



Disciplinary Register - Participants

Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1	Akhai Securitais (Private) Limited	Removal of Restrictions	12-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1274 dated November 12, 2020	15.6.2
2	Q. Ain Khanani Securities (Private) Limited	Removal of Restrictions	11-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1262 dated November 10, 2020	15.6.2
3	Akhai Securitais (Private) Limited	Restricted	11-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1265 dated November 10, 2020	15.2.1(a)
4	Muhammad Ashfaq Hussain Securities (Private) Limited	Restricted	11-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1263 dated November 11, 2020	15.2.1(a)
5	Muhammad Ashfaq Hussain Securities (Private) Limited	Removal of Restrictions	11-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1268 dated November 11, 2020	15.6.2
6	Continental Capital Management (Private) Limited	Removal of Restrictions	4-Nov-20	Consequent to restoration of of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1240 dated November 04, 2020	15.6.2
7	Continental Capital Management (Private) Limited	Restricted	3-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1225 dated November 03, 2020	15.2.1(a)
8	Q. Ain Khanani Securities (Private) Limited	Restricted	3-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1226 dated November 03, 2020	15.2.1(a)
9	Amer Securities (Private) Limited - MF	Restricted	3-Nov-20	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/311/20 dated November 03, 2020	15.2.1(a)
10	We Financial Services Limtied - MF	Restricted	3-Nov-20	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/312/20 dated November 03, 2020	15.2.1(a)
11	Fairway Securities (Private) Limited	Removal of Restrictions	3-Nov-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/309/20 dated November 03, 2020	15.6.2
12	A. I. Securities (Private) Limited	Removal of Restrictions	2-Nov-20	Consequent to restoration of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1215 dated November 02, 2020	15.6.2
13	A. I. Securities (Pvt.) Limited	Restricted	29-Oct-20	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-1207 dated October 29, 2020.	15.2.1(a)
14	Darson Securities (Pvt.) Limited	Censure	28-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.2A
15	Next Capital Limited - Thematic	Censure	28-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
16	A.S Securities (Pvt.) limited	Censure + Restrictions	27-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A
17	The Bank of Khyber	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2
18	Silkbank Limited	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
19	Summit Bank Limited	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2
20	Saudi Pak Industrial & Agricultural Investment Co. Limited	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2
21	MRA Securities Limited	Censure + Restrictions	21-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.2A
22	S.D. MIRZA SECURITIES (PVT) LTD.	Censure	19-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
23	MSD CAPITAL EQUITIES (PVT) LTD.	Censure + Restrictions	14-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
24	SINDH BANK LIMITED	Final Report issued	14-Oct-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
25	National Bank of Pakistan	Final Report issued	14-Oct-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
26	IAK Securities (Pvt) Limited - Regular	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
27	SHAJAR CAPITAL PAKISTAN (PRIVATE) LIMITED - Thematic	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
28	HABIB ULLAH SHEIKH (PVT) LTD.	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
29	BRAINS SECURITIES (PVT) LTD	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
30	KHADIM ALI SHAH BUKHARI SECURITIES (PRIVATE) LIMITED	Censure	12-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
31	Xpert Securities Limited	Notice of Removal of Restriction	7-Oct-20	Consequent to removal of Restrictions by PSX to change the status as an active TRE Certificate holder ide notice no. PSX/N -1116 dated October 07, 2020	15.6.2
32	MSD Capital Equities (Private) Limited	Notice of Removal of Restriction	5-Oct-20	Consequent to removal of Restrictions by PSX to change the status as an active TRE Certificate holder ide notice no. PSX/N -1099 dated October 02, 2020	15.6.2
33	Arch Capital Securities (Private) Limited	Terminated	28-Sep-20	Voluntary Termination	15.10.1



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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
34	Reliance Securities Limited	Notice in respect of Participant	28-Sep-20	Consequent to removal of suspension of Reliance Securities Limited by Pakistan Stock Exchange Limited as notified by PSX vide notice no. PSX/N-1058 dated September 25, 2020. However, Trading terminal has not activated due to the brokerage license of Reliance Securities has been expired.	15.6.2 and 15.2.1(a)
35	R.T SECURITIES (PVT.) LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
36	PUNJAB CAPITAL SECURITIES (PVT) LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
37	Taurus Securities Limited - LSI	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
38	SPECTRUM SECURITIES LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
39	TAURUS SECURITIES LIMITED - Thematic	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
40	Horizon Securities Limited - Thematic	Censure	23-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
41	INA SECURITIES (PVT) LTD	Censure	23-Sep-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
