMI Capital Securities (Pvt.) Limited - TRR	26-Mar-21	NCCPL/CRO/150/21 NCCPL/CRO/148/21	Warning issued under regulation 14.1 or NCLP: Regulations, 2015 on account of snow cause notice assued under regulation 14.0 or NCLP: Regulations, 2015 on account of snow cause notice assued under regulation 14.0 or NCLP: Regulations, 2015 Warning issued under Regulation 14.1 or NCLP: Regulations, 2015 on account of inspection conducted under londucted under longitudino 14.1 or NCLP: Regulations, 2015 Warning issued under Regulation 14.1 or NCLP: Regulations, 2015 on account of inspection conducted under longitudino 14.0 or NCLP: Regulations (Supplied to the North Conducted under longitudino 14.0 or NCLP: Regulations, 2015)
361	Zafar Moti Capital Securities (Pvt.) Limited - TRR	26-Mar-21	NCCPL/CRO/149/21	Warning issued under Regulation 44.1 of NCCE 1 Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCE 1 Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCE 1 Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
362	Salim Sozer Securities (Pvt.) Limited - TRR	26-Mar-21	NCCPL/CRO/136/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	Zafar Moti Capital Securities (Pvt.) Limited - JIT	22-Mar-21	NCCPL/CRO/114/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint inspection Regulations
364	Msmaniar Financials (Pvt.) Limited	22-Mar-21	NCCPL/CRO/132/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
365	SAAO Capital (Pvt) Limited	22-Mar-21	NCCPL/CRO/131/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	Pearl Securities Limited	22-Mar-21	NCCPL/CRO/127/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
367	Spectrum Securities Limited - JIT	10-Mar-21	NCCPL/CRO/113/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
368	B & B Securities (Pvt.) Limited - TRR	9-Mar-21	NCCPL/CRO/118/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Death and the Company of the C
369 370	Highland Securities Pvt limited - TRR Tariq Vohra Securities (Pvt.) Limited - TRR	9-Mar-21 9-Mar-21	NCCPL/CRO/116/21 NCCPL/CRO/115/21	Warning Issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of Inspection conducted under Joint inspection Regulations Warning Issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of Inspection conducted under Joint inspection Regulations Warning Issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning Issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations
	Q.Ain Khanani Securities (Pvt.) Limited - TRK	9-Mar-21	NCCPL/CRO/115/21 NCCPL/CRO/122/21	Warning issued under regulation 14.1 or NCLP1 regulations, 2015 on account or inspection conducted under regulation 14.5 of NCCP1 Regulations, 2015 on account of show cause notice issued under Regulation 14.1 of NCCP1 Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCP1. Regulations, 2015
372	Continental Capital Management Pvt Limited	9-Mar-21	NCCPL/CRO/122/21 NCCPL/CRO/123/21	Warling issued under negulaturi 14.1 of NCFL regulations, 2015 or account of show cause notice issued under Regulation 14.2 of NCFL regulations, 2015 Warling issued under Regulaturi 14.1 of NCFL Regulations, 2015 or account of show cause notice issued under Regulation 14.3 of NCFL regulations, 2015 Warning issued under Regulation 14.1 of NCFL regulations, 2015 or account of show cause notice issued under Regulation 14.0 of NCFL regulations, 2015
	We Financial Services Limited	9-Mar-21	NCCPL/CRO/124/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
374	Brains Securities (Pvt.) Ltd	9-Mar-21	NCCPL/CRO/125/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
375	N.U.A. Securities (Pvt.) Limited	15-Feb-21	NCCPL/CRO/103/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	Prime Securities (Pvt) Limited	15-Feb-21	NCCPL/CRO/101/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
377	B & B Securities (Pvt.) Limited	15-Feb-21	NCCPL/CRO/100/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
378		15-Feb-21	NCCPL/CRO/99/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
379	Merchant Investments (Pvt.) Limited	15-Feb-21	NCCPL/CRO/98/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
380	Khanani Securities (Pvt.) Limited	15-Feb-21	NCCPL/CRO/97/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of NCCPL Regulations, 2015
	Z.A Ghaffar Securities (Pvt.) Limited Iqbal Usman Kodvavi Securities (Pvt.) Limited	15-Feb-21 15-Feb-21	NCCPL/CRO/96/21 NCCPL/CRO/95/21	Warning issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of MCCPL Regulations, 2015 Warning issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of show cause notice issued under Regulation 14.5 of MCCPL Regulations, 2015
	M. Tariq Moti Securities (Pvt.) Limited M. Tariq Moti Securities (Pvt.) Limited	15-Feb-21 15-Feb-21	NCCPL/CRO/95/21 NCCPL/CRO/94/21	Warning issued under Regulation 14.1 of NCLP1. Regulations, 2015 on account of show cause notice issued under regulation 14.5 of NCLP1. Regulations, 2015 Warning issued under Regulation 14.1 of NCCP1. Regulations, 2015 on account of show cause notice issued under regulation 14.5 of NCCP1. Regulations, 2015
	Tariq Vohra Securities (Pvt.) Limited	15-Feb-21	NCCPL/CRO/94/21 NCCPL/CRO/93/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 account of show cause notice issued under regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under regulation 14.5 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of show cause notice issued under regulation 14.5 of NCCPL Regulations, 2015
	We Financial Services Limited	3-Feb-21	NCCPL/CRO/92/21	Warming issued under negatituding and a state of the control of th
			,,,	

S.No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
-	Motiwala Securities (Pvt.) Limited	27-Jan-21	NCCPL/CS/35/21	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
	Royal Securities (Pvt.) Limited	26-Jan-21	NCCPL/CRO/29/21	Suspension under Regulation 18.1.1(a), 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
388	128 Securities Pvt Limited - Audit of CM	25-Jan-21	NCCPL/CRO/27/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations and penalty imposed
	Time Securities (Pvt) Limited - JIT	25-Jan-21	NCCPL/CRO/32/21	Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and penalty imposed
390 391	Msmaniar Financials Private Limited - JIT	25-Jan-21	NCCPL/CRO/31/21	Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations and penalty imposed
391	Friendly Securities Private Limited - JIT Shajar Capital Private Limited - TRR	25-Jan-21 15-Jan-21	NCCPL/CRO/30/21 NCCPL/CRO/8/21	Notice issued to resolve open observation under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations and penalty imposed Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection inder Joint Inspection Regulations
	INA Securities (Pvt.) Ltd - JIT	15-Jan-21	NCCPL/CRO/7/21	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under John Inspection regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under John Inspection Regulations
394	Pearl Securities Limited	11-Jan-21	NCCPL/CRO/5/21	Warning issued and penalty imposed under Regulation 14.1.1 and 14.6 of NCCPL Regulations, 2015 on account of matters identified in inspection conducted by SECP
395	Infinite Securities Limited	11-Jan-21	NCCPL/CRO/004/21	Restriction of access to services under Regulation 18.1.1(a), 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
	Abbasi Securities (Pvt.) Limited	4-Jan-21	NCCPL/CRO/001/21	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015
	Ismail Iqbal Securities (Pvt.) Limited	31-Dec-20	NCCPL/CRO/348/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	Spinzer Equities (Pvt.) Limited Khadim Ali Shah Bukhari Securities (Pvt.) Limited	31-Dec-20 31-Dec-20	NCCPL/CRO/256/20 NCCPL/CRO/349/20	Warning issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Taurus Securities Limited	31-Dec-20	NCCPL/CRO/358/20	warning issued under Regulation 14.1 of NCCPL Regulations, 20.20 in account of inspection conducted under Joint Inspection regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 20.20 in account of inspection conducted under Joint Inspection regulations
	Dawood Equities Limited - Audit of CM	31-Dec-20	NCCPL/CRO/359/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCPL Regulations
	HP. Byramji & Co. (Pvt.) Limited	24-Dec-20	NCCPL/CS/410/20	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
403	Progressive Securities (Pvt.) Limited - Audit of CM	11-Dec-20	NCCPL/CRO/353/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	MGM Securities (Pvt.) Limited - Audit of CM	11-Dec-20	NCCPL/CRO/352/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	Khawaja Securities (Pvt.) Limited - Audit of CM	11-Dec-20	NCCPL/CRO/351/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
	ASA Stocks (Pvt.) Limited - Audit of CM MSD Capital Equities (Pvt.) Limited	11-Dec-20 11-Dec-20	NCCPL/CRO/350/20 NCCPL/CRO/347/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Shaukat Shafi Securities (PVt.) Limited	2-Dec-20	NCCPL/CS/401/20	warning issued under negulation 18.1.1(c) & 18.3 of NCPL negulations, 2015 on account of inspection conducted under Joint inspection negulations Termination under Regulation 18.1.1(c) & 18.3 of NCPL negulations, 2015 private to account of inspection conducted under Joint inspection negulations Termination under Regulation 18.1.1(c) & 18.3 of NCPL negulations, 2015 private to action taken by CDC
	Amer Securities (Pvt.) Limited	26-Nov-20	NCCPL/CS/396/20	Termination as Margin Financier under Regulation 18.1.1(d) & 18.3 of NCCPL Regulations, 2015 or account of Self Termination
	Akhai Securities (Pvt) Limited	12-Nov-20	NCCPL/CRO/333/20	Revocation of Restriction of Access to Services
411	M Ashfaq Hussain Securities (Pvt) Limited	11-Nov-20	NCCPL/CRO/332/20	Revocation of Restriction of Access to Services
	M Ashfaq Hussain Securities (Pvt) Limited	10-Nov-20	NCCPL/CRO/329/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
	Akhai Securities (Pvt) Limited	10-Nov-20	NCCPL/CRO/328/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
	Q. Ain Khanani Securities (Pvt.) Limited Continental Capital Management (Pvt.) Limited	10-Nov-20 4-Nov-20	NCCPL/CRO/327/20 NCCPL/CRO/313/20	Revocation of Restriction of Access to Services Revocation of Restriction of Access to Services
	Continental Capital Management (Pvt.) Limited We Financials Services Limited	3-Nov-20	NCCPL/CRO/313/20 NCCPL/CRO/312/20	REVOCATION OF NEXTICION OF ACCESS tO SERVICES RESERVICED AS CACCESS TO SERVICES AS MARIJE FINANCIE UNDER FULL 11(1a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations, 2015.
	Amer Securities (Pvt.) Limited	3-Nov-20	NCCPL/CRO/311/20	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations, 2015.
	Continental Capital Management (Pvt.) Limited	3-Nov-20	NCCPL/CRO/310/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
	Fairway Securities (Pvt.) Limited	3-Nov-20	NCCPL/CRO/309/20	Revocation of Restriction of access to services as Margin Financier and Trading Financier pursuant to submission of audited NCB
420	Q. Ain Khanani Securities (Pvt.) Limited	3-Nov-20	NCCPL/CRO/308/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
	A.I Securities (Pvt.) Limited	2-Nov-20	NCCPL/CRO/305/20	Revocation of Restriction of Access to Services
	A.I Securities (Pvt.) Limited Salman Majeed Sec	29-Oct-20 27-Oct-20	NCCPL/CRO/301/20 NCCPL/CRO/290/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	Rafi Securities (Pvt.) Limited	27-Oct-20	NCCPL/CRO/296/20	Warning issued under negulation 14.1 of NCEPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCEPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCEPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCEPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	Memon Securities (Pvt.) Limited	27-Oct-20	NCCPL/CRO/293/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Next Capital Limited	27-Oct-20	NCCPL/CRO/289/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	N. U. A. Securities (Pvt.) Limited	27-Oct-20	NCCPL/CRO/291/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
428	Brains Securities (Pvt.) Ltd	27-Oct-20	NCCPL/CRO/295/20	Warning issued under Regulation 14.1 of MCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Topline Securities Limited - Audit of CM Patel Securities Pvt Limited - Audit of CM	27-Oct-20 27-Oct-20	NCCPL/CRO/294/20 NCCPL/CRO/288/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 13B of NCCPL Regulations
	Millennium Brokerage (Pvt.) Limited - Audit of CM	27-Oct-20	NCCPL/CRO/292/20	Warning Issued under Regulation 14.1 of NCCF Legulations, 2015 on account of inspection conducted under Chapter 138 of NCCF Legulations Warning Issued under Regulation 14.1 of NCCF Regulations, 2015 on account of inspection conducted under Chapter 138 of NCCF Regulations
432	Xpert Securities (Pvt.) Limited	7-Oct-20	NCCPL/CRO/286/20	Revocation of Restriction of Access to Services
	MSD capital Equities (Pvt.) Limited	5-Oct-20	NCCPL/CRO/285/20	Revocation of Restriction of Access to Services
	Reliance Securities Limited	29-Sep-20	NCCPL/CRO/284/20	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015
	Asa Stocks Pvt Limited- TRR	28-Sep-20	NCCPL/CRO/271/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
430	Arif Latif securities Pvt Limited Fikree's (Pvt) Ltd	28-Sep-20 28-Sep-20	NCCPL/CRO/273/20 NCCPL/CRO/274/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint in spection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Kosmopolitan Securities	28-Sep-20 28-Sep-20	NCCPL/CRO/274/20 NCCPL/CRO/272/20	warning issued under Regulation 14.1 of NCCP. Regulations, 2015 on account or inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCP. Regulations, 2015 on account or inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCP. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCP. Regulations, 2015 on account of inspection Conducted under Joint Inspection Regulations
439	Cedar Capital (Pvt.) Limited	28-Sep-20	NCCPL/CRO/275/20	Warning issued under Regulation 34.2 of NeCe 1 Negotiations, 2015 on account of inspection conducted under Joint Inspection (Pagilations)
440	General Investments & Securities (Pvt) Limited	28-Sep-20	NCCPL/CRO/277/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Hamza Farhad Securities (Pvt) Limited	28-Sep-20	NCCPL/CRO/279/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Saz Capital Securities (Pvt.) Limited	28-Sep-20	NCCPL/CRO/280/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
443	FM Securities (Pvt) Limited New Peak Securities (Pvt.) Limited	18-Sep-20 18-Sep-20	NCCPL/CS/299/20 NCCPL/CRO/278/20	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Restriction of access to services under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	Arch Capital Securities (Pvt.) Limited	18-Sep-20 18-Sep-20	NCCPL/CS/302/20	RESTRICTION OF ACCESS TO SERVICES UNDER REQUISITION 12.10) As 18.3 OF INCPL. REQUISITIONS, 2013 FURSIANT tO ACCION TAKEN BY PSX TERMINATION UNDER REQUISITION 13.1 (1) & 18.3 OF INCPL. REQUISITIONS, 2013 FOR TERMINATION OF THE PROPERTY OF
446	ASDA Securities (Pvt) Limited	3-Sep-20	NCCPL/CRO/265/20	Revocation of Restriction of access to service as Margin Financier pursuant to submission of unaudited NCB
447	Amer Securities (Pvt.) Limited	18-Aug-20	NCCPL/CRO/248/20	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB
448	We Financial Services Limited	18-Aug-20	NCCPL/CRO/249/20	Revocation of Restriction of access to services as Margin Financier pursuant to submission of unaudited NCB
	Asian Securities (Pvt.) Limited-TRR	17-Aug-20	NCCPL/CRO/241/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Dattoo Securities (Pvt.) Limited - TRR	17-Aug-20	NCCPL/CRO/242/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Vivening issued under Deputation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Eleven Stars Securities (Pvt.) Limited - TRR	17-Aug-20	NCCPL/CRO/243/20 NCCPL/CRO/244/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	Friendly Securites (Pvt.) Limited- TRR Interactive Sec (Pvt.) Limited - TRR	17-Aug-20 17-Aug-20	NCCPL/CRO/244/20 NCCPL/CRO/245/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint inspection Regulations Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
	Msmaniar Financials (Pvt.) Limited - TRR	17-Aug-20 17-Aug-20	NCCPL/CRO/245/20 NCCPL/CRO/246/20	warning issued under negulation 19-1. OF NCCE negulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCE Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1 of NCCE Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	RAH Securities (Pvt.) Limited-TRR	17-Aug-20	NCCPL/CRO/247/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
456	128 securities (Pvt) Limited	12-Aug-20	NCCPL/CS/265/20	Termination as MTS fianancee under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
	Horizon Securities Limited	30-Jul-20	NCCPL/CS/263/20	Termination of SLB account on account of Self Termination
	Asad Mustafa Securities (Pvt.) Limited	16-Jul-20	NCCPL/CRO/224/20	Revocation of Restriction of access to services as Margin Financier and Trading Financier pursuant to submission of unaudited NCB
	Patel Securities (Pvt.) Limited	14-Jul-20 14-Jul-20	NCCPL/CRO/222/20 NCCPL/CRO/221/20	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation Surpension upday Equalston 1.9.1.1.161 of MCCUI. Repulsions of Identifying the Surpension upday Repulsion 1.9.1.161 of MCCUI. Repulsions of Identifying the Surpension upday.
40U	Patel Securities (Pvt.) Limited Askari Securities (Pvt) Limited - Audit of CM	14-Jul-20 3-Jul-20	NCCPL/CRO/221/20 NCCPL/CRO/215/20	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation Warning issue under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
1 461 L		3-Jul-20	NCCPL/CRO/214/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Chapter 138 of NCCPL Regulations
	Summit Capital (Pvt) Limited - Audit of CM			
462 463	Summit Capital (Pvt.) Limited - Audit of CM SAAO Capital (Pvt.) Limited	3-Jul-20	NCCPL/CRO/209/20	Warning issued under Regulation 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
462 463 464	Summit Capital (Pvt.) Limited SAAO Capital (Pvt.) Limited Sethi Securities (Pvt.) Limited Royal Securities (Pvt.) Limited			

The contract contract Park Notes 1.50	
20 Description 1.00 De	
Month Security Principal	
Page Test Security Price 1.5 to 1.00 1.00	
Martin Sept Mode Sept Mode Sept Mode Sept	
Security (Control (
1.00	
Feb Proceded Sources (Prof. Intended 1,16-May 20 ACCI, COLONIAN) Recorded of Section of Section of Section of Section (Proc. Intended Sources) Proc.	
15 Secret Capatil PA L Intelled 3-May 28 NCCVLCOVILLOS Resourced or All Today Frances and Trades Prances and Trades Prances or Available NC No. 10 No.	
1935 Mary Securities Pol. J Interfed	
Section Proceedings Section	
172 Part Carbot Print Comment 1.5 May 20 MCCACCONTARS Margine State State Linked 1.5 May 20 MCCACCONTARS Margine State Linked 1.5 May 20 MC	
180 Seat Securities (Ph.1.) Limited S. May 20 MCCPL, (2017) 1700 Warring sead under Regulation (1.4 of MCCP, (1.5) Regulations, 2015 on account of Inspection Conducted under but Imagestic Regulation (1.4 of MCCP, (1.5) Regulations, 2015 on account of Inspection Conducted under but Imagestic Regulation (1.4 of MCCP, (1.5) Regulations, 2015 on account of Inspection Conducted under but Imagestic Regulation (1.4 of MCCP, (1.5) Regulations, 2015 on account of Inspection Conducted under but Imagestic Regulation (1.4 of MCCP, (1.4) Regulations, 2015 on account of Inspection Conducted under but Imagestic Regulation (1.4 of MCCP, (1.4) Regulations, 2015 on account of Inspection Conducted under But Imagestic Regulation (1.4 of MCCP, (1.4) Regulations, 2015 on account of Inspection Conducted under But Imagestic Regulation (1.4 of MCCP, (1.4) Regulations, 2015 on account of Inspection Conducted under But Imagestic Regulation (1.4 of MCCP, (1.4) Regulations, 2015 on account of Inspection Conducted under But Imagestic Regulation (1.4 of MCCP, (1.4) Regulations, 2015 on account of Inspection Conducted under But Imagestic Regulation (1.4 of MCCP, (1.4) Regulations, 2015 on account of Inspection Conducted under But Imagestic Regulation (1.4 of MCCP, (1.4) Regulations, 2015 on account of Inspection Conducted under But Imagestic Regulation (1.4 of MCCP, (1.4) Regulations, 2015 on account of Inspection Conducted under But Imagestic Regulation (1.4 of MCCP, (1.4) Regulations, 2015 on account of Inspection Conducted under But Imagestic Regulation (1.4 of MCCP, (1.4) Regulations, 2015 on account of Inspection Conducted under But Imagestic Regulations, 2015 on account of Inspection Conducted under But Imagestic Regulations, 2015 on account of Inspection Conducted under But Imagestic Regulations, 2015 on account of Inspection Conducted under But Imagestic Regulations, 2015 on account of Inspection Conducted under But Imagestic Regulations, 2015 on account of Inspection Conducted under But Imagestic Regulations, 2015 on accoun	
ABS State Counting From the Limited TRB S. May 20 MCCC, PCGO 17120 Warmer is used unfor Regulations 3.05 account of Impaction conducted unfor an third specific production 3.05 account of Impaction conducted unfor an third specific production 3.05 account of Impaction conducted unfor an third specific production 3.05 account of Impaction conducted unfor an third specific production 3.05 account of Impaction conducted unfor an internation 3.05 account of Impaction conducted unfor an internation 3.05 account of Impaction 3.05 account	
Securities Protect Limited Parts Safe 20 NCCPL/CD/S2020 Warring stude under Repolations, 2015 on account of Impactions conducted under 20th Impactions Repulsions Safe 20 NCCPL/CD/S2020 Termination under 15 of Percentage National Conference Nation	
1883 Mode Bask Limenie Settling bask Branch 28-64-20 MCCPL/CF/SEC/2001 Termination under Repetation 18.11 10.8 k 13 of MCCP. Regulations, 2013 to account of Set Termination	
1885 State Custles Counting Publishmed 23-84-20 NCCV_CVS1842000 Terminations under Regulation III. 108. 8.13 of NCCV. Regulations, 2035 on account of Self-Terminations 14-85-20 NCCV_CVS1842000 Terminations in Self-Terminations 14-85-20 NCCV_CVS1842000 Terminations in Self-Terminations 14-85-20 NCCV_CVS1842000 Terminations 14-85-20 NCCV_CVS1	
ABS District Securities (PM Limited 12.4 a.p. 20 MCOV_CON_16620 Warming sauded under Begulation 1.5.1 of MCCF, Regulations, 2015 on account of service conducted under brown impacts Regulations (S. 16.4 a.p. 20 Warming sauded under Begulation 1.5.1 of MCCF, Regulations, 2015 on account of service conducted under brown impacts Regulations (S. 16.4 a.p. 20 MCOV_CON_16620 Warming sauded under Begulation 1.5.1 of MCCF, Regulations, 2015 on account of service conducted under brown impacts and securities (PM Limited 1.2 d.p. 20 MCCF, MCOV_CON_16620 Management of M	
April Part Immed 2.1 April	
Ask Morals Securities (PM) Limited	
Assistance Securities (PVI Limited 21 Apr.) 20 NCCV_CRO(016570 NCCV_CRO(0165	
180 First Street Capital (Ps.1.) Imitted 17.4p./20	
1951 Ventor Securities (Prt) Uniteds 17-Apr-20 NCCPUCRO(1920) Restriction of access to survices as Margin Financiar under thus 11(a) of the bids and Regulations and 78.2 d in NCCP, Regulations, 2015.	
1922 District Septile Securities (PM) Limited 4.0 154p-2-0 NCCP_(CRO)(1927)0 Restriction of access to services as Margin Financier under Null-11(a) of the Aules and Regulations and 79. 2.4 of NCCP_Regulations, 2015 And Securities (PM) Limited 4.0 154p-2-0 NCCP_(CRO)(1927)0 Termination under Regulation 1.8 1.10 (8.15 at 04 NCCP_Regulations, 2015 on account of self Firmination of Computing Securities (PM) Limited 4.0 154p-2-0 NCCP_(CRO)(1927)0 Termination under Regulation 1.8 1.10 (8.15 at 04 NCCP_Regulations, 2015 on account of self Firmination of Limited (PM) (PM) NCCP_CRO)(1927)0 Recognition of Restriction of Intelligent Regulation 1.8 1.10 (8.15 at 04 NCCP_Regulations, 2015 on account of self Firmination of Limited (PM) (PM) NCCP_CRO)(1927)0 Recognition of Restriction of Intelligent Regulations 1.2 (1928) NCCP_CRO)(1927)0 Recognition (PM) (PM) (PM) NCCP_CRO)(1927)0 Recognition (PM) (PM) (PM) (PM) (PM) (PM) (PM) (PM)	
1892 Bits of the Securities (PM) Limited - Audit of CM 15-Apr-20 NCCPL(RO)/147/20 Warring toused under Regulation, 2015 on account of Impreciation conducted under Chapter 138 of NCCPL Regulations, 2015 on account of Self Termination	-
Add Securities (PA) Limited 24-Mar-20 NCCPL(RO)13/2/D Recocation of Restriction of the Clearing Member pursant to action taken by PXX and submission of audited NCB	
Alba Securities Prt. Little 17-Mar-20 NCCPL(R0)12370 Revocation of Exercision of access to survives unthe Regulation \$1.10 B. 18.3 of NCCPL Regulations, 2015 Parsavant to action taken by PSK	
April Aba Securities PM Unimed 17-Mar-20 NCCPURCP(172970 Restriction of access to services under Regulation 18.1 (10) & 18.3 of NCCP, Regulations, 2015 Pursuant to action taken by PSX	
ASS Securities (PM Limited 17-Mar-20 NCCPL/CR0/13/270 Restriction of access to services as Margin Financier under Rule 111.10 of the Rules and Regulations, 2015. Parasant to action taken by PSX	
App SADA Securities (Ph.) Limited 17-Mar-20 NCEPL/EG0/13/270 Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2 of NCEP. Regulations, 2015.	
Social Content of Part Limited 17-Mar - 20 NCCPL/R00/13/20 Revocation of Restriction of the Central Repulsion San Advanced and Research Services (PM) Limited 13-Mar - 20 NCCPL/R00/12/20 Revocation of Restriction of the Central Repulsion San Journal of Services (PM) Limited 9-Mar - 20 NCCPL/R00/12/20 Termination Central Regulation San Journal Services (PM) Limited 9-Mar - 20 NCCPL/R00/12/20 Termination Central Regulation (PM) San Journal No. Central No. Centr	
Silion Capital Securities (Prt) Limited 13-Mar-20 NCCPU(RO)124/20 Revocation of Restriction of the Clearing Member as Margin Financer pursuant to submission of audited NCB	
Frammation under Regulation 18.1.1 (pl. 8.18.3 of NCCP. Regulations, 2015 on account of Self Termination	
Sof Reliance Securities (Pht) United 3-Mar-20 NCCPL(CR)(10)/200 Fernimation under Regulation 18.1.1(b) & 18.3 of NCCP Regulations, 2015 on account of Pspection conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection Conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection Conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection Conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection Conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Inspection Conducted under Chapter 138 of NCCP, Regulations (Soft Primary 10.5 on Account of Soft Primary 10.5 on Acc	
Securities (Prd) Imited - Audit of CM 14-feb-20 NCCPL/CRO/94/20 NCCPL/CRO/	
Salaxy Capital Securities (PN) limited - Audit of CM	
Films Securities (PM) Limited - Audit of CM	
Salan Securities (Prt) Limited - Audit of CM	
SAI SAI Color Capital Full Color Capital Color Cap	
Stal Global Capital (Pvt) Umited 14-feb-20 NCCPU/CS/PS/200 Warning issued under Regulation 14.1.1 of NCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Stall Pvt Stall	
Securities (Prt) Limited 11-feb-20 NCCPI/CS/92020 Termination under Regulation 18.1.1(b) & 18.3 of NCCPI Regulations, 2015 Pursuant to action taken by PSX	
Aze Securities (Prt) Limited 10-Feb-20 NCCPL/CR0/39/20 Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation (NCPL/CR0/39/20 NCCPL/CR0/39/20 NCCPL/CR0/39	
Size Disconting (Prof.) Limited 10-Feb.20 NCCPL/CR0/89/20 Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation Permination under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of Self Termination Permination under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of Self Termination Permination under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of Self Termination Permination under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of Self Termination Permination under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of Self Termination Permination under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of Self Termination Permination under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of Self Termination Permination under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of Self Termination Permination under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of Inspection Regulations, 2015 on account of Self Termination Permination under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations, 2015 on account of Inspection Conducted under Joi	
Sid Unex Securities (Prt.) limited 9.1an-20 NCCPL/CS/S/2020 Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 on account of Self Termination	
Securities Pvt, Limited 9-Jan-20 NCCPL/CS/S/2020 Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Conducted under Joint Inspection Regulations, 2015 and Countries (Pvt) Limited 19-Dec19 NCCPL/CRO/201/19 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 LAY Securities (Pvt) Limited 19-Dec19 NCCPL/CRO/209/19 Revocation of Restriction of the Clearing Member pursuant to submission of audited NCB Termination under Regulation 18.1.1 () 8.1.3 of NCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1 () 8.1.3 of NCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1 () 8.1.3 of NCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1 () 8.1.3 of NCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1 () 8.1.3 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Self-Termination Termination under Regulation 18.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Self-Termination Termination under Regulation 18.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Self-Termination Termination under Regulation 18.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Self-Termination Termination under Regulation 18.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Self-Termination Termin	
Dawcod Equities Limited 27-0e-19 NCCPL/CRO/2011/9 Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015 and genalty imposed Scrutties [Pvt] Limited 19-0e-19 NCCPL/CRO/2011/19 Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015 Notice issued to resolve open observation identified under joint inspection Regulations, 2015 Notice issued to resolve open observation identified under joint inspection Regulations, 2015 Notice issued under Regulation in 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under joint inspection Regulations, 2015 Notice issued under Regulation in 14.1 of NCCPL Regulations, 2015 on account of Inspection conducted under joint inspection Regulations, 2015 Notice issued under inspecti	
Dattoo Securities (Prt) Limited 27-0e-19 NCCP/LCRO/2011/19 Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015	
ASAA Securities [Prt] Limited 19-Dec-19 NCCPL/CRO/209/19 Revocation of Restriction of the Clearing Member pursuant to submission of audited NCB	
IAX Securities (Pv.) Ltd 18-Dec-19 NCCPL/CS/462/19 Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 on account of Self Termination	
18- 18-	
3.1 Habib Capital Markets Pvt Ltd 13-Dec.19 NCCPL/CRO/205/19 Warning Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations 4.9 to Chapter NCCPL/CRO/205/19 Warning Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/199/19 Warning Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/199/19 Warning Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/199/19 Warning Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/199/19 Warning Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/199/19 Warning Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations NCCPL/CRO/199/19 Warning Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations NCCPL/CRO/199/19 Warning Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations NCCPL/CRO/199/19 Warning Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations NCCPL/CRO/199/19 Warning Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations NCCPL/CRO/199/19 Warning Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection Conducted under Joint Inspection Regulations NCCPL/CRO/199/19 Warning Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account	•
S25 Yasir Mahmood Securities Pvt Ltd 22-Nov-19 NCCPL/CRO/199/19 Warning issued under Regulation 1.4.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
S26 AAA Securities PVt Itd 22-Nov-19 NCCPL/CRO/J99/19 Warning Issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
527 Rafi Securities (Pvt) Ltd 22-Nov-19 NCCPL/CRO/198/19 Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations 22-Nov-19 NCCPL/CRO/198/19 Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations 22-Nov-19 NCCPL/CRO/198/19 Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations 22-Nov-19 NCCPL/CRO/201/19 Restriction of access to services under Regulation 14.1.1 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
528 FairEdge Securities (Pxt) Ltd 22-Nov-19 NCCPL/CRO/195/19 Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations 22-Nov-19 NCCPL/CRO/196/19 Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations 350 MSC paginate Equition (Pxt) Ltd 18-Nov-19 NCCPL/CRO/201/19 Restriction of access to services under Regulation 18.1.1 (b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
529 Highland Securities Pvt limited 22-Nov-19 NCCPL/CRO/196/19 Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations Source NCCPL Regulations NCCPL	
530 MSD Capital Equities (Pvt) Ltd 18-Nov-19 NCCPL/CRO/201/19 Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
531 Xpert Securities (Pvt.) Limited 18-Nov-19 NCCPL/CRO/200/19 Restriction of access to services under Regulation 18.1.(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX	
532 Baba Equities (Pvt.) Limited 7-Nov-19 NCCPL/CS/405/19 Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination	
533 Azee Securities (Pr.L) limited 22-Oct-19 NCCPV.(RO/187/19 Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation	
S34 Azec Securities (Pvt.) Limited 22-Oct-19 NCCPL/CRO/188/19 Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation S35 Pervez Ahmed Capital (Pvt.) Limited 7-Oct-19 NCCPL/CRO/186/19 Suspension under Regulation 18.1.1(a) & (b) of NCCPL Regulations, 2015 on account of notice issued by SECP	
333 [Few Examined Lapinar (PVL) Limited (2013) A Superior Linear Linea	
337 Salma Algued Securities (Prt.) Limited 4-0ct-19 NCC/C/R/O/1/42/3 Warning issued under Regulation 14-1.1 of NCCP Regulations, 2023 of account of inspection conducted under John Inspection Regulations	
538 Zahid Latif Khan Securities (Pvt.) Limited 4-Oct-19 NCCPL/CRO/141/19 Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations	
539 Hamza Farhad Securities (Pvt.) Limited 27-Sep-19 NCCPL/CRO/139/19 Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB	
540 Memon Securities (Pvt.) Limited 24-Sep-19 NCCPL/CRO/135/19 Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint inspection Regulations	
541 [Mawaja Securities Prt. Limited 23-Sep-19 NCCPL/CR0/123/19 Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015 542 [Insight securities (Prt.) Limited 23-Sep-19 NCCPL/CR0/125/19 Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection anducted under joint inspection Regulations	
[542] Inlight securities [Pvt.] Limited 23-5ep-19 NCCPV_(R0/123/19 Warning issued under Regulation 14.1.1 of NCPI. Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations [543] Hamars Arian Securities (Pvt.) Limited 19-5ep-19 NCCPV_(R0/123/19 Warning issued under Regulation 18.1.1 (b) 8.18.3 of NCCPI. Regulations, 2015 Pursuant to action taken by PSY.	