42	SPINZER EQUITIES (PRIVATE) LIMITED	Censure	23-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
43	KHAWAJA SECURITIES (PVT.) LIMITED - Thematic	Censure	17-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
44	SALMAN MAJEED SECURITIES (PRIVATE) LIMITED - Thematic	Censure	17-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
45	FIRST STREET CAPITAL (PVT.) LTD. - Thematic	Censure	17-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
46	New Peak Securities (Private) Limited	Restrictions on opening of New Sub-Accounts	17-Sep-20	Consequent to restriction on opening of new clients' account by the Participant as notified by PSX vide notice no. PSX/N/1017 dated September 17, 2020	15.2.1(a)
47	SAAO CAPITAL (PVT) LIMITED	Censure + Restriction	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
48	ZAFAR SECURITIES (PRIVATE) LIMITED - Thematic	Censure	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
49	DATTOO SECURITIES (PVT.) LTD. - Thematic	Censure	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
50	Muhammad Tariq Moti Securities (Pvt) Ltd.	Censure + Restriction	10-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
51	Dosslanis Securities (Pvt) Limited - Thematic	Censure	10-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
52	Pearl Securities Limited	Censure + Restriction	9-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, & 6.2.5A
53	Faysal Bank Limited	Final Report issued	9-Sep-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
54	Time Securities (Pvt.) Ltd. - Regular	Censure	9-Sep-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1
55	ASDA Securities (Private) Limited	Removal of Restrictions	3-Sep-20	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/265/20 dated September 03, 2020	15.6.2
56	Trust Securities & Brokerage Limited	Censure	28-Aug-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
57	Rahat Securities Limited - LSI	Censure	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
58	Millennium Brokerage (Pvt.) Limited - Thematic	Censure	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
59	We Financial Services Limited	Censure Letter	28-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
60	PAKISTAN KUWAIT INVESTMENT COMPANY (PVT) LTD	Final Report Issued	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
61	SAMBA BANK LIMITED	Final Report Issued	28-Aug-20	Non-Compliance of CDC Regulations	6.2.2
62	SONERI BANK LIMITED	Final Report Issued	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
63	RAH SECURITIES (PVT) LIMITED - Thematic	Censure	27-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
64	KOSMOPOLITAN SECURITIES (PRIVATE) LIMITED - Thematic	Censure	27-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
65	Zafar Moti Capital Securities (Pvt) Ltd. - Regular	Censure + Restriction	21-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1
66	Friendly Securities (Pvt) Ltd. - Thematic	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
67	ASIAN SECURITIES LIMITED - Thematic	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
68	FIRST NATIONAL EQUITIES LIMITED - Thematic	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
69	ELEVEN STARS SECURITIES (PVT) LTD - Thematic	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
70	M. M. SECURITIES (PVT.) LIMITED - Thematic	Censure	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
71	Fairtrade Capital Securities (Pvt.) Limited	Censure Letter	21-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
72	Askari Securities Limited	Censure Letter	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
73	EFG HERMES PAKISTAN LIMITED	Censure Letter	21-Aug-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
74	Amer Securities (Private) Limited	Removal of Restrictions	19-Aug-20	Consequent to removal of Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/248/20 dated August 18, 2020	15.6.2
75	Fair Edge Securities (Private) Limited - Regular	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)



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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
76	Growth Securities (Pvt) Ltd. - LSI	Censure + Restriction	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
77	Integrated Equities Limited - Regular	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
78	B & B SECURITIES (PRIVATE) LIMITED - Thematic	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
79	FAIRWAY SECURITIES (PVT) LIMITED - Thematic	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
80	HIGH LAND SECURITIES (PVT) LIMITED - Thematic	Censure	18-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
81	R.A. Securities (Private) Limited	Terminated	30-Jul-20	Voluntary Termination	15.10.1
82	Apex Capital Securities (Pvt) Limited - Regular	Censure + Restriction	24-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1
83	General Invest. & Securities (Pvt) Ltd. - Regular	Censure	24-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
84	MGM Securities (Private) Limited - Thematic	Censure	24-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
85	GENERAL INVEST. & SECURITIES (PVT) LTD.	Censure Letter	20-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
86	ABM Securities (Pvt) Limited - Thematic	Censure	16-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
87	ASDA Securities (Pvt.) Ltd. - Thematic	Censure + Restriction	16-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
88	Asad Mustafa Securities (Private) Limited - MT & MF	Removal of Restrictions	16-Jul-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/224/20 dated July 16, 2020	15.6.2
89	Patel Securities (Private) Limited	Removal of Suspension	14-Jul-20	Consequent to the removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/222/20 dated July 14, 2020.	15.6.2
90	Patel Securities (Private) Limited	Suspended	14-Jul-20	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/221/20 dated July 14, 2020.	15.2.1(b)
91	MILLENNIUM BROKERAGE (PVT.) LIMITED	Censure Letter	9-Jul-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
92	Mayari Securities (Pvt.) Limited	Censure Letter	8-Jul-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
93	Fair Edge Securities (pvt.) limited	Censure Letter	6-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
94	HAMZA FARHAD SECURITIES (PVT.) LIMITED	Censure Letter	6-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
95	Pasha Securities (Pvt.) Limited	Censure Letter	6-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
96	SAZ Capital Securities (Pvt.) Limited - Regular	Censure Letter	1-Jul-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 8.2.1
97	General Invest. & Securities (Pvt) Ltd. - Thematic	Censure Letter	29-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
98	Progressive Securities (Private) Limited - Thematic	Censure Letter	29-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
99	Backers & Partners (Pvt.) limited	Censure Letter	26-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
100	PUNJAB CAPITAL SECURITIES (PVT) LIMITED	Censure Letter	26-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
101	Fikree'S (Private) Limited - Regular	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1
102	Value Stock And Commodities (Private) Limited - Thematic	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
103	Hamza Farhad Securities (Pvt.) Limited - Regular	Censure	25-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, and 6.2.6 (b)
104	High Land Securities (Pvt.) Limited	Censure Letter	25-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
105	JAVED IQBAL SECURITIES (PVT) LTD.	Censure Letter	25-Jun-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
106	GULREZ SECURITIES (PRIVATE) LIMITED	Censure Letter	25-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
107	Bawa Securities (Pvt) Ltd.	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
108	DR. ARSLAN RAZAQUE SECURITIES (PVT) LTD.	Notice of Restriction & Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
109	MRA Securities Limited - Thematic	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
110	Sethi Securities (Pvt) Ltd - Regular	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2A.1
111	Zahid Latif Khan Securities (Pvt.) limited	Censure Letter	23-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.5A
112	MONEYLINE SECURITIES (PRIVATE) LIMITED	Censure Letter	23-Jun-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
113	Intermarket Securities Limited	Notice of Restriction & Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
114	Asad Mustafa Securities (Private) Limited - MT & MF	Restricted	16-Jun-20	consequent to imposing the Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/187/20 dated June 16, 2020	15.2.1(a)
115	Shajar Capital Pakistan (Pvt.) Limited	Notice of Removal of Restriction	16-Jun-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/188/20 dated June 16, 2020	15.6.2
116	Creative Capital Securities (Pvt.) Limited	Censure Letter	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
117	Msmaniar Financial (Pvt.) Limited	Notice of Restriction & Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
118	Cedar Capital (Pvt.) Limited	Notice of Restriction & Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
119	Msmaniar Financial (Pvt.) Limited - Thematic	Notice of Restriction & Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)



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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
120	New Peak Securities (Pvt.) Limited - Thematic	Censure Letter	11-Jun-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
121	ASA Stocks (Pvt.) Limited - Thematic	Notice of Restriction & Censure	11-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
122	Askari Bank Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2
123	Bank Alfalah Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
124	Habib Bank Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
125	Al Baraka Bank (Pakistan) Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
126	Bank Islami Pakistan Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
127	Concordia Securities (Private) Limited	Terminated	28-May-20	Voluntary Termination	15.10.1
128	Vecttor Securities (Private) Limited - MF	Removal of Restrictins	18-May-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/182/20 dated May 18, 2020	15.6.2
129	First Street Capital (Private) Limited - MF & MT	Removal of Restrictins	15-May-20	Consequent to removal of restriction by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/181/20 dated May 15, 2020.	15.6.2
130	Progressive Investment Management (Pvt.) Ltd	Censure Letter	14-May-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
131	Falki Capital (Private) Limited	Censure Letter	14-May-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
132	Bridge Securities (Pvt.) Limited	Notice of Restriction & Censure	14-May-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
133	MCFSL-Trustee Allied Capital Protected Fund	Terminated	23-Apr-20	Voluntary Termination	15.10.1
134	Vecttor Securities (Private) Limited - MF	Restricted	17-Apr-20	consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/163/20 dated April 17, 2020	15.2.1(a)