343 Hamza ramab Securities (PVL) Limited 19-36-919 NCLPL(KN)(139)19 Neistriction of access to services under Regulation 18.1.1(a) & 18.3 of NCLPL regulations, 2015 Prussant to action taken by YSX 446 Elbit Securities (PVL) Limited 17-56-919 NCLPL(KN)(139)19 Neistriction of access to services under Regulation 18.1.1(a) & 18.3 of NCLPL regulations, 2015 or account of Self Termination as Trading Financier and Margin Financier under Regulation 18.1.1(a) & 18.3 of NCLPL regulations, 2015 or account of Self Termination of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self Termination of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self Termination of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prussant Inc. (19.3 of NCLPL Regulations), 2015 or account of Self-Prus	
545 Asda Securities (Pvt.) Limited 17-5ep-19 NCCPL/CR0/127/19 Restriction of access to services as Margin Financier under Rule 11/1a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations, 2015.	

S.No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
	We Financial Services Limited	16-Sep-19	NCCPL/CRO/131/19	Revocation of restriction of Clearing Member on account of notice issued by SECP
	Baba Equities (Pvt.) Limited	16-Sep-19	NCCPL/CRO/129/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	Amer Securities (Pvt.) Limited	16-Sep-19	NCCPL/CRO/123/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
550	Zillion Capital Securities (Pvt) Limited We Financial Services Limited	13-Sep-19 6-Sep-19	NCCPL/CRO/122/19 NCCPL/CRO/120/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2.4 of NCCPL Regulations, 2015. Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 on account of notice issued by SCFC Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 on account of notice issued by SCFC Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 on account of notice issued by SCFC Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 on account of notice issued by SCFC Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 on account of notice issued by SCFC Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 on account of notice issued by SCFC Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 on account of notice issued by SCFC Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 on account of notice issued by SCFC Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 on account of notice issued by SCFC
551	M.H Securities (Pvt) Limited	28-Aug-19	NCCPL/CS/286/19	Josephinson under Regulation 26.14(g) or rect regulations, 20.3 on account of horizontal programming and the regulation (18.14(g) or rect regulation (18.14(g) or
552	M.H Securities (Pvt) Limited	28-Aug-19	NCCPL/CS/285/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
553		30-Jul-19	NCCPL/CRO/109/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	Multiline Securities (Pvt.) Limited	29-Jul-19	NCCPL/CRO/108/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
	Al- Hogani Securities And Investment Corporation Limited	29-Jul-19	NCCPL/CS/271/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
556 557	MF Stocks (Pvt.) Limited Techno Fundamental Securities (Pvt.) Limited	25-Jul-19 23-Jul-19	NCCPL/CS/267/19 NCCPL/CS/262/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
558		18-Jul-19	NCCPL/CRO/107/19	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB
559		16-Jul-19	NCCPL/CRO/106/19	Restriction of access to services under Regulation 18.1.(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
560		15-Jul-19	NCCPL/CRO/96/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
561	MAAN Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/98/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
562	Shaffi Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/97/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
563		15-Jul-19	NCCPL/CRO/104/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
564	Azee Securities (Pvt.) Limited	15-Jul-19	NCCPL/CRO/103/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
565	KP Securities (Pvt.) Limited	15-Jul-19 12-Jul-19	NCCPL/CRO/105/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
566 567	Chenab Stock Services (Pvt.) Limited Tariq Sayeed Securities (Pvt.) Limited	12-Jul-19 12-Jul-19	NCCPL/CS/248/19 NCCPL/CS/251/19	Termination under Regulation 18.1.1() 8.13 of NCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1() 8.13 of NCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1() 8.13 of NCCPL Regulations, 2015 on account of Self Termination
568	Jamshaid and Hasan Securities (Pvt.) Limited	10-Jul-19	NCCPL/CS/251/19 NCCPL/CS/228/19	Termination under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination Termination under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
569	AHKD Securities (Pvt.) Limited	5-Jul-19	NCCPL/CS/225/19	Termination under Regulation 1.6.1.1(j) 8 1.5.3 of NCPCP. Regulations, 2015 on account of Self Termination
570	Reliance Securities Limited	1-Jul-19	NCCPL/CRO/95/19	Revocation of Restriction of access to services, Pursuant to action taken by PSX and submission of audited NCB
571	SHARE CENTRE (PVT.) LIMITED	27-Jun-19	NCCPL/CS/217/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
572	DAWOOD EQUITIES LIMITED	26-Jun-19	NCCPL/CRO/93/19	Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation
573	DAWOOD EQUITIES LIMITED	26-Jun-19	NCCPL/CRO/92/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 on account of default of money obligation
574	FIRST CAPITAL EQUITIES LIMITED	25-Jun-19	NCCPL/CS/212/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
575	RELIANCE SECURITIES LIMITED	18-Jun-19	NCCPL/CRO/90/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
576	AZEE SECURITIES PRIVATE LIMITED	10-Jun-19	NCCPL/CS/198/19	Termination of Margin Financier and Financee accounts under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
577	AZEE SECURITIES PRIVATE LIMITED	31-May-19	NCCPL/CRO/86/19	Warning issued under Regulation 14.3 of NCCPL Regulations, 2015 on account of default of money obligation, including imposition of financial penalty of PKR 150,000
578	ASA STOCKS PRIVATE LIMITED	23-May-19	NCCPL/CRO/75/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
579	ASHFAQ ASHRAF SECURITIES PRIVATE LIMITED	23-May-19	NCCPL/CS/190/19	Termination under Regulation 18.1.1(1) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
580	ALFA ADHI SECURITIES PRIVATE LIMITED	21-May-19	NCCPL/CRO/71/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
581	MILLENIUM BROKERAGE PRIVATE LIMITED	21-May-19	NCCPL/CRO/72/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
582	FIRST CAPITAL EQUITIES LIMITED FIRST CAPITAL EQUITIES LIMITED	21-May-19	NCCPL/CRO/74/19 NCCPL/CRO/70/19	Revocation of Restriction of the Clearing Member pursuant to action taken by PSX and submission of audited NCB
583 584	AZEE SECURITIES PRIVATE LIMITED	16-May-19 14-May-19	NCCPL/CRO/70/19 NCCPL/CRO/68/19	Restriction of access to services under Regulation 18.1.1(p) 8. 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(q) of NCCPL Regulations, 2015 on account of default of money obligation 1. 1
585	AZEE SECURITIES PRIVATE LIMITED	14-May-19	NCCPL/CRO/69/19	Suspension unuen regulation 16.1.100 in N.C.F. Regulations, 2015 on actionit or tretain to money obligation Revocation of Suspension of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of money obligation of the Clearing Member pursuant to settlement of the Clearing Membe
586	SHAJAR CAPITAL PRIVATE LIMITED	14-May-19	NCCPL/CRO/61/19	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
587	AZEE SECURITIES PRIVATE LIMITED	9-May-19	NCCPL/CRO/66/19	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
588	AZEE SECURITIES PRIVATE LIMITED	9-May-19	NCCPL/CRO/67/19	Revocation of Clearing Member Pursuant to settlement of money obligation
589	FORTUNE SECURITIES LIMITED	7-May-19	NCCPL/CRO/60/19	Warning issued under Regulation 14.3 and 14.6 of NCCPI Regulations, 2015 on account of matter pertaining to submission of NCB
590	FAIRWAY SECURITIES (PVT.) LIMITED	7-May-19	NCCPL/CRO/62/19	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
591	Y.H SECURITIES PRIVATE LIMITED	25-Apr-19	NCCPL/CS/158/19	Termination of Trading Financee ID under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
592	GROWTH SECURITIES (PVT.) LIMITED	17-Apr-19	NCCPL/CRO/56/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
593	TS SECURITIES (PVT.) LIMITED	17-Apr-19	NCCPL/CRO/57/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
594	DIN CAPITAL LIMITED	16-Apr-19	NCCPL/CS/137/19	Termination of Trading Financier ID under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 on account of Self Termination
595	K & I GLOBAL CAPITAL (PVT.) LIMITED	5-Apr-19	NCCPL/CRO/55/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
596	RAHAT SECURITIES (PVT.) LIMITED	5-Apr-19	NCCPL/CRO/54/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
597	STRONGMAN SECURITIES (PVT.) LIMITED	29-Mar-19	NCCPL/CRO/52/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
598 599	FAWAD YUSUF SECURITIES (PVT.) LIMITED GULREZ SECURITIES (PVT.) LIMITED	29-Mar-19 28-Mar-19	NCCPL/CRO/53/19 NCCPL/CRO/47/19	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Warning issued under Regulation 11.1.1 of NCCIP Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations
600	SAKARWALA CAPITAL SECURITIES PVT LIMITED	28-Mar-19 28-Mar-19	NCCPL/CRO/47/19 NCCPL/CRO/48/19	Warning issued under Regulation 14.1.1 or N.C.Pt. Regulations, 2015 on account of inspection conducted under inspection regulations Warning issued under Regulation 14.1.1 or N.C.Pt. Regulations, 2015 on account of inspection conducted under loint inspection Regulations Warning issued under Regulation 14.1.1 or N.C.Pt. Regulations, 2015 on account of inspection conducted under Joint inspection Regulations
600	TECHNO FUNDAMENTAL (PVT.) LIMITED	28-Mar-19 28-Mar-19	NCCPL/CRO/48/19 NCCPL/CRO/49/19	warning issued under Regulation 14.1.1 of NCLPL Regulations, 2015 on account of inspection conducted under inspection regulations Warning issued under Regulation 14.1.1 of NCLPL Regulations, 2015 on account of inspection conducted under inspection Regulations Warning issued under Regulation 14.1.1 of NCLPL Regulations, 2015 on account of inspection conducted under inspection Regulations
602	MAAN SECURITIES (PVT.) LIMITED	28-Mar-19	NCCPL/CRO/50/19	waining issued under regulation 14.1.1 of NCLP1 regulations, 2015 on account or inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1.1 of NCLP1 Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations Warning issued under Regulation 14.1.1 of NCLP1 Regulations, 2015 on account of inspection conducted under Joint Inspection Regulations
603	IAK SECURITIES PVT. LIMITED	22-Mar-19	NCCPL/CRO/42/19	Revocation of Restriction of Restric
604		20-Mar-19	NCCPL/CRO/38/19	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
605	M H SECURITIES (PVT.) LTD.	18-Mar-19	NCCPL/CRO/43/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 78.2 of NCCPL Regulations, 2015.
606	WE FINANCIAL SERVICES LTD.	18-Mar-19	NCCPL/CRO/44/19	Restriction of access to services as Margin Financier under Rule 11(1a) of the Rules and Regulations and 7B.2.4 of NCCPL Regulations, 2015.
607	AL-HAQ SECURITIES (PVT.) LTD.	18-Mar-19	NCCPL/CRO/45/19	Restriction of access to services as Trading Financier under Rule 19(1a) of the Rules and Regulations and 7C.2.4 of NCCPL Regulations, 2015.
608	IAK SECURITIES (PVT.) LIMITED	18-Mar-19	NCCPL/CRO/39/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
609	M.F STOCKS (PVT.) LIMITED	18-Mar-19	NCCPL/CRO/41/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
610	RUC SECURITES (PVT.) LIMITED	18-Mar-19	NCCPL/CRO/40/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
611	HAJI ABDUL SATTAR SECURITIES (PVT.) LTD	15-Mar-19	NCCPL/CS/114/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
612	CHENAB STOCK SERVICES (PVT.) LIMITED	12-Mar-19	NCCPL/CRO/34/19	Warning issued under Regulation 14.1.1 of NCCPL Regulations, 2015 on account of Inspection conducted under Joint Inspection Regulations, 2015.