135	First Street Capital (Private) Limited - MF & MT	Restricted	17-Apr-20	consequent to imposing the Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/164/20 dated April 17, 2020	15.2.1(a)
136	Zillion Capital Securities (Private) Limited - MF	Restricted	17-Apr-20	consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/162/20 dated April 17, 2020	15.2.1(a)
137	Royal Securities (Pvt.) Ltd.	Censure Letter	10-Apr-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
138	Next Capital Limited	Notice of Restriction & Censure	2-Apr-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
139	Axis Global Limited	Censure Letter	2-Apr-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
140	HMC Stocks (Pvt.) Limited	Censure Letter	2-Apr-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
141	Khawaja Securities (Pvt.) Limited	Censure Letter	2-Apr-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
142	Baba Equities (Pvt) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of Restrictions.	15.3.7
143	KP Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
144	M. F. Stocks (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
145	Beaming Investment & Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
146	RUC Securities Private Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
147	Maha Securities (Pvt.) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
148	F.M. Securities (Pvt.) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
149	CMA Securities (Pvt) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
150	A. S. Securities (Private) Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
151	Reliance Securities Limited	Suspended	27-Mar-20	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
152	Akhai Securities (Private) Limited	Removal of Restrictions	24-Mar-20	Consequent to restoration of trading terminals of Participant by PSX vide notice noPSX/N-407 dated March 24, 2020 .	15.6.2



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
153	Amer Securities (Private) Limited - MF	Restricted	17-Mar-20	Consequent to imposing the Restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/130/20 dated March 17, 2020.	15.2.1(a)
154	Akhai Securities (Private) Limited	Restricted	17-Mar-20	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-353 dated March 17, 2020 .	15.2.1(a)
155	JSK Securities Limited	Restricted	17-Mar-20	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-353 dated March 17, 2020 .	15.2.1(a)
156	ASDA Securities (Pvt.) Limited - MF	Restricted	17-Mar-20	Consequent to imposing the Restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/127/20 dated March 17, 2020.	15.2.1(a)
157	Zillion Capital Securities Pvt. Limited - MF	Removal of Restrictions	16-Mar-20	Consequent to removal of restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/124/20 dated March 13, 2020.	15.6.2
158	Amer Securities (Private) Limited - MF	Removal of Restrictions	13-Mar-20	Consequent to removal of restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/122/20 dated March 13, 2020.	15.6.2
159	BIPL Securities Limited	Notice of Restriction & Censure	3-Mar-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
160	First Capital Equities Limited	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
161	Din Capital Limited	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
162	Concordia Securities (Private) Limited	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
163	IAK Securities (Private) Limited	Restricted	24-Feb-20	Due to the cancellation of liscence by SECP as a securities broker, vide letter no. 2(33)/SE/SMD/2020 dated February 20, 2020.	15.2.1(a)
164	Abbasi Securities (Pvt.) Limited - MT and MF	Restricted	20-Feb-20	Consequent to imposing the restriction by NCCPL as an MF Account Holder and MT Account Holder vide notice no. NCCPL/CRO/103/20 dated February 19, 2020.	15.2.1(a)
165	Fairway Securities (Pvt.) Limited - MT and MF	Restricted	20-Feb-20	Consequent to imposing the restriction by NCCPL as an MF Account Holder and MT Account Holder vide notice no. NCCPL/CRO/102/20 dated February 19, 2020.	15.2.1(a)
166	Shajar Capital Pakistan (Pvt.) Limited - MT and MF	Restricted	20-Feb-20	Consequent to imposing the restriction by NCCPL as an MF Account Holder and MT Account Holder vide notice no. NCCPL/CRO/104/20 dated February 19, 2020.	15.2.1(a)
167	Reliance Securities Limited	Suspended	14-Feb-20	Consequent to suspension of TRE Certificate of Participant by PSX vide notice no. PSX/N-201 dated February 14, 2020.	15.2.1(b)
168	BankIslami Pakistan Limited	Terminated	14-Feb-20	Voluntary Termintaion	15.10.1
169	Azee Securities (Private) Limited	Removal of Suspension	10-Feb-20	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/90/20 dated February 10, 2020	15.6.2
170	Azee Securities (Private) Limited	Suspended	10-Feb-20	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/89/20 dated February 10, 2020.	15.2.1(b)
171	Xpert Securities Limited	Notice in respect of Participant	7-Feb-20	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
172	AMCAP Securities (Private) Limited	Terminated	31-Jan-20	Consequent to the forfeiture of TRE Certificate of the Participant by PSX vide notice no. PSX/N-137 dated January 31, 2020.	15.3.7
173	Luxor Securities (SMC-Private) Limited	Terminated	30-Jan-20	Voluntary Termintaion	15.10.1
174	Foundation Securities (Pvt.) Limited	Notice of Restriction & Censure	27-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
175	Foundation Securities (Pvt.) Limited	Notice of Restriction & Censure	27-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
176	MCFSL-Trustee Askari Islamic Asset Allocation Fund	Terminated	21-Jan-20	Voluntary Termintaion	15.10.1
177	K & I Global Capital (Pvt.) Limited	Censure Letter	14-Jan-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
178	Amer Securities (Pvt.) Limited	Censure Letter	14-Jan-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
179	Ayub Chaudhary Investment (Pvt.) Limited	Notice of Restriction & Censure	13-Jan-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
180	Habib Metropolitan Financial Services Limited	Censure Letter	10-Jan-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
181	Shajar Capital Pakistan (Private) Limited	Notice of Restriction & Censure	10-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
182	Q. Ain Khanani Securities (Private) Limited	Notice of Restriction & Censure	9-Jan-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
183	Oriental Securities (Pvt.) Limited	Censure Letter	7-Jan-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
184	Surmawala Securities (Private) Limited	Censure Letter	7-Jan-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
185	Baba Equities (Pvt) Ltd.	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
186	KP Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
187	M. F. Stocks (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
188	Xpert Securities Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
189	Beaming Investment & Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
190	Reliance Securities Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
191	RUC Securities Private Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
192	Maha Securities (Pvt.) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
193	F.M. Securities (Pvt.) Ltd.	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
194	CMA Securities (Pvt) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
195	A. S. Securities (Private) Limited	Restricted	1-Jan-20	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
196	Chenab Stock Services (Private) Limited	Terminated	31-Dec-19	Voluntary Termination	15.10.1
197	ASDA Securities (Pvt.) Limited - MF	Removal of Restriction	20-Dec-19	Consequent to removal of restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/209/19 dated December 19, 2019.	15.6.2
198	Abid Ali Habib Securities (Private) Limited	Terminated	11-Dec-19	Voluntary Termination	15.10.1
199	JS Global Capital Limited	Censure Letter	10-Dec-19	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
200	Bhayani Securities (Pvt) Ltd.	Censure Letter	5-Dec-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.5A
201	Akhal Securities (Pvt.) Limited	Censure Letter	5-Dec-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
202	Muhammad Slaim Kasmani Securities (Pvt.) Limited	Censure Letter	5-Dec-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
203	Growth Securities (Pvt.) limited	Censure Letter	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
204	Fawad Yusuf Securities (Pvt.) Limited	Censure Letter	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
205	Value Stock & Commodities (Pvt.) limited	Notice of Restriction & Censure	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
206	Ismail Iqbal Securities (Pvt.) Limited	Censure Letter	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
207	S.D. Mirza Securities (Pvt.) Limited	Censure Letter	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
208	Alfa Adhi Securities (Pvt.) Limited	Censure Letter	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
209	Abbasi Securities (Pvt.) Limited	Censure Letter	5-Dec-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
210	Jamshaid & Hasan Securities (Private) Limited	Terminated	27-Nov-19	Voluntary Termination	15.10.1
211	AL HABIB CAPITAL MARKETS (PRIVATE) LIMITED	Censure Letter	25-Nov-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) & 6.2.2A
212	H.P. Byramji & Co. (Pvt.) Limited	Censure Letter	25-Nov-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
213	High Land Securities (Pvt) Limited	Censure Letter	25-Nov-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
214	Yasir Mahmood Securities (Pvt) Ltd.	Censure Letter	25-Nov-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
215	Techno Fundamental Securities (Private) Limited	Terminated	21-Nov-19	Voluntary Termination	15.10.1
216	Schon Capital Markets Limited	Terminated	18-Nov-19	Voluntary Termination	15.10.1
217	Xpert Securities Limited	Restricted	18-Nov-19	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-1469 dated November 18, 2019 .	15.2.1(a)
218	MSD Capital Equities (Private) Limited	Restricted	18-Nov-19	Consequent to switching off of trading terminals of Participant by PSX vide notice noPSX/N-1480 dated November 18, 2019 .	15.2.1(a)



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
219	Share Centre (Private) Limited	Terminated	7-Nov-19	Voluntary Termination	15.10.1
220	M. Munir M. Ahmed Khanani Securities (Pvt.) Limited	Notice of imposition of Penalty	5-Nov-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.7.3(a)
221	BMA Capital Management Limited	Notice of Restriction & Censure	31-Oct-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 6.7.3
222	Azee Securities (Private) Limited	Suspended	22-Oct-19	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/187/19 dated October 22, 2019.	15.2.1(b)
223	Azee Securities (Private) Limited	Removal of Suspension	22-Oct-19	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/188/19 dated October 22, 2019	15.6.2
224	BankIslami Pakistan Limited	Terminated	16-Oct-19	Voluntary Termination	15.10.1
225	Market 786 (Private) Limited	Notice of Restriction & Censure	14-Oct-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