613	FOUNDATION SECURITIES (PVT) LTD	12-Mar-19	NCCPL/CRO/35/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
614	SOUTH ASIAN SECURITIES (PVT) LTD.	12-Mar-19	NCCPL/CS/110/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
615	NAYYAR SHEIKH SECURITIES (PVT) LTD	6-Mar-19	NCCPL/CS/96/19	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
616	INVEST CAPITAL MARKETS LIMITED	22-Feb-19	NCCPL/CRO/32/19	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
617 618	AMCAP SECURITIES (PVT.) LTD. 128 SECURITIES (PVT) LTD.	21-Feb-19 19-Feb-19	NCCPL/CRO/31/19 NCCPL/CRO/30/19	Further suspension under Regulation 18.1.1 (e) & 14.7 of NCCPI. Regulations, 2015 On account of matters identified under Joint Inspection Revocation of restriction on opening of new client accounts of Cleaning, Member Pursuant to action taken by PSX.
	CASSIM INVESTMENTS (PRIVATE) LIMITED	19-Feb-19 19-Feb-19	NCCPL/CRO/30/19 NCCPL/CS/72/19	Kevocation of restriction on opening of new client accounts of Learing Member Pursuant to action taken by YSX Termination under Regulation is 13.1(i) & 18.3 of KCPL Regulations, 2015 On a cocount of Self Termination on the Regulation of the County of Self Termination of the Regulation of the Regulat
013	COSTON TO A COLLAND A CHARACTER CHARACTER	13-160-13	NCC1 L/ C3/ / 2/13	Termination when registration averaging to incrementally acts on account of self-fermination

S.No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
	SOUTH ASIAN SECURITIES (PRIVATE) LIMITED	18-Feb-19	NCCPL/CRO/29/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	M. SALIM KASMANI SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/27/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations
622	HH MISBAH SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/25/19	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
623 624	GALAXY CAPITAL SECURITIES (PVT.) LIMITED ABBASI & CO. (PVT.) LIMITED	18-Feb-19 18-Feb-19	NCCPL/CRO/26/19 NCCPL/CRO/23/19	Warning issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of inspection conducted under Joint Inspection Regulations
625	NETWORTH SECURITIES LIMITED	18-Feb-19	NCCPL/CRO/23/19 NCCPL/CRO/24/19	warning issued on account of inspection conducted uniter John inspection regulations Warning issued on account of inspection conducted uniter John inspection regulations Warning issued on account of inspection conducted uniter John inspection Regulations Warning issued on account of inspection conducted uniter John Inspection Regulations
626	DALAL SECURITIES (PVT.) LIMITED	18-Feb-19	NCCPL/CRO/28/19	warming assets on the country of imprecion consocied united about imperior in regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
	RFJ EQUITY (PVT) LTD	29-Jan-19	NCCPL/CS/29/19	Termination under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
628	HMC STOCKS (PVT) LTD	23-Jan-19	NCCPL/CRO/15/19	Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB
629	K.H.S. SECURITIES (PVT.) LIMITED.	22-Jan-19	NCCPL/CRO/14/19	Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB
630	K.H.S. SECURITIES (PVT.) LIMITED.	16-Jan-19	NCCPL/CRO/12/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
631	HMC STOCKS (PVT) LTD	16-Jan-19	NCCPL/CRO/13/19	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
632	SOUTH ASIAN SECURITIES (PRIVATE) LIMITED	4-Jan-19	NCCPL/CRO/8/19	Revocation of Clearing Member Pursuant to action taken by PSX
633	SAIMA QAISER SECURITIES (PVT.) LIMITED	4-Jan-19	NCCPL/CRO/6/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations
634	ABM SECURITIES (PVT.) LIMITED	4-Jan-19	NCCPL/CRO/7/19	Warning issued on account of Inspection conducted under Joint Inspection Regulations
635 636	FDM CAPITAL SECURITIES (PVT.) LIMITED SAL SECURITIES (PVT) LTD.	1-Jan-19 31-Dec-18	NCCPL/CRO/1/19 NCCPL/CS/485/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Termination under Regulation 18.1.1(i) 8.18.3 of NCPCIR Regulations, 2015 On account of self Termination
637	OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED	28-Dec-18	NCCPL/CS/485/18 NCCPL/CS/478/18	Termination under Regulation 1.6.1.1(j) 8 13.5 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 1.8.1.1(j) 8 13.5 of NCCPL Regulations, 2015 On account of Self Termination
638	RUC SECURITIES (PRIVATE) LIMITED	18-Dec-18	NCCPL/CRO/225/18	Revocation of Clearing Member Pursuant to action taken by PSX
639	FIRST CAPITAL EQUITIES LIMITED	17-Dec-18	NCCPL/CRO/220/18	Warning issued under Regulation 18.1.1(e) of NCCPI Regulations, 2015 on account of matter pertaining to delay in payment of money obligation
640	OPTIMUS CAPITAL MANAGEMENT (PVT.) LIMITED	14-Dec-18	NCCPL/CRO/221/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
641	FAIR TRADE CAPITAL SECURITIES (PVT.) LIMITED	14-Dec-18	NCCPL/CRO/222/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
642	EFG HERMES PAKISTAN LIMITED	14-Dec-18	NCCPL/CRO/223/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
643	DIYANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED	6-Dec-18	NCCPL/CS/443/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
644	TARIQ SAYEED SECURITIES (PVT) LIMITED	28-Nov-18	NCCPL/CRO/217/18	Revocation of Clearing Member On account of notice issued by SECP
645 646	SHER CAPITAL EQUITIES (PVT.) LTD. AM CHAUDHRY SECURITIES (PVT.) LIMITED	28-Nov-18 19-Nov-18	NCCPL/CS/428/18 NCCPL/CRO/206/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member On account of notice Issued by SECP POPULATION OF THE PROPERTY OF THE P
647	RUC SECURITIES (PRIVATE) LIMITED	16-Nov-18	NCCPL/CRO/205/18 NCCPL/CRO/205/18	Revocation or Liearing Wemper Una account or notice sisted by Section 18.1.1(b) 8.18.3 of VCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) 8.18.3 of VCCPL Regulations, 2015 Pursuant to action taken by PSX
648	ARIF LATIF SECURITIES (PVT.) LIMITED	9-Nov-18	NCCPL/CRO/195/18	Warning issued on account of inspection conducted under Joint Inspection Regulations
649	RIAZ AHMED SECURITIES (PVT.) LIMITED	9-Nov-18	NCCPL/CRO/193/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
650	TRUST SECURITIES & BROKERAGE (PVT.) LIMITED	9-Nov-18	NCCPL/CRO/194/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
651	UNEX SECURITIES (PVT.) LIMITED	9-Nov-18	NCCPL/CRO/197/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
652	PINE SECURITIES (PRIVATE) LIMITED	7-Nov-18	NCCPL/CS/407/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination
653	BABA EQUITIES (PVT.) LIMITED	29-Oct-18	NCCPL/CRO/187/18	Warning issued on account of inspection conducted under Joint Inspection Regulations
654	128 SECURITIES (PVT.) LIMITED-LSI	29-Oct-18	NCCPL/CRO/190/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
655 656	JAVED IQBAL SECURITIES (PVT.) LIMITED-LSI NUA SECURITIES (PVT.) LIMITED-LSI	29-Oct-18 29-Oct-18	NCCPL/CRO/189/18 NCCPL/CRO/188/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under glougetion (2015) Notice issued to resolve open observation identified under inspection conducted under glougetion (2015) Inspection Regulations, 2015
657	ZAHID LATIF KHAN SECURITIES (PVT) LTD.	26-Oct-18	NCCPL/CS/386/18	Termination of MF CM account under Regulation 18.1.1(i) of NCCPL Regulations, 2015 on account of self termination
658	F.M. SECURITIES (PVT.) LTD.	26-Oct-18	NCCPL/CRO/192/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
659	XPERT SECURITIES (PRIVATE) LIMITED	24-Oct-18	NCCPL/CRO/186/18	Revocation of Clearing Member Pursuant to action taken by PSX and submission of audited NCB
660	A.S.SECURITIES (PRIVATE) LIMITED	16-Oct-18	NCCPL/CRO/183/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
661	XPERT SECURITIES (PRIVATE) LIMITED	16-Oct-18	NCCPL/CRO/181/18	Warning issued under Regulation 14.3 of NCCPI Regulations, 2015 On account of matter pertaining to submission of NCB
662	AZEE SECURITIES	16-Oct-18	NCCPL/CRO/182/18	Warning issued under Regulation 18.1.1(e) of NCCPI Regulations, 2015 on account of matter pertaining to delay in payment of money obligation
663 664	MARKET 786 (PVT.) LIMITED CAMCO (PVT.) LIMITED	15-Oct-18 12-Oct-18	NCCPL/CRO/179/18 NCCPL/CRO/178/18	Warning Issued on account of Inspection conducted under Joint Inspection Regulations Revocation of Clearing Member Pursuant to action taken by PSX
665	FIRST CAPITAL EQUITIES LIMITED	9-Oct-18	NCCPL/CRO/176/18	Revocation of Clearing Member Pursuant to settlement of money obligation
666	INA SECURITIES (PVT) LTD	9-Oct-18	NCCPL/CRO/177/18	Revocation of Clearing Member Pursuant to action taken by PSX
667	FIRST CAPITAL EQUITIES LIMITED	9-Oct-18	NCCPL/CRO/175/18	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
668	MGM SECURITIES (PVT.) LIMITED	4-Oct-18	NCCPL/CRO/170/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
669	CASSIM INVESTMENTS (PVT.) LIMITED	4-Oct-18	NCCPL/CRO/171/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
670	ASDA SECURITIES (PVT.) LIMITED	4-Oct-18	NCCPL/CRO/172/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
671	B&B SECURITIES(PVT.) LIMITED APEX CAPITAL SECURITIES (PVT) LIMITED	4-Oct-18 18-Sep-18	NCCPL/CRO/169/18 NCCPL/CRO/157/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Particular of Agreet to engineer purpose under Business 11 (All S. 12. of MCPUS 19. particular of Agreet to Engineer under Businessian) 11 (All S. 12. of MCPUS 19. particular of Agreet to Engineer under Businessian) 11 (All S. 12. of MCPUS 19. particular of Agreet to Engineer under Businessian) 11 (All S. 12. of MCPUS 19. particular of Agreet to Engineer Under State 19. of MCPUS 19. of M
672 673	CAMCO (PVT.) LIMITED	18-Sep-18	NCCPL/CRO/157/18 NCCPL/CRO/165/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
674	INA SECURITIES (PVT) LTD	18-Sep-18	NCCPL/CRO/158/18	Restriction of access to services under Regulation 18.1.1(b) a 13.3 of NCCP Regulations, 2015 Pursuant to action taken by PSX
675	PROGRESSIVE INV. MANAGEMENT (PVT) LTD.	18-Sep-18	NCCPL/CRO/160/18	Revocation of Clearing Member Pursuant to action taken by CDC
676	XPERT SECURITIES (PRIVATE) LIMITED	18-Sep-18	NCCPL/CRO/156/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
677	MSD CAPITAL EQUITIES (PVT) LTD.	18-Sep-18	NCCPL/CRO/161/18	Revocation of Clearing Member Pursuant to action taken by PSX
678	APEX CAPITAL SECURITIES (PVT) LIMITED	18-Sep-18	NCCPL/CRO/164/18	Revocation of Clearing Member Pursuant to action taken by PSX
679	MSD CAPITAL EQUITIES (PVT) LTD.	18-Sep-18	NCCPL/CRO/159/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Acceptable of the Company of
680 681	CMA SECURITIES (PVT.) LIMITED PROGRESSIVE INV. MANAGEMENT (PVT) LTD.	18-Sep-18 14-Sep-18	NCCPL/CRO/162/18 NCCPL/CRO/156/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
682	MOHAMMAD MUNIR MOHAMMAD	14-Sep-18 12-Sep-18	NCCPL/CRO/156/18 NCCPL/CRO/153/18	RESTITION OF ACCESS to Services under regulation 18.1.1 (C) & 18.5 of INCUPL regulations, 2015 Pursuant to action taken by CUC Warning Issued on account of matters forwarded by the Commission Services and the Commission of Co
683	CONTINENTAL CAPITAL MANAGEMENT (PVT.) LIMITED	12-Sep-18	NCCPL/CRO/152/18	Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015
684	HIGHLAND SECURITIES (PVT.) LIMITED	12-Sep-18	NCCPL/CRO/146/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
685	SUMMIT CAPITAL (PVT.) LIMITED	12-Sep-18	NCCPL/CRO/147/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
686	AMCAP SECURITIES (PVT.) LTD.	10-Sep-18	NCCPL/CRO/150/18	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
687	SMAC INVESTMENTS (SMC-PVT) LTD.	7-Sep-18	NCCPL/CS/319/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
688	FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED	31-Aug-18	NCCPL/CRO/148/18	Revocation of Clearing Member Pursuant to action taken by PSX
689 690	SAIMA QAISER SECURITIES (PVT) LIMITED DJM SECURITIES (PVT.) LIMITED	24-Aug-18 20-Aug-18	NCCPL/CRO/145/18 NCCPL/CRO/142/18	Revocation of Clearing Member Pursuant to action taken by PSX Warning Issued on account of Inspection conducted under Joint Inspection Regulations
690	M. TARIQ MOTI SECURITIES (PVT.) LIMITED	20-Aug-18 20-Aug-18	NCCPL/CRO/142/18 NCCPL/CRO/139/18	warning based on account or inspection conducted under joint inspection negulations. Notice issued to resolve open observation identified under inspection conducted under joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under joint Inspection Regulations, 2015
051		20 7105 20	.1001 27 01107 2337 10	The state of the s

S.No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
	SAKARWALA CAPITAL SECURITIES (PVT.) LIMITED	20-Aug-18	NCCPL/CRO/141/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
	SAIMA QAISER SECURITIES (PVT) LIMITED	17-Aug-18	NCCPL/CRO/143/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
694	VENUS SECURITIES (PVT.) LIMITED	15-Aug-18	NCCPL/CRO/140/18	Revocation of Clearing Member On account of notice issued by SECP
695	OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED	2-Aug-18	NCCPL/CRO/129/18	Revocation of Clearing Member Pursuant to action taken by PSX
696 697	VALUE STOCK AND COMMODITIES (PVT.) LTD. YASIR MAHMOOD SECURITIES (PVT.) LIMITED	2-Aug-18 26-Jul-18	NCCPL/CRO/130/18 NCCPL/CRO/124/18	Removal of restriction on opening of new client accounts of Clearing Member Pursuant to action taken by PSX Warning Issued on account of Inspection conducted under Joint Inspection Regulations Section 1.