226	Al-Hoqani Securities & Investment Corporation (Private) Limited	Terminated	10-Oct-19	Voluntary Termination	15.10.1
227	Pervez Ahmed Capital (Pvt.) Limited	Restricted	7-Oct-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1249 dated October 07, 2019 .	15.2.1(a)
228	AAA Securities (Private) Limited	Censure Letter	7-Oct-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
229	Equity Master Securities (Pvt.) Limited	Censure Letter	1-Oct-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
230	Hamza Farhad Securities (Pvt.) Limited	Removal of Restrictions	27-Sep-19	Consequent to restoration of trading terminals of Participant by PSX vide notice no. PSX/N-1201 dated September 27, 2019.	15.6.2
231	South Asian Securities (Private) Limited	Terminated	26-Sep-19	Voluntary Termination	15.10.1
232	Dawood Equities Ltd.	Notice of Restriction & Censure	23-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1 (e)
233	Hamza Farhad Securities (Pvt.) Limited	Restricted	19-Sep-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1162 dated September 19, 2019.	15.2.1(a)
234	ASDA Securities (Pvt.) Limited - MF	Restricted	17-Sep-19	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/127/19 dated September 17, 2019.	15.2.1(a)
235	Progressive Securities (Pvt.) Limited	Censure Letter	17-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
236	Rahat Securities Limited	Censure Letter	17-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
237	Adeel & Nadeem Securities (Pvt.) Limited	Censure Letter	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
238	MND Investment (Pvt.) Limited	Censure Letter	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
239	Insight Securities (Pvt.) Limited	Censure Letter	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
240	Salman Majeed Securities (Private) Limited	Censure Letter	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
241	Dattoo Securities (Pvt.) Ltd.	Notice of Restriction & Censure	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 8.2.1(e), 8.6.1(e), 8.2.2, 8.2.3 and 6.2A.1
242	Gul Dhani Securities (Pvt) Ltd	Censure Letter	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
243	We Financial Services Limited	Removal of Suspension	16-Sep-19	Consequent to lift up the suspension of license of Participant by SECP vide Order dated September 16, 2019 as Securities Broker.	15.6.2
244	Zillion Capital Securities Pvt. Limited - MF	Restricted	16-Sep-19	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/122/19 dated September 13, 2019.	15.2.1(a)
245	Amer Securities (Private) Limited - MF	Restricted	16-Sep-19	Consequent to imposing the restriction by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/123/19 dated September 16, 2019.	15.2.1(a)
246	Baba Equities (Pvt.) Limited	Restricted	16-Sep-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1132 dated September 16, 2019 .	15.2.1(a)
247	We Financial Services Limited	Suspended	6-Sep-19	Consequent to suspension of the license of Participant by SECP vide order dated September 06, 2019 as Securities Broker.	15.2.1(b)
248	Msmaniar Financial (Pvt.) Limited	Censure Letter	5-Sep-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 and 6.2.5A
249	FDM Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
250	Summit Capital (Pvt.) Limited	Notice of Restriction & Censure	5-Sep-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
251	Tariq Sayeed Securities (Pvt) Limited	Terminated	4-Sep-19	Voluntary Termination	15.10.1
252	Ashfaq Ashraf Securities (Private) Limited	Terminated	2-Sep-19	Voluntary Termination	15.10.1
253	Nayyar Sheikh Securities (Pvt.) Limited	Terminated	30-Aug-19	Voluntary Termination	15.10.1
254	Haji Abdul Sattar Securities (Pvt.) Limited	Terminated	30-Aug-19	Voluntary Termination	15.10.1
255	M H Securities (Private) Limited	Terminated	27-Aug-19	Voluntary Termination	15.10.1
256	R.F.J. Equity (Private) Limited	Terminated	21-Aug-19	Voluntary Termination	15.10.1



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
257	Zahid Latif Khan Securities (Pvt.) Limited	Censure Letter	8-Aug-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
258	Memon Securities (Pvt.) Limited	Censure Letter	8-Aug-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
259	Rafi Securities (Pvt.) Ltd	Censure Letter	8-Aug-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
260	Multiline Securities (Pvt) Limited	Censure Letter	31-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
261	Maan Securities (Private) Limited	Censure Letter	26-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
262	Shajarpak Securities (Pvt) Limited	Censure Letter	26-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
263	Nayyar Sheikh Securities (Pvt) Ltd.	Censure Letter	26-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
264	Khawaja Securities (Pvt.) Limited	Censure Letter	25-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
265	IAK Securities (Private) Limited	Removal of Restrictions	18-Jul-19	Consequent to restoration of trading terminals of Participant by PSX, as notified by PSX vide notice no. PSX/N-876 dated July 17, 2019.	15.6.2
266	IAK Securities (Private) Limited	Restricted	16-Jul-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-872 dated July 16, 2019 .	15.2.1(a)
267	Topline Securities Limited	Censure Letter	15-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
268	Aba Ali Habib Securities (Pvt.) Limited	Censure Letter	15-Jul-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 and 6.2.5A
269	Azee Securities (Private) Limited	Removal of Suspension	15-Jul-19	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/104/19 dated July 15, 2019.	15.6.2
270	KP Securities (Private) Limited	Restricted	15-Jul-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-867 dated July 15, 2019.	15.2.1(a)
271	Azee Securities (Private) Limited	Suspended	15-Jul-19	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/103/19 dated July 15, 2019.	15.2.1(b)
272	Alfalsh Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Jul-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
273	Taurus Securities Limited	Notice of Restriction & Censure	9-Jul-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
274	Reliance Securities Limited	Removal of Restrictions	28-Jun-19	Consequent to restoration of trading terminals of Participant by PSX, as notified by PSX vide notice no. PSX/N-803 dated June 28, 2019.	15.6.2
275	Dawood Equities Limited	Suspended	26-Jun-19	Consequent to the suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/92/19 dated June 26, 2019.	15.2.1(b)
276	Dawood Equities Limited	Removal of Suspension	26-Jun-19	Due to removal of suspension of Participant by NCCPL as notified vide notice no. NCCPL/CRO/93/19 dated June 26, 2019.	15.6.2
277	CMA Securities (Pvt.) Limited	Notice in respect of Participant	21-Jun-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
278	Reliance Securities Limited	Restricted	18-Jun-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-745 dated June 18, 2019.	15.2.1(a)
279	Diyanah Islamic Financial Services (Private) Limited	Terminated	11-Jun-19	Voluntary Termination	15.10.1
280	Standard Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	31-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 and 6.2.5A
281	Din Capital Limited	Censure Letter	31-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
282	Azee Securities (Private) Limited	Notice of Restriction & Censure	30-May-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 and 6.2.5A
283	Nini Securities (Pvt.) Limited	Censure Letter	30-May-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.5A
284	R.T. Securities (Pvt.) Limited	Notice of Restriction & Censure	30-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
285	Khadim Ali Shah Bukhari Securities (Pvt.) Limited	Notice of Restriction & Censure	28-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
286	A. H. M. Securities (Pvt.) Limited	Notice of Restriction & Censure	28-May-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
287	Omni Capital Management (Private) Limited	Terminated	23-May-19	Voluntary Termination	15.10.1
288	First Capital Equities Limited	Removal of Restriction	21-May-19	Consequent to restoration of trading terminals of Participant by PSX , as notified by PSX vide notice no. PSX/N-638 dated May 21, 2019.	15.6.2
289	First Capital Equities Limited	Restricted	16-May-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-622 dated May 16, 2019.	15.2.1(a)
290	Azee Securities (Private) Limited	Suspended	14-May-19	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/68/19 dated May 14, 2019.	15.2.1(b)
291	Azee Securities (Private) Limited	Removal of Suspension	14-May-19	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/69/19 dated May 14, 2019.	15.6.2
292	KSR Stock Brokerage (Pvt) Limited	Terminated	13-May-19	Voluntary Termination	15.10.1



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
293	Azee Securities (Private) Limited	Suspended	9-May-19	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/66/19 dated May 09, 2019.	15.2.1(b)
294	Azee Securities (Private) Limited	Removal of Suspension	9-May-19	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/67/19 dated May 09, 2019.	15.6.2
295	Spectrum Securities Limited	Notice of Restriction & Censure	9-May-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
296	Beaming Investment & Securities (Private) Limited	Notice in respect of Participant	7-May-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
297	SAL Securities (Pvt) Limited	Terminated	2-May-19	Voluntary Termination	15.10.1
298	Intermarket Securities Limited	Notice of Restriction & Censure	30-Apr-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
299	Royal Securities (Pvt.) Limited	Censure Letter	29-Apr-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
300	EFG Hermes Pakistan Limited	Notice of Restriction & Censure	29-Apr-19	Non-Compliance of CDC Regulations	6.2.2 & 6.2.2A
301	Cassim Investment (Private) Limited	Terminated	19-Apr-19	Voluntary Termination	15.10.1
302	CMA Securities (Pvt) Limited	Suspended	9-Apr-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
303	Beaming Investment & Securities (Private) Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
304	First Fidelity Leasing Modaraba	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
305	Millennium Securities & Investments (Private) Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
306	Diyanah Islamic Financial Services (Private) Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
307	SMAC Investments (Private) Ltd.	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of restrictions.	15.3.7
308	First Pakistan Securities Limited	Suspended	26-Mar-19	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business day of restrictions.	15.3.7
309	Multiline Securities (Pvt.) Limited	Censure Letter	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
310	Seven Star Securities (Pvt.) Limited	Censure Letter	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
311	Vector Securities (Pvt.) Limited	Censure Letter	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
312	Muhammad Ashfaq Hussain Securities (Pvt.) Limited	Notice of Restriction & Censure	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
313	Prime Securities (Pvt.) Limited	Censure Letter	22-Mar-19	Non-Compliance of CDC Regulations	6.2A.1, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