698	BISMILLAH SECURITIES (PVT.) LIMITED	26-Jul-18	NCCPL/CRO/127/18	Treatming Issued on the Country of Inspection Conducted or under John Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection regulated or Inspection Regulations, 2015
699	DARSON SECURITIES (PVT.) LIMITED(LSI)	26-Jul-18	NCCPL/CRO/117/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
700	FALKI CAPITAL (PVT.) LIMITED	26-Jul-18	NCCPL/CRO/126/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
701	GULREZ SECURITIES (PVT.) LIMITED	26-Jul-18	NCCPL/CRO/128/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
702	RAHAT SECURITIES LIMITED	26-Jul-18	NCCPL/CRO/125/18	Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
703	AHSAM SECURITIES (PVT.) LIMITED	24-Jul-18	NCCPL/CRO/121/18	Revocation of Clearing Member On account of notice issued by SECP
704	R.F.J. EQUITY (PRIVATE) LIMITED	24-Jul-18	NCCPL/CRO/122/18	Revocation of Clearing Member On account of notice issued by SECP
705	SMAC INVESTMENTS (SMC-PVT) LTD.	19-Jul-18	NCCPL/CRO/108/18	Revocation of Clearing Member On account of notice issued by SECP
706	GROWTH SECURITIES (PVT.) LIMITED COMMISSION	17-Jul-18	NCCPL/CRO/90/18	Warning issued on account of matters forwarded by the Commission
707	PROGRESSIVE INVESTMENT MANAGEMENT (PVT.) LIMITED	17-Jul-18	NCCPL/CRO/92/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
708 709	FAIR EDGE SECURITIES (PVT.) LIMITED FIRST CAPITAL EQUITIES LIMITED	17-Jul-18 17-Jul-18	NCCPL/CRO/107/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
710	FIRST EQUITY MODARABA	17-Jul-18 17-Jul-18	NCCPL/CRO/108/18 NCCPL/CRO/106/18	Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015
711	IQBAL USMAN KODVAVI SECURITIES (PVT.) LIMITED	17-Jul-18	NCCPL/CRO/89/18	Notice issued to resolve open observation identified under inspection conducted under solid regulations, 2015
	SEVEN STAR SECURITIES (PVT.) LIMITED	17-Jul-18	NCCPL/CRO/91/18	Notice issued to resolve open observation identified under inspection conducted under solid regulations, 2015
713	INTERACTIVE SECURITIES (PVT.) LIMITED	16-Jul-18	NCCPL/CRO/93/18	Revocation of Clearing Member On account of notice issued by SECP
	PEARL BROKERAGE PRIVATE LIMITED	6-Jul-18	NCCPL/CS/266/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination
715	FAIR DEAL SECURITIES (PVT) LTD.	5-Jul-18	NCCPL/CS/262/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
	SAL SECURITIES (PVT.) LIMITED	3-Jul-18	NCCPL/CRO/86/18	Warning issued on account of Inspection conducted under Joint Inspection Regulations
	WE FINANCIAL SERVICES LIMITED	3-Jul-18	NCCPL/CRO/88/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
718	ASA STOCKS (PVT.) LIMITED	29-Jun-18	NCCPL/CRO/85/18	Revocation of Clearing Member Pursuant to action taken by PSX
	KP SECURITIES (PRIVATE) LIMITED	28-Jun-18	NCCPL/CRO/84/18	Revocation of Clearing Member Pursuant to action taken by PSX
720 721	AWT INVESTMENT LIMITED FAIRTRADE CAPITAL SECURITIES (PVT.) LIMITED	27-Jun-18 25-Jun-18	NCCPL/CS/242/18 NCCPL/CRO/83/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
721	ASA STOCKS (PVT.) LIMITED	20-Jun-18	NCCPL/CRO/83/18 NCCPL/CRO/82/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
	KP SECURITIES (PRIVATE) LIMITED	20-Jun-18	NCCPL/CRO/82/18 NCCPL/CRO/81/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of MCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of access to services under Regulation 18.1.1(b) & 18.3 of MCCPL Regulations, 2015 Pursuant to action taken by PSX
724	AMCAP SECURITIES (PVT.) LTD.	19-Jun-18	NCCPL/CRO/79/18	Revocation of Clearing Member Pursuant to settlement of money obligation
725	AMCAP SECURITIES (PVT.) LTD.	19-Jun-18	NCCPL/CRO/78/18	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
726	ABA ALI HABIB SECURITIES (PVT.) LIMITED	14-Jun-18	NCCPL/CRO/75/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
727	DIN CAPITAL LIMITED	14-Jun-18	NCCPL/CRO/74/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
728	ROYAL SECURITIES (PVT.) LIMITED	14-Jun-18	NCCPL/CRO/76/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
729	JAWED ZAKARIYA GULABI SECURITIES (PVT) LIMITED	13-Jun-18	NCCPL/CS/235/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
730 731	DAWOOD EQUITIES LIMITED - COMMISSION ELIXIR SECURITIES PAKISTAN (PVT.) LIMITED	8-Jun-18 8-Jun-18	NCCPL/CRO/73/18 NCCPL/CRO/72/18	Warning issued on account of matters forwarded by the Commission
732	F.M SECURITIES (PVT.) LIMITED	8-Jun-18	NCCPL/CRO/72/18 NCCPL/CRO/70/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
733	FIRST NATIONAL EQUITIES LIMITED	8-Jun-18	NCCPL/CRO/71/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
734	TAURUS SECURITIES LIMITED	8-Jun-18	NCCPL/CRO/69/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
735	ABID ALI HABIB SECURITIES (PVT) LIMITED	29-May-18	NCCPL/CS/209/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
736	ASKARI SECURITIES LIMITED	18-May-18	NCCPL/CRO/67/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
737	DOSSLANI SECURITIES (PVT.) LIMITED	18-May-18	NCCPL/CRO/68/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
738	VALUE STOCK & COMMODITIES (PVT.) LIMITED (LSI)	18-May-18	NCCPL/CRO/66/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
739	JAHANZAIB SECURITIES (PVT) LIMITED FAIR DEAL SECURITIES (PVT) LTD.	17-May-18	NCCPL/CS/196/18 NCCPL/CRO/69/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPt Regulations, 2015 On account of Self Termination
740 741	FAIR DEAL SECURITIES (PVT) LTD. KSR STOCK BROKERAGE (PVT) LTD.	16-May-18 10-May-18	NCCPL/CRO/69/18 NCCPL/CS/188/18	Restriction of access to services under Regulation 18.1.1(b) 8.18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(b) 8.8.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX Termination under Regulation 18.1.1(b) 8.8.3 of NCCPL Regulations, 2015 on account of self termination Termination under Regulation 18.1.1(b) 8.8.3 of NCCPL Regulations, 2015 on account of self termination Termination under Regulation 18.1.1(b) 8.8.3 of NCCPL Regulations, 2015 on account of self-termination Termination under Regulation 18.1.1(b) 8.8.3 of NCCPL Regulations, 2015 on account of self-termination Termination under Regulation 18.1.1(b) 8.8.3 of NCCPL Regulations, 2015 on account of self-termination Termination under Regulation 18.1.1(b) 8.8.3 of NCCPL Regulations, 2015 on account of self-termination Termination under Regulation 18.1.1(b) 8.8.3 of NCCPL Regulations, 2015 on account of self-termination Termination under Regulation 18.1.1(b) 8.8.3 of NCCPL Regulations, 2015 on account of self-termination Termination under Regulation 18.1.1(b) 8.8.3 of NCCPL Regulations, 2015 on account of self-termination Termination under Regulation 18.1.1(b) 8.8.3 of NCCPL Regulations, 2015 on account of self-termination Termination under Regulation 18.1.1(b) 8.8.3 of NCCPL Regulations, 2015 on account of self-termination Termination under Regulation 18.1.1(b) 8.8.3 of NCCPL Regulations, 2015 on account of self-termination Termination under Regulation 18.1.1(b) 8.8.3 of NCCPL Regulations, 2015 on account of self-termination Termination under Regulation 18.1.1(b) 8.8.1 of NCCPL Regulations, 2015 on account of self-termination Termination under Regulation 18.1.1(b) 8.8.1 of NCCPL Regulations, 2015 on account of self-termination 18.1.1(b) 8.8.1 of NCCPL Regulations, 2015 on account of self-termination 18.1.1(b) 8.8.1 of NCCPL Regulations, 2015 on account of self-termination 18.1.1(b) 8.8.1 of NCCPL Regulations, 2015 on account of self-termination 18.1.1(b) 8.8.1 of NCCPL Regulatio
741	MANNOO CAPITAL (PVT.) LIMITED	20-Apr-18	NCCPL/CS/188/18 NCCPL/CRO/48/18	Termination under regulation 1.8.1.1() & 16.3 or N.C.Pr. Regulations, 2015 on account of seir termination Warning issued on account of inspection conducted under Joint inspection Regulations Warning issued on account of inspection conducted under Joint inspection Regulations
743	128 SECURITIES (PVT.) LIMITED	20-Apr-18	NCCPL/CRO/44/18	Nating Sessed on resolve on inspection conducted under John Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under John Inspection Regulations, 2015
744	ABBASI SECURITIES (PVT.) LIMITED	20-Apr-18	NCCPL/CRO/45/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
745	AMCAP SECURITIES (PVT.) LIMITED	20-Apr-18	NCCPL/CRO/46/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
746	K&I GLOBAL CAPITAL (PVT.) LIMITED	20-Apr-18	NCCPL/CRO/47/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
747	PATEL SECURITIES (PVT.) LIMITED	20-Apr-18	NCCPL/CRO/43/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
748	SHAFFI SECURITIES (PVT) LIMITED	19-Mar-18	NCCPL/CRO/42/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
749	SHAFFI SECURITIES (PVT) LIMITED	19-Mar-18	NCCPL/CRO/43/18	Revocation of Clearing Member Pursuant to action taken by PSX
750	MAHA SECURITIES (PVT.) LIMITED ALFALAH SECURITIES (PVT.) LIMITED	12-Mar-18 12-Mar-18	NCCPL/CS/112/18 NCCPL/CRO/28/18	Termination under Regulation 18.1.1(i) 8.18.3 of NCCPR Regulations, 2015 On account of self Termination Notice Issued to resolve open observation identified under Inspection conducted underly ionist Inspection. Reputations, 2015 Notice Issued to resolve open observation identified under Inspection conducted underly ionist Inspection. Reputations, 2015
751 752	ALFALAH SECURITIES (PVI.) LIMITED AXIS GLOBAL LIMITED	12-Mar-18 12-Mar-18	NCCPL/CRO/28/18 NCCPL/CRO/33/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
753	ICON CAPITAL MANAGEMENT (PVT.) LIMITED	12-Mar-18	NCCPL/CRO/33/18 NCCPL/CRO/29/18	Notice issued to resolve open observation intentined under inspection conducted under joint inspection Regulations, 2015 Notice issued to resolve open observation intentined under inspection conducted under joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015
754	INTERMARKET SECURITIES LIMITED	12-Mar-18	NCCPL/CRO/23/18 NCCPL/CRO/31/18	route: issued to resolve open observation inelimited under inspection conducted under inspection Regulations, 2015 Notice issued to resolve open observation inelimited under inspection conducted under gloring inspection Regulations, 2015 Notice issued to resolve open observation inelimited under inspection conducted under gloring inspection Regulations, 2015
755	M.M SECURITIES (PVT.) LIMITED	12-Mar-18	NCCPL/CRO/30/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
756	SHAFFI SECURITIES (PVT.) LIMITED	12-Mar-18	NCCPL/CRO/27/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
757	TOPLINE SECURITIES LIMITED	12-Mar-18	NCCPL/CRO/32/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
758	F.M. SECURITIES (PVT.) LTD.	9-Mar-18	NCCPL/CRO/35/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
759	128 SECURITIES (PVT) LTD.	1-Mar-18	NCCPL/CRO/23/18	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
760	ALI HUSAIN RAJABALI LTD	23-Feb-18	NCCPL/CS/93/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination
761	H.M. IDREES H. ADAM (PVT.) LIMITED KHAYYAM SECURITIES (PVT) LIMITED	29-Jan-18 25-Jan-18	NCCPL/CS/56/18 NCCPL/CS/53/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of self Termination Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
762 763	INVEST FORUM (PVT) LIMITED	25-Jan-18 23-Jan-18	NCCPL/CS/53/18 NCCPL/CS/50/18	Termination under Regulation 18.1.1() 8 18.3 of NCCP Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(i) 8 18.3 of NCCP Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(i) 8 18.3 of NCCP Regulations, 2015 On account of Self Termination
/63	THE STATE OF	23-3dll+10	NCC1 L/ C3/30/10	reministration of the measurement of the measuremen

S.No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
764	ISMAIL IQBAL SECURITIES (PVT.) LTD.	22-Jan-18	NCCPL/CRO/8/18	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
765	JSK SECURITIES LTD	22-Jan-18	NCCPL/CRO/10/18	Notice issued to resolve open observation mentioned under inspection conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation dentified under inspection conducted under Joint inspection Regulations, 2015
766	RELIANCE SECURITIES LIMITED	22-Jan-18	NCCPL/CRO/6/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
767	SHERMAN SECURITIES PVT. LIMITED	22-Jan-18	NCCPL/CRO/7/18	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
768	XPERT SECURITIES (PRIVATE) LIMITED	18-Jan-18	NCCPL/CRO/009/18	Revocation of Clearing Member Pursuant to action taken by CDC
769	FIRST ZEIVA (PVT.) LTD.	4-Jan-18	NCCPL/CS/08/18	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
770	MILLENIUM SECURITIES AND INVESTMENT (PVT) LIMITED	1-Jan-18	NCCPL/CRO/001/18	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
771 772	PEARL BROKERAGE (PVT) LIMITED PEARL BROKERAGE (PVT.) LIMITED - COMMISSION	1-Jan-18 27-Dec-17	NCCPL/CRO/002/18 NCCPL/CRO/321/17	Revocation of Clearing Member Pursuant to action taken by PSX Warning Based on account of matters forwarded by the Commission
773	PEARL BROKERAGE (PVT.) LIMITED - COMMISSION	26-Dec-17	NCCPL/CRO/321/17 NCCPL/CRO/321/17	warming issued or account or matters for warded by the Commission Restriction of access to services under Regulation 18.1.1(b) 8.8.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
774	ADEEL ZAFAR SECURITIES (PVT.) LTD.	21-Dec-17	NCCPL/CS/510/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCP. Regulations, 2015 On account of Self Termination
775	XPERT SECURITIES (PRIVATE) LIMITED	20-Dec-17	NCCPL/CRO/312/17	Restriction of access to services under Regulation 18.1.1(°c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
776	K.H.S. SECURITIES (PVT.) LIMITED.	19-Dec-17	NCCPL/CRO/311/17	Revocation of Clearing Member Pursuant to action taken by PSX
777	HH MISBAH SECURITIES (PVT.) LIMITED	19-Dec-17	NCCPL/CRO/302/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
778	MAAN SECURITIES (PVT.) LIMITED	19-Dec-17	NCCPL/CRO/303/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
779 780	STRONGMAN SECURITIES (PVT.) LIMITED TECHNO FUNDAMENTAL SECURITIES (PVT.) LIMITED	19-Dec-17 19-Dec-17	NCCPL/CRO/301/17 NCCPL/CRO/300/17	Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015
781	INVEST FORUM SECURITIES (PVT) LIMITED	19-Dec-17 14-Dec-17	NCCPL/CRO/300/17 NCCPL/CRO/309/17	Notice issued to resolve open observation identified under inspection regulations, 2015 Suspension under Regulation IB.1.1(a) of NCPC, Regulations, 2015 On account of notice issued by SECP Suspension under Regulation IB.1.1(a) of NCPC, Regulations, 2015 On account of notice issued by SECP
782	AHKD SECURITIES (PVT) LIMITED	14-Dec-17	NCCPL/CRO/309/17 NCCPL/CRO/310/17	Suspension under Regulation 18.1.(a) or NCPT Regulations, 2015 on account of notice issued by SECP Suspension under Regulation 18.1.(a) or NCPT Regulations, 2015 on account of notice issued by SECP
783	AM CHAUDHRY SECURITIES (PVT.) LIMITED	12-Dec-17	NCCPL/CRO/307/17	Suspension under Regulation 18.1.1(a) of NCCPI Regulations, 2015 On account of notice issued by SECP
784	SHAUKAT SHAFI SECURITIES (PVT.) LIMITED	12-Dec-17	NCCPL/CRO/306/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
785	JAHANZAIB SECURITIES (PVT) LIMITED	12-Dec-17	NCCPL/CRO/305/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
786	HK SECURITIES PRIVATE LIMITED	11-Dec-17	NCCPL/CS/480/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
787	M.A.N SECURITIES (PVT) LIMITED	5-Dec-17	NCCPL/CS/472/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
788	AM CHAUDHRY SECURITIES (PVT.) LIMITED	30-Nov-17	NCCPL/CRO/296/17	Suspension under Regulation of MCCPL Regulations, 2015 Pursuant to action taken by PSX Miscalan income an author that proceedings of the process of the pro
789 790	EQUITY MASTER SECURITIES (PVT.) LIMITED A.N. EQUITIES (PVT.) LIMITED	28-Nov-17 28-Nov-17	NCCPL/CRO/286/17 NCCPL/CRO/293/17	Warning issued on account of inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection Conducted under Joint Inspection Regulations, 2015
791	BEST SECURITIES (PVT.) LIMITED	28-Nov-17	NCCPL/CRO/288/17	Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015
792	BMA CAPITAL MANAGEMENT LIMITED	28-Nov-17	NCCPL/CRO/292/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
793	FOUNDATION SECURITIES (PVT.) LIMITED	28-Nov-17	NCCPL/CRO/287/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
794	GHANI OSMAN SECURITIES (PVT.) LIMITED	28-Nov-17	NCCPL/CRO/294/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
795	DIN CAPITAL LTD.	23-Nov-17	NCCPL/CRO/290/17	Revocation of Clearing Member On account of notice issued by SECP
796	DIN CAPITAL LTD.	17-Nov-17	NCCPL/CRO/289/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
797 798	NAVEED HM IDREES (PVT) LIMITED MILLENIUM SECURITIES AND INVESTMENT (PVT) LIMITED	16-Nov-17 7-Nov-17	NCCPL/CS/433/17 NCCPL/CRO/281/17	Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Detriction General Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 Descended to the Programme of Self-Termination Detriction General Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 Descended to the Programme of Self-Termination (Self-Termination Control of Self-Termination Con
	WISDOM SECURITIES (PVT) LIMITED	7-Nov-17 7-Nov-17	NCCPL/CS/410/17	Restriction of access to services under Regulation 18.1.1(°) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Termination under Regulation 18.1.2() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
800	DIN CAPITAL LTD.	7-Nov-17	NCCPL/CRO/279/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
801	SHAUKAT SHAFI SECURITIES (PVT.) LIMITED	1-Nov-17	NCCPL/CRO/277/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
802	SCHON CAPITAL MARKETS LIMITED	1-Nov-17	NCCPL/CS/405/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
803	LUXOR SECURITIES (SMC-PVT) LIMITED	1-Nov-17	NCCPL/CS/402/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
	K.H.S. SECURITIES (PVT.) LIMITED.	31-Oct-17	NCCPL/CRO/276/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
805 806	SAFE SECURITIES (PVT) LIMITED PAK MEEZAN SECURITIES (PVT) LIMITED	25-Oct-17 20-Oct-17	NCCPL/CS/394/17 NCCPL/CRO/267/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
	SUNRISE CAPITAL (PRIVATE) LIMITED	20-Oct-17 20-Oct-17	NCCPL/CRO/267/17 NCCPL/CRO/268/17	Termination under Regulation 1811g of NCCP. Regulations, 2015 On account on notice issued by SECP Further Suspension under Regulation 1811g of NCCP. Regulations, 2015 On account of notice issued by SECP
808	STOCKS VISION (PVT) LIMITED	20-Oct-17	NCCPL/CRO/266/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
809	FAITH SECURITIES (PVT) LIMITED	20-Oct-17	NCCPL/CRO/265/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
810	KAYZONE CAPITAL MARKETS (SMC-PVT) LIMITED	20-Oct-17	NCCPL/CRO/264/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
811	SWITCH SECURITIES (PVT) LIMITED	13-Oct-17	NCCPL/CRO/262/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
	ADAM SECURITIES LIMITED	13-Oct-17	NCCPL/CRO/261/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
	NETWORTH SECURITIES LIMITED ADEEL & NADEEM SECURITIES (PVT.) LIMITED	13-Oct-17 13-Oct-17	NCCPL/CRO/253/17 NCCPL/CRO/252/17	Warning issued on account of inspection conducted under Joint Inspection Regulations Notice issued to resolve open observation identified under Inspection Conducted under Joint Inspection Regulations, 2015
814	BAWA SECURITIES (PVT.) LIMITED	13-Oct-17	NCCPL/CRO/252/17 NCCPL/CRO/259/17	Notice issued to resolve open observation identified under inspection conducted under Joint inspection regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
	KHAWAJA SECURITIES (PVT.) LIMITED	13-Oct-17	NCCPL/CRO/87/17	Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015
	MRA SECURITIES LIMITED	13-Oct-17	NCCPL/CRO/257/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
	NEXT CAPITAL LIMITED	13-Oct-17	NCCPL/CRO/255/17	Notice issued to resolve open observation identified under inspection conducted under Joint inspection Regulations, 2015
	NUA SECURITIES (PVT.) LIMITED	13-Oct-17	NCCPL/CRO/260/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
820	STANDARD CAPITAL (PVT.) LIMITED	13-Oct-17	NCCPL/CRO/256/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
821 822	ZAFAR MOTI CAPITAL SECURITIES (PVT.) LIMITED BLACKSTONE EQUITIES (PVT) LIMITED	13-Oct-17 12-Oct-17	NCCPL/CRO/254/17 NCCPL/CS/386/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Termination under Regulation 18,11(i) & 81.8 of NCPI Regulations, 2015 On account of Self Termination
		12-Oct-17 5-Oct-17	NCCPL/CS/386/17 NCCPL/CS/378/17	Termination under Regulation 18.1.1(j) & 18.3 of NCLP Regulations, 2015 On account of 5 eff remination Termination under Regulation 18.1.1(j) & 18.3 of NCLP Regulations, 2015 On account of 5 eff remination Termination under Regulation 18.1.1(j) & 18.3 of NCLP Regulations, 2015 On account of 5 eff remination
824	FIRST ZEIVA (PVT.) LTD.	22-Sep-17	NCCPL/CRO/243/17	Temmination of Clearing Member Pursuant to action taken by PSX Revocation of Clearing Member Pursuant to action taken by PSX
825	AM CHAUDHRY SECURITIES (PVT.) LIMITED	21-Sep-17	NCCPL/CRO/241/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
826	FIRST ZEIVA (PVT.) LTD.	21-Sep-17	NCCPL/CRO/242/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
827	INVEST CAPITAL MARKETS LIMITED	15-Sep-17	NCCPL/CRO/237/17	Restriction under Regulation 18.1.1('e), 18.2.2 & 18.3 of NCCPL Regulations, 2015, on account of matters identified under Joint Inspection
828	SMB SECURITIS (PVT) LIMITED	25-Aug-17	NCCPL/CRO/234/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
829	AKD ANALYTICS (PVT) LIMITED	25-Aug-17	NCCPL/CRO/233/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
830 831	STABLE SECURITIES (PVT) LIMITED KAUSAR SECURITIES (PVT) LIMITED	25-Aug-17 22-Aug-17	NCCPL/CRO/235/17 NCCPL/CS/299/17	Termination under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
831	PACE INVESTMENT AND SECURITIES (PVT) LIMITED	22-Aug-17 15-Aug-17	NCCPL/CS/299/17 NCCPL/CS/292/17	termination under Regulation 18.1.1(j) & 18.3 or NCLP. Regulations, 2015 On account of self Termination Termination under Regulation 18.1.1(j) & 18.3 of NCLP Regulations, 2015 On account of self Termination Termination under Regulation 18.1.1(j) & 18.3 of NCLP Regulations, 2015 On account of self Termination
833	128 SECURITIES (PVT) LTD.	9-Aug-17	NCCPL/CRO/226/17	Revocation Clearing Member Pursuant to action taken by PSX
834	BRIGHT INVESTMENT AND SECURITIES (PVT) LIMITED	7-Aug-17	NCCPL/CS/284/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
	128 SECURITIES (PVT) LTD.	3-Aug-17	NCCPL/CRO/220/17	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX

S.No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
836	JAVED OMER VOHRA AND COMPANY (PVT) LIMITED	31-Jul-17	NCCPL/CS/273/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
837	AZEE SECURITIES	25-Jul-17	NCCPL/CRO/213/17	Terminatori union regulatori 1311(1) & 135 of mCLPT. Regulatoris, 2013 of account of sent instanti Warning issued under Regulatori 13.1.11(1) & 135 of mCLPT Regulatoris, 2013 of maccount of matter pertaining to delay in payment of money obligation
838	DAWOOD EQUITIES LIMITED	25-Jul-17 25-Jul-17	NCCPL/CRO/213/17	Warning issued under Regulation 18.1.1(e) of NCPI Regulations, 2015 on account of matter pertaining to delay in payment of money obligation Warning issued under Regulation 18.1.1(e) of NCPI Regulations, 2015 on account of matter pertaining to delay in payment of money obligation
839	AMCAP SECURITIES (PVT.) LTD.	24-Jul-17	NCCPL/CRO/212/17	Restoration of Clearing Member Pursuant to action taken by PSX
840	S.Z SECURITIES (PVT) LIMITED	18-Jul-17	NCCPL/CRO/210/17	Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
841	QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	5-Jul-17	NCCPL/CS/248/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
842	GLOBAL SECURITIES (PVT) LIMITED	5-Jul-17	NCCPL/CS/250/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
843	AZEE SECURITIES (PRIVATE) LIMITED.	22-Jun-17	NCCPL/CRO/200/17	Revocation of Clearing Member Pursuant to settlement of money obligation
844	MIAN PARVEZ ASLAM SECURITIES (PVT) LIMITED	22-Jun-17	NCCPL/CS/240/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
845 846	AZEE SECURITIES (PRIVATE) LIMITED. SPINZER EQUITIES (PVT.) LIMITED	22-Jun-17 19-Jun-17	NCCPL/CRO/199/17 NCCPL/CRO/140/17	Suspension under Regulation 18.1.1(d) of NCPL Regulations, 2015 On account of default of money obligation Warnine Issued on account of Inspection conducted under Joint Inspection Regulations
847	ABBASI & COMPANY (PVT.) LIMITED	19-Jun-17 19-Jun-17	NCCPL/CRO/140/17 NCCPL/CRO/189/17	warning issues on account or inspection conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection onequiations (2015) Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
848	AKD SECURITIES LIMITED	19-Jun-17	NCCPL/CRO/190/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
849	FORTUNE SECURITIES LIMITED	19-Jun-17	NCCPL/CRO/192/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
850	IGI FINEX LIMITED	19-Jun-17	NCCPL/CRO/191/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
851	TS SECURITIES (PVT.) LIMITED	19-Jun-17	NCCPL/CRO/193/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
852	AZIZ DAWOOD SECURITIES (PVT) LIMITED	16-Jun-17	NCCPL/CRO/197/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
853	TARIQ SAYEED SECURITIES (PVT) LIMITED	16-Jun-17	NCCPL/CRO/195/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
854	QASIM MAHMOOD SECURITIES (SMC-PVT) LIMITED	16-Jun-17	NCCPL/CS/229/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
855	MY SECURITIES (PVT) LIMITED	16-Jun-17	NCCPL/CS/228/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
856	AB EQUITIES (PRIVATE) LIMITED	16-Jun-17	NCCPL/CRO/196/17	Suspension under Regulation 18.1.1(a) of NCCPL Regulations, 2015 On account of notice issued by SECP
857	DAWOOD EQUITIES LTD.	5-Jun-17	NCCPL/CRO/188/17	Revocation of Clearing Member Pursuant to settlement of money obligation
858	DAWOOD EQUITIES LTD.	5-Jun-17	NCCPL/CRO/187/17	Suspension under Regulation 18.1.1(d) & 18.3 of NCCPL Regulations, 2015 On account of default of money obligation
859 860	VALUE STOCK AND COMMODITIES (PVT.) LTD. GLOBAL SECURITIES (PVT) LIMITED	1-Jun-17 1-Jun-17	NCCPL/CRO/186/17 NCCPL/CS/204/17	Restriction of access to services on opening of new client accounts, pursuant to action taken by PSX Termination under Regulation 18.11 (i) 8.18.3 of NCPI. Regulations, 20.15 On account of Self Termination
860	S A SECURITIES (PVT) LIMITED	1-Jun-17 30-May-17	NCCPL/CS/204/17 NCCPL/CRO/185/17	Termination under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 on account of 3-eff Termination Suspension under Regulation 18.1.1(j) & 18.3 of NCCPL Regulations, 2015 versuant to action taken by CDC
862	AAU SECURITIES (PVT) LIMITED AAU SECURITIES (PVT) LTD.	29-May-17	NCCPL/CRO/185/17 NCCPL/CRO/181/17	Suspension under Regulation 1.8.1.1(c) & 18.3 or NCLPL Regulations, 2015 Pursuant to action taken by U.C. Suspension under Regulation 1.8.1.1(a) & 18.3 of NCLPL Regulations, 2015 on account of notice issued by SECP
863	AHSAM SECURITIES (PVT.) LIMITED	29-May-17	NCCPL/CRO/183/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2023 of account of notice issued by SECP Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2023 of account of notice issued by SECP
864	ASHFAQ ASHRAF SECURITIES (PVT.) LTD.	29-May-17	NCCPL/CRO/184/17	Suspension under Regulation 18.1.1(*a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
865	BMS CAPITAL (PVT) LTD.	29-May-17	NCCPL/CRO/174/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
866	CHIPPA SECURITIES (PVT.) LTD.	29-May-17	NCCPL/CRO/175/17	Suspension under Regulation 18.1.1['a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
867	FORT SECURITIES (PVT) LTD.	29-May-17	NCCPL/CRO/172/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
868	FORTRESS FINANCIAL SERVICES (PVT.) LIMITED	29-May-17	NCCPL/CRO/171/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
869	H.H.K. SECURITIES (PVT) LTD.	29-May-17	NCCPL/CRO/170/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
870	INTERACTIVE SECURITIES (PVT.) LIMITED	29-May-17	NCCPL/CRO/156/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
871	MAC SECURITIES (PRIVATE) LIMITED	29-May-17	NCCPL/CRO/178/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
872	MAS CAPITAL SECURITIES (PVT.) LIMITED	29-May-17	NCCPL/CRO/157/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
873	MOTIWALA SECURITIES (PVT.) LTD. PRIME CAPITAL MANAGEMENT (PRIVATE) LIMITED	29-May-17 29-May-17	NCCPL/CRO/179/17 NCCPL/CRO/168/17	Suspension under Regulation 18.11(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
874	R.A. SECURITIES (PVT.) LIMITED	29-May-17 29-May-17	NCCPL/CRO/168/17 NCCPL/CRO/158/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
	R.F.J. EQUITY (PRIVATE) LIMITED	29-May-17	NCCPL/CRO/158/17 NCCPL/CRO/167/17	Suspension union Regulation 1.6.1.1.1 a 2 t.3.5 of metric Regulations, 2015 of account of notice issued by SECP Suspension union Regulation 1.8.1.1.1 a 2 t.3.5 of metric Regulations, 2015 of account of notice issued by SECP Suspension union Regulation 1.8.1.1.1 a 2 t.3.5 of metric Regulations, 2015 of account of notice issued by SECP
	S M SECURITIES (PRIVATE) LIMITED	29-May-17	NCCPL/CRO/166/17	Suspension under Regulation 18.1.1(*a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
878	SHER CAPITAL EQUITIES (PVT.) LTD.	29-May-17	NCCPL/CRO/164/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
879	SMAC INVESTMENTS (SMC-PVT) LTD.	29-May-17	NCCPL/CRO/163/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
880	SOUTH ASIAN SECURITIES (PRIVATE) LIMITED	29-May-17	NCCPL/CRO/162/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
881	UNION SECURITIES (PVT) LTD.	29-May-17	NCCPL/CRO/161/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
	VENUS SECURITIES (PVT.) LIMITED	29-May-17	NCCPL/CRO/160/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
	KHAYYAM SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/169/17	Suspension under Regulation 18.1.1(1a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
	ZM CAPITAL (PVT) LIMITED	29-May-17	NCCPL/CRO/159/17	Suspension under Regulation 18.1.1('a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
	MY SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/180/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
886	ABID ALI HABIB SECURITIES (PVT) LIMITED	29-May-17	NCCPL/CRO/182/17	Suspension under Regulation 18.11(1) à 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP (International Polylation 19.11(1) à 19.11(1)
887 888	JAWED ZAKARIYA GULABI SECURITIES (PVT) LIMITED BRIGHT INVESTMENT AND SECURITIES (PVT) LIMITED	29-May-17 29-May-17	NCCPL/CRO/177/17 NCCPL/CRO/173/17	Suspension under Regulation 18.1.1(a) 8.13.3 of NCPL Regulations, 2015 On account of notice issued by SECP Suspension under Regulation 18.1.1(a) 8.13.3 of NCPL Regulations, 2015 On account of notice issued by SECP
	MAN SECURITIES (PVT) LIMITED	29-May-17 29-May-17	NCCPL/CRO/173/17 NCCPL/CRO/176/17	Suspension under Regulation 1.81.(a) & 1.85 of NCCUP. Regulations, 2015 On account of notice issued by SECP Suspension under Regulation 1.81.(a) & 1.85 of NCCUP. Regulations, 2015 On account of notice issued by SECP Suspension under Regulation 1.81.(a) & 1.85 of NCCUP. Regulations, 2015 On account of notice issued by SECP
890	SCHON CAPITAL MARKETS LIMITED	29-May-17	NCCPL/CRO/165/17	Suspension under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 On account of notice issued by SECP
891	FINE SECURITIES (SMC-PVT) LIMITED	26-May-17	NCCPL/CRO/153/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPI Regulations, 2015 Pursuant to action taken by PSX
892	LUXOR SECURITIES (SMC-PVT) LIMITED	26-May-17	NCCPL/CRO/154/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
893	TUMBI SECURITIES (PVT) LIMITED	25-May-17	NCCPL/CS/198/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
894	LIVE SECURITIES LIMITED	25-May-17	NCCPL/CS/200/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
895	FIRST PAKISTAN SECURITIES LIMITED	24-May-17	NCCPL/CS/184/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
896	MIAN PARVEZ ASLAM SECURITIES (PVT) LIMITED	23-May-17	NCCPL/CRO/152/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
897	INFINITE SECURITIES LIMITED	23-May-17	NCCPL/CRO/141/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
898	AMER RIAZ SECURITIES (PVT.) LIMITED	23-May-17	NCCPL/CRO/139/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
899	AZEE SECURITIES PVT LIMITED	23-May-17	NCCPL/CRO/142/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
900	JAMSHAID AND HASAN SECURITIES (PVT.) LIMITED	23-May-17	NCCPL/CRO/143/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
901	PINE SECURITIES (PVT.) LIMITED PROGRESSIVE SECURITIES (PVT.) LIMITED	23-May-17 23-May-17	NCCPL/CRO/144/17 NCCPL/CRO/145/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Notice issued to resolve open observation identified under Inspection conducted under Regulations, 2015 Notice Issued to resolve open observation identified under Inspection Conducted under Regulations, 2015
902	MUHAMMAD ANAF KAPADIA SECURITIES (SMC-PVT) LIMITED	23-May-17 22-May-17	NCCPL/CRO/145/17 NCCPL/CS/181/17	Notice issued to resolve open observation identified under inspection conducted under joint inspection Regulations, 2015 Termination under Regulation is 13.1(i) 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination under Regulation is 13.1(i) 8.18.3 of NCCPL Regulations, 2015 on account of Self Termination
903	LIVE SECURITIES LIMITED	12-May-17	NCCPL/CS/181/17 NCCPL/CRO/137/17	Termination under regulation 1.8.1.1(1) & 16.3 or NCLP1 regulations, 2015 On account or 5 en Termination Restriction of access to services under Regulation 1.8.1.1(b) & 18.3 of NCCPL Regulations, 2015 Drussant to action taken by PSX Restriction of access to devices under Regulation 1.8.1.1(b) & 18.3 of NCCPL Regulations, 2015 Drussant to action taken by PSX
904	MSD CAPITAL EQUITIES (PVT) LTD.	10-May-17	NCCPL/CRO/137/17 NCCPL/CRO/134/17	NESTICION DI ACCESSIO SERVICES UTILIEN REGULATO IL ACES OF INCEPT. REGULATIONS, 2013 PUI SUBINI LO ACCIONI DARREN DE SERVICES OF INCEPT. REGULATION LA ACCIONI DARREN DE PENSANTE LO ACCIONI ACCIONI DE PENSA
906	MAM SECURITIES (PVT) LIMITED	10-May-17	NCCPL/CRO/135/17	Termination under Regulation 18.1.1(b) & 18.3 of MCCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL
907	TARIQ SAYEED SECURITIES (PVT) LIMITED	8-May-17	NCCPL/CRO/132/17	Revocation of Clearing Member Pursuant to action taken by CDC & PSX

_				
S.No	Broker Name	Date	Order/ Notice Reference	Description of Disciplinary action
	MSD CAPITAL EQUITIES (PVT) LTD.	27-Apr-17	NCCPL/CRO/112/17	Restriction of access to services under Regulation 18.1.1(°c), 18.1.1(k) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
	AMCAP SECURITIES (PVT.) LTD.	25-Apr-17	NCCPL/CRO/111/17	Restoration of sale side transactions of Clearing Member Pursuant to action taken by PSX
910	AMCAP SECURITIES (PVT.) LTD.	5-Apr-17	NCCPL/CRO/97/17	Restriction of access to services under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
	AL HAQ SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/88/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
	PEARL SECURITIES LIMITED	24-Mar-17	NCCPL/CRO/89/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
913 914	ZAFAR SECURITIES (PVT.) LIMITED BIPL SECURITIES (PVT.) LIMITED	24-Mar-17 24-Mar-17	NCCPL/CRO/81/17 NCCPL/CRO/86/17	Warning Issued on account of Inspection conducted under Joint Inspection Regulations Notice Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015 Oncie Issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
915	HMC STOCKS (SMC-PRIVATE) LIMITED	24-Mar-17	NCCPL/CRO/86/17 NCCPL/CRO/87/17	Notice issued to resolve open observation intentined under inspection Conducted under Joint inspection Regulations, 2015 Notice issued to resolve open observation intentined under inspection conducted under Joint inspection Regulations, 2015 Total or resolve open observation intentined under inspection conducted under Joint inspection Regulations, 2015 Total or resolve open observation intentined under inspection conducted under Joint inspection Regulations, 2015
916	JAVED IQBAL SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/91/17	Notice issued to resolve open observation internities under inspection conducted under John Inspection Regulations, 2015 Notice issued to resolve open observation internities under inspection conducted under John Inspection Regulations, 2015
	MUHAMMAD MUNIR MOHAMMAD AHMED KHANANI SECURITIES	24-Mar-17	NCCPL/CRO/84/17	Notice issued to resolve open observation identified under inspection conducted under Joint Inspection Regulations, 2015
918	NEW PEAK SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/83/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
919	PASHA SECURITIES (PVT.) LIMITED	24-Mar-17	NCCPL/CRO/82/17	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
920	INVEST FORUM (PVT) LIMITED	17-Mar-17	NCCPL/CRO/72/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
921	HK SECURITIES PRIVATE LIMITED	17-Mar-17	NCCPL/CRO/73/17	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
922	S.Z SECURITIES (PVT) LIMITED	14-Mar-17	NCCPL/CRO/66/17	Suspension under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
923	TARIQ SAYEED SECURITIES (PVT) LIMITED	7-Mar-17	NCCPL/CRO/64/17	Restriction of access to services under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
	AMER SECURITIES (PVT.) LIMITED	3-Mar-17	NCCPL/CRO/50/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
-	ARIF HABIB LIMITED	3-Mar-17	NCCPL/CRO/48/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
926	GENERAL INVESTMENT & SECURITIES (PVT.) LIMITED	3-Mar-17	NCCPL/CRO/49/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
927	GPH SECURITIES (PVT.) LIMITED	3-Mar-17	NCCPL/CRO/51/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
	KHS SECURITIES (PVT.) LIMITED M. R. SECURITIES (SMC-PVT) LIMITED	3-Mar-17 1-Mar-17	NCCPL/CRO/47/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations Temperature of Particular Particular (1997) (1997
	M. R. SECURITIES (SMC-PVI) LIMITED AWJ SECURITIES (PVT) LIMITED	1-Mar-1/ 28-Feb-17	NCCPL/CRO/70/17 NCCPL/CRO/58/17	Termination under Regulation 18.1.1(b) & 18.3 of NCPL Regulations, 2015 Pursuant to action taken by PSX and NCCPL Termination under Regulation 18.1.1(b) & 18.3 of NCPL Regulations, 2015 Fursuant to action taken by PSX and NCCPL
930	UNIVERSAL EQUITES (PVT) LIMITED	27-Feb-17	NCCPL/CRO/58/17 NCCPL/CRO/42/17	Termination under Regulation 18.1.1(a) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSA and NCLPL Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
	MAM SECURITIES (PVT) LIMITED	20-Feb-17	NCCPL/CRO/42/17 NCCPL/CRO/44/17	Suspension under Regulation 1.5.1.1(1) & 1.5.3 of NCPL Regulations, 2015 Pursuant to action taken by CDC
	SONIA SHAHZAD SECURITIES (PVT) LIMITED	2-Feb-17	NCCPL/CRO/21/17	Septembasion under Regulation 18.1.1() & 18.3 of MCCPL Regulations, 2015 for account of Self-Termination
	M. R. SECURITIES (SMC-PVT) LIMITED	1-Feb-17	NCCPL/CRO/20/17	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
935	SUNRISE CAPITAL (PRIVATE) LIMITED	30-Jan-17	NCCPL/CS/52/17	Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
936	ZAFAR SECURITIES (PVT) LTD.	30-Jan-17	NCCPL/CS/16/17	Revocation of Clearing Member Pursuant to action taken by CDC
	ZAFAR SECURITIES (PVT) LTD.	30-Jan-17	NCCPL/CRO/15/17	Restriction of access to services under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
	AWJ SECURITIES (PVT) LIMITED	30-Jan-17	NCCPL/CRO/17/17	Suspension under Regulation 18.1.1('c) of NCCPL Regulations, 2015 Pursuant to action taken by CDC
	ZAFAR MOTI CAPITAL SECURITIES (PVT) LTD.	18-Jan-17	NCCPL/CS/37/17	Revocation of Clearing Member Pursuant to settlement of money obligation
940	ZAFAR MOTI CAPITAL SECURITIES (PVT) LTD.	17-Jan-17	NCCPL/CS/36/17	Suspension under Regulation 18.1.1(d) & 18.3 of NCCPL Regulations, 2015 On account of default of money obligation
	MASHHADI SECURITIES (PVT) LIMITED	13-Jan-17	NCCPL/CS/33/17	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
942	AM CHAUDHRY SECURITIES (PVT.) LIMITED	13-Jan-17	NCCPL/CS/34/17	Revocation of Clearing Member Pursuant to action taken by CDC
943	AWJ SECURITIES (PVT) LIMITED AWJ SECURITIES (PVT) LIMITED	13-Jan-17 12-Jan-17	NCCPL/CS/31/17 NCCPL/CS/26/17	Revocation of Clearing Member Pursuant to settlement of money obligation
945	R.T SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/19/17,	Suspension under Regulation 18.1.1(d) of NCPL Regulations, 2015 On account of default of money obligation Warning Issued on account of Inspection conducted under Joint Inspection Regulations Warning Issued on account of Inspection conducted under Joint Inspection Regulations
946	CONCORDIA SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/22/17,	Warning issued on account of Inspection conducted under Joint Inspection Regulations
947	HAMZA FARHAD SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/20/17,	Warning issued on account of Inspection conducted under Joint Inspection Regulations
948	ZAHID LATIF KHAN SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/21/17,	Warning issued on account of Inspection conducted under Joint Inspection Regulations
949	HORIZON SECURITIES (PVT.) LIMITED	9-Jan-17	NCCPL/CS/18/17,	Notice issued to resolve open observation identified under Inspection conducted under Joint Inspection Regulations, 2015
950	FIRST STREET CAPITAL (PVT.) LIMITED	9-Jan-17	NCCPL/CS/16/17	Warning issued on account of Inspection conducted under Joint Inspection Regulations
951	DIYANAH ISLAMIC FINANCIAL SERVICES (PRIVATE) LIMITED	6-Jan-17	NCCPL/CS/16/17	Revocation of Clearing Member Pursuant to action taken by CDC
952	S A SECURITIES (PVT) LIMITED	6-Jan-17	NCCPL/CS/15/17	Revocation of Clearing Member Pursuant to action taken by CDC
953	ALLIED SECURITIES (PVT.) LIMITED	2-Jan-17	NCCPL/CS/06/17	Restriction of access to services under Regulation 18.1.1(°c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
954	AB EQUITIES (PRIVATE) LIMITED	2-Jan-17	NCCPL/CS/08/17	Restriction of access to services under Regulation 18.1.1(*) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
955	AKD ANALYTICS (PVT) LIMITED S A SECURITIES (PVT) LIMITED	2-Jan-17 2-Jan-17	NCCPL/CS/09/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
956 957	AM CHAUDHRY SECURITIES (PVT.) LIMITED	2-Jan-17 2-Jan-17	NCCPL/CS/10/17 NCCPL/CS/07/17	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
957	JS GLOBAL CAPITAL LIMITED	2-Jan-17 2-Jan-17	NCCPL/CS/5/17,	RESTITUTION OF ACCESS TO SERVICES UNDER REGULATION 18.1.1 (c) & 18.3 OF NCLP1 REGULATIONS, 2015 PURSUANT TO ACCESS TO SERVICES UNDER REGULATION 18.1.1 (c) & 18.3 OF NCLP1 REGULATIONS, 2015 PURSUANT TO ACCESS TO SERVICES UNDER REGULATION 18.1.1 (c) & 18.3 OF NCLP1 REGULATIONS, 2015 PURSUANT TO ACCESS TO SERVICES UNDER REGULATION 18.1.1 (c) & 18.3 OF NCLP1 REGULATIONS, 2015 PURSUANT TO ACCESS TO SERVICES UNDER REGULATION 18.1.1 (c) & 18.3 OF NCLP1 REGULATIONS, 2015 PURSUANT TO ACCESS TO SERVICES UNDER REGULATIONS TO ACCESS
959	MND INVESTMENT (PVT.) LIMITED	2-Jan-17	NCCPL/CS/3/17,	warning issued on account of inspection conducted under Joint Inspection Regulations Warning issued on account of inspection conducted under Joint Inspection Regulations
960	SD MIRZA SECURITIES (PVT.) LIMITED	2-Jan-17	NCCPL/CS/4/17,	Warning issued on account of Inspection conducted under Joint Inspection Regulations
961	DAWOOD EQUITIES LTD.	20-Dec-16	NCCPL/CS/738/16	Revocation of Clearing Member Pursuant to settlement of money obligation
962	DAWOOD EQUITIES LTD.	19-Dec-16	NCCPL/CS/737/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
963	DAWOOD EQUITIES LTD.	14-Dec-16	NCCPL/CS/725/16	Revocation of Clearing Member Pursuant to settlement of money obligation
964	DAWOOD EQUITIES LTD.	14-Dec-16	NCCPL/CS/724/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
965	AM CHAUDHRY SECURITIES (PVT.) LIMITED	7-Dec-16	NCCPL/CS/715/16	Revocation of Clearing Member Pursuant to action taken by PSX
966	AM CHAUDHRY SECURITIES (PVT.) LIMITED	30-Nov-16	NCCPL/CS/702/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
967	PARAMOUNT SECURITIES (PVT) LIMITED MALIK SECURITIES (PVT) LIMITED	28-Nov-16	NCCPL/CS/697/16 NCCPL/CS/696/16	Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
968	INVEST FORUM (SMC-PVT) LIMITED	28-Nov-16 17-Nov-16	NCCPL/CS/696/16 NCCPL/CS/681/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination Revocation of Clearing Member Pursuant to action taken by PSX
969 970	FIRST PUNJAB MODARBA	14-Nov-16	NCCPL/CS/668/16	REVOCATION OF CHEATING INVESTIGATION OF THE ACTION OF THE
970	TAHA SECURITIES (PVT) LIMITED	3-Nov-16	NCCPL/CS/628/16	Termination under Regulation 18.1.(i) of NCCPL Regulations, 2015 Pulsatin to action taken by CCC. Termination under Regulation 18.1.(i) of NCCPL Regulations, 2015 On account of Self Termination
972	ABID INVESTMENTS (PVT) LIMITED	3-Nov-16	NCCPL/CS/626/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPI. Regulations, 2015 On account of Set Termination
973	FORT INVESTMENT (PVT) LIMITED	3-Nov-16	NCCPL/CS/629/16	Termination under Regulation 18.1.1(i) 8 18.3 of NCCPI Regulations, 2015 On account of Self Termination
974	MYM EQUITIES (PVT) LIMITED	3-Nov-16	NCCPL/CS/627/16	Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
975	JCR CAPITAL SECURITIES (PVT) LTD.	1-Nov-16	NCCPL/CS/624/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 pursuant to action taken by PSX
976	SIS SECURITIES (PVT) LIMITED	26-Oct-16	NCCPL/CS/582/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
977	H. P. BYRAMJI & CO. (PVT) LIMITED	18-Oct-16	NCCPL/CS/547/16	Revocation of Clearing Member Pursuant to action taken by CDC
0.70	H. P. BYRAMJI & CO. (PVT) LIMITED	14-Oct-16	NCCPL/CS/533/16 NCCPL/CS/528/16	Restriction of access to services under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
9/0	AZIZ DAWOOD SECURITIES (PVT) LIMITED	13-Oct-16		

CNI	Parker Norma	D-1-	Order/ Notice Reference	Description of Descriptions of the
980	Broker Name ESCORTS CAPITAL LIMITED	Date 13-Oct-16	NCCPL/CS/525/16	Description of Disciplinary action Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
981	OMNI CAPITAL LIMITED OMNI CAPITAL MANAGEMENT (PRIVATE) LIMITED	13-Oct-16	NCCPL/CS/525/16 NCCPL/CS/526/16	Suspension under Regulation 18.1.1(j) & 16.3 or NCPCI Regulations, 2015 Pulsualit to action taken by PSX Suspension under Regulation 18.1.1(j) & 16.3 or NCPCI Regulations, 2015 Pulsualit to action taken by PSX Suspension under Regulation 18.1.1(j) & 16.3 or NCPCI Regulations, 2015 Pulsualit to action taken by PSX
982	PAK MEEZAN SECURITIES (PVT) LIMITED	13-Oct-16	NCCPL/CS/527/16	Josephanou muder Regulation 18.1.1(j) & 13.5 of NCPCI Regulations, 2015 Pursuant to action taken by PSX Suspension under Regulation 18.1.1(j) & 13.5 of NCPCI Regulations, 2015 Pursuant to action taken by PSX
983	STOCKS VISION (PVT) LIMITED	13-Oct-16	NCCPL/CS/529/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPI. Regulations, 2015 Pursuant to action taken by PSX
984	PROSPERITY SECURITIES (SMC-PVT) LIMITED	7-Oct-16	NCCPL/CS/523/16	Termination under Regulation 18.1.1(a) & 18.1.1(b) of NCCPL Regulations, 2015 On account of notice issued by SECP
985	STAR SECURITIES (PVT) LIMITED	6-Oct-16	NCCPL/CS/519/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
986	BEAMING INVESTMENT & SECURITIES (PVT)LTD	30-Sep-16	NCCPL/CS/509/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
987	MBJ SECURITIES (PVT) LIMITED	30-Sep-16	NCCPL/CS/508/16	Termination under Regulation 18.1.1('c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
988	FAITH SECURITIES (PVT) LIMITED	26-Sep-16	NCCPL/CS/484/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
989	TAHA SECURITIES (PVT) LIMITED	21-Sep-16	NCCPL/CS/470/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
990	PACE INVESTMENT AND SECURITIES (PVT) LIMITED	7-Sep-16	NCCPL/CS/446/16	Revocation of Clearing Member Pursuant to settlement of money obligation
991	PACE INVESTMENT AND SECURITIES (PVT) LIMITED	6-Sep-16	NCCPL/CS/445/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
992 993	AKHBANI SECURITIES (SMC-PVT) LIMITED GHORYS SECURITIES (PVT) LIMITED	6-Sep-16 1-Sep-16	NCCPL/CS/443/16 NCCPL/CS/435/16	Termination under Regulation 18.1.1(i) 8.13 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(i) 8.13 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(i) 8.13 of NCCPL Regulations, 2015 On account of Self Termination
993	SNM SECURITIES (PVT) LTD.	31-Aug-16	NCCPL/CS/435/16 NCCPL/CS/430/16	Termination under Regulation 1.8.1.1(1) & 18.3 of TMCLPL regulations, 2015 On account of 5-en Termination Restriction of Searces to services under Regulation 1.8.1.1(5) & 18.3 of MCCPL Regulations, 2015 Pursuant to action taken by PSX Restriction of Searces to Services under Regulation 1.8.1.1(5) & 18.3 of MCCPL Regulations, 2015 Pursuant to action taken by PSX
995	AB EQUITIES (PRIVATE) LIMITED	26-Aug-16	NCCPL/CS/428/16	Revocation of Clearing Member Pursuant to action taken by CDC
996	STABLE SECURITIES (PVT) LIMITED	26-Aug-16	NCCPL/CS/426/16	Suspension under Regulation 18.1.1(b) & 18.3 of MCCPL Regulations, 2015 Pursuant to action taken by PSX
997	A.H.K.D. SECURITES (PVT) LTD.	26-Aug-16	NCCPL/CS/425/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPI. Regulations, 2015 Pursuant to action taken by PSX
998	MASHHADI SECURITIES (PVT) LIMITED	26-Aug-16	NCCPL/CS/424/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
999	QASIM MAHMOOD SECURITIES (SMC-PVT) LIMITED	26-Aug-16	NCCPL/CS/427/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
1000	QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	26-Aug-16	NCCPL/CS/423/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
1001	SMB SECURITIS (PVT) LIMITED	26-Aug-16	NCCPL/CS/422/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
1002	Y.S STOCKS (PVT) LIMITED	19-Aug-16	NCCPL/CS/414/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
1003	SAIMA QAISER SECURITIES (PVT) LIMITED	17-Aug-16	NCCPL/CS/411/16	Revocation of Clearing Member Pursuant to settlement of money obligation
1004	SAIMA QAISER SECURITIES (PVT) LIMITED	17-Aug-16	NCCPL/CS/410/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
1005 1006	CASSIM INVESTMENTS (PRIVATE) LIMITED	12-Aug-16	NCCPL/CS/399/16	Revocation of Clearing Member Pursuant to action taken by CDC
1006	CASSIM INVESTMENTS (PRIVATE) LIMITED H.M.Y SECURITIES (PVT) LIMITED	11-Aug-16 3-Aug-16	NCCPL/CS/398/16 NCCPL/CS/381/16	Restriction of access to services under Regulation 18.1.1(°) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
1007	JAN MOHAMMAD A. LATIF NINI & SONS (PVT) LIMITED	28-Jul-16	NCCPL/CS/376/16	Termination under Regulation 1.6.1.1(j) 8 13.50 MCCPL Regulations, 2015 On account of Self Termination
1009	AMIN TAI SECURITIES (PVT) LIMITED	15-Jul-16	NCCPL/CS/356/16	Termination under Regulation 18.1.1() & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
1010	SMART INVESTMENTS CAPITAL MANAGEMENT (PVT) LIMITED	13-Jul-16	NCCPL/CS/349/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
1011	ALPHA BETA CAPITAL MARKETS (PVT) LIMITED	13-Jul-16	NCCPL/CS/350/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
1012	MALIK SECURITIES (PVT) LIMITED	11-Jul-16	NCCPL/CS/344/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
1013	INVEST FORUM (SMC-PVT) LIMITED	30-Jun-16	NCCPL/CS/329/16	Restriction of access to services under Regulation of NCCPL Regulations, 2015 Pursuant to action taken by PSX
1014	INFINITE SECURITIES LIMITED	22-Jun-16	NCCPL/CS/309/16	Revocation of Clearing Member Pursuant to settlement of money obligation
1015	CONCEPT SECURITIES (PVT) LIMITED	22-Jun-16	NCCPL/CS/306/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
1016	INFINITE SECURITIES LIMITED	22-Jun-16	NCCPL/CS/308/16	Suspension under Regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
1017	STOCK STREET (PVT) LIMITED	14-Jun-16	NCCPL/CS/295/16	Termination under Regulation 18.1.1(°) of NCCPL Regulations, 2015 Pursuant to action taken by CDC
1018	PLATINUM CAPITALL MANAGEMENT (PVT) LIMITED NIZAM SECURITIES (PVT) LIMITED	14-Jun-16 9-Jun-16	NCCPL/CS/299/16 NCCPL/CS/291/16	Termination under Regulation 18.1.1(i) & 13.3 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(i) & 8.13 of NCCPL Regulations, 2015 On account of Self Termination Termination under Regulation 18.1.1(i) & 8.13 of NCCPL Regulations, 2015 On account of Self Termination
1019	KHAWAJA SECURITIES (PVT.) LIMITED	1-Jun-16	NCCPL/CS/284/16	Revocation of Clearing Member Pursuant to settlement of money obligation
1021	KHAWAJA SECURITIES (PVT.) LIMITED	1-Jun-16	NCCPL/CS/282/16	Suspension under regulation 18.1.1(d) of NCCPL Regulations, 2015 On account of default of money obligation
1022	SWITCH SECURITIES (PVT) LIMITED	31-May-16	NCCPL/CS/279/16	Suspension under Regulation of NCCPL Regulations, 2015 Pursuant to action taken by PSX
1023	SHEHZAD CHAMDIA SECURITIES (PVT) LIMITED	27-May-16	NCCPL/CS/264/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
1024	MIKON SECURITIES (PVT) LIMITED	27-May-16	NCCPL/CS/275/16	Suspension under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
1025	DUGAN SECURITIES (PVT) LIMITED	24-May-16	NCCPL/CS/247/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
1026	SOHAIL RAZA MOOSANI (SMC-PVT) LIMITED	24-May-16	NCCPL/CS/244/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
1027	MIAN MUHAMMAD AKRAM SECURITIES (PVT) LIMITED	17-May-16	NCCPL/CS/233/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
1028	MUHAMMAD BASHIR KAMNANI SECURITIES (PVT) LIMITED	17-May-16	NCCPL/CS/232/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
1029	STOCK STREET (PVT) LIMITED	2-May-16	NCCPL/CS/203/16	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
1026	MUNAF SATTAR SECURITIES (PVT) LIMITED PAK MEEZAN SECURITIES (PVT) LIMITED	2-May-16 29-Apr-16	NCCPL/CS/201/16 NCCPL/CS/200/16	Termination under Regulation 18.1.1(i) & 18.3 of NCCPL Regulations, 2015 On account of Self Termination
1027	H.R SECURITIES AND BROKERAGE (PVT) LIMITED	29-Apr-16 8-Apr-16	NCCPL/CS/200/16 NCCPL/CS/119/16	Revocation of Clearing Member Pursuant to action taken by CDC Termination under Regulation 18.11/(c) of NCCF Regulations, 2015 Pursuant to action taken by CDC
1028	AL ASAR SECURITIES (PVT) LIMITED	8-Apr-16	NCCPL/CS/119/16 NCCPL/CS/118/16	Termination under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC Termination under Regulation 18.1.1(c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
1029	AKD ANALYTICS (PVT) LIMITED	6-Apr-16	NCCPL/CS/116/16	Revocation of Clearing Member Pursuant to action taken by CDC
1027	QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	25-Mar-16	NCCPL/CS/92/16	Revocation of Clearing Member Pursuant to action taken by PSX
1028	QUALITY ISLAMIC INVESTMENTS AND SECURITIES (PVT) LIMITED	16-Mar-16	NCCPL/CS/86/16	Restriction of access to services under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
1029	A.H.K.D. SECURITES (PVT) LTD.	4-Mar-16	NCCPL/CS/72/16	Revocation of Clearing Member Pursuant to action taken by CDC
1028	CMA SECURITIES (PVT.) LIMITED	3-Mar-16	NCCPL/CS/70/16	Revocation of Clearing Member Pursuant to action taken by PSX
1029	CMA SECURITIES (PVT.) LIMITED	3-Mar-16	NCCPL/CS/68/16	Suspension under Regulation 18.1.1(b) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by PSX
1030	TARIQ SAYEED SECURITIES (PVT) LIMITED	2-Mar-16	NCCPL/CS/65/16	Revocation of Clearing Member Pursuant to action taken by CDC
1029	ELIXIR SECURITIES PAKISTAN (PVT.) LTD.	25-Feb-16	NCCPL/CS/61/16	Suspension under Regulation 18.1.1(°c) & 18.3 of NCCPL Regulations, 2015 Pursuant to action taken by CDC
1030	ELIXIR SECURITIES PAKISTAN (PVT.) LTD.	24-Feb-16	NCCPL/CS/63/16	Revocation of Clearing Member Pursuant to action taken by CDC
1031	SAIMA QAISER SECURITIES (PVT) LIMITED	22-Jan-16	NCCPL/CS/35/16	Revocation of Clearing Member Pursuant to action taken by CDC
1030	JCR CAPITAL SECURITIES (PVT) LTD. SAFE SECURITIES (PVT) LIMITED	13-Jan-16 6-Jan-16	NCCPL/CS/19/16 NCCPL/CS/604/16	Revocation of Clearing Member Pursuant to action taken by CDC Termination under Regulation 18.1.1(j) of MCDE Regulations, 2015 On account of Self Termination
1031	SALE SECONTIES (PVI) LIMITED	0-19U-1p	NCCPL/CS/604/16	refiningtion under regulation 20.1.1(1) of recer regulations, 2013 On account of sent refiningtion