314	Saao Capital (Pvt.) Limited	Censure Letter	22-Mar-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
315	IAK Securities (Private) Limited	Removal of Restrictions	22-Mar-19	Consequent to restoration of trading terminals of Participant by PSX with effect from Monday, March 25, 2019, as notified by PSX vide notice no. PSX/N-337 dated March 22, 2019.	15.6.2
316	Pine Securities (Private) Limited	Terminated	22-Mar-19	Voluntary Termination	15.10.1
317	RUC Securities (Pvt) Limited	Restricted	18-Mar-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-293 dated March 15, 2019.	15.2.1(a)
318	IAK Securities (Private) Limited	Restricted	18-Mar-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-293 dated March 15, 2019.	15.2.1(a)
319	M.F Stocks (Pvt) Limited	Restricted	18-Mar-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-293 dated March 15, 2019.	15.2.1(a)
320	Best Securities Pvt Ltd	Censure Letter	28-Feb-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, and 6.2.2A
321	Reliance Securities Limited	Censure Letter	28-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
322	Khanani Securities (Pvt.) Limited	Censure Letter	27-Feb-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
323	N.U.A Securities (Pvt.) Limited	Censure Letter	27-Feb-19	Non-Compliance of CDC Regulations	6.2.2A & 6.2.3
324	Fikree'S (Pvt.) Limited	Censure Letter	27-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
325	Insight Securities (Pvt.) Limited	Censure Letter	27-Feb-19	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 and 6.2.5A
326	Maha Securities (Pvt.) Limited	Notice in respect of Participant	22-Feb-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
327	Maha Securities (Pvt.) Limited	Notice in respect of Participant	22-Feb-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
328	AMCAP Securities (Private) Limited - Lsi	Notice of Restriction & Censure	22-Feb-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)



Disciplinary Register - Participants

Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
329	Habib Metropolitan Financial Services Limited	Notice of Restriction & Censure	22-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 8.2.1(e)
330	AMCAP Securities (Private) Limited	Suspended	22-Feb-19	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/31/19 dated February 21, 2019.	15.2.1(b)
331	Maha Securities (Pvt.) Limited	Notice in respect of Participant	22-Feb-19	Participant has complied with the Regulation 6.8.2 CDC Regulations.	15.6.2
332	Invest Capital Markets Limited	Terminated	21-Feb-19	Consequent to the forfeiture of TRE Certificate of the Participant by PSX vide notice no. PSX/N-207 dated February 21, 2019.	15.3.7
333	128 Securities (Private) Limited	Removal of Restriction for opening of New Sub-Accounts	18-Feb-19	Consequent to removal of restriction for the opening of new clients' accounts by the PSX as notified by PSX vide notice no. PSX/N-194 dated February 18, 2019.	15.6.2
334	South Asian Securities (Private) Limited	Restricted	18-Feb-19	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-193 dated February 18, 2019.	15.2.1(a)
335	F.M. Securities (Pvt.) Ltd. - LSI	Notice of Restriction & Censure	15-Feb-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
336	Growth Securities (Pvt) Ltd.	Notice of Restriction & Censure	13-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 8.2.1(e)
337	JSK Securities Limited	Censure Letter	13-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 and 6.2.5A
338	Millenium Brokerage (Pvt.) Limited	Censure Letter	13-Feb-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.2A.1
339	Pearl Brokerage (Private) Limited	Terminated	31-Jan-19	Voluntary Termination	15.10.1
340	Dalal Securities (Pvt) Ltd.	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b), 6.2A.1 and 8.2.1 (e)
341	Galaxy Capital Securities (Pvt) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
342	Fairway Securities (Pvt) Limited	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
343	Shajar Capital Pakistan (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
344	Fawad Yusuf Securities (Pvt.) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
345	ASA Stocks (Pvt.) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
346	Foundation Securities (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
347	N.U.A Securities (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 8.2.1 (e)
348	Muhammad Salim Kasmani Securities (Pvt.) Ltd.	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
349	Abbasi & Company (Private) Limited	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
350	HH Misbah Securities (Private) Limited	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
351	ABM Securities (Pvt.) Limited	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
352	Saima Qaiser Securities (Pvt.) Limited	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations	6.2A.1
353	Javed Iqbal Securities (Pvt) Ltd.	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
354	Chenab Stock Services (Pvt) Limited	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
355	Alfa Adhi Securities (Pvt) Ltd.	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
356	128 Securities (Private) Limited	Notice of Restriction & Censure	25-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A, 6.2.6 (b) and 6.2A.1
357	HMC Stocks (Private) Limited	Removal of Restriction	23-Jan-19	Consequent to restoration of trading terminals of Participant by PSX with immediate effect as notified by PSX vide notice no. PSX/N-75 dated January 23, 2019.	15.6.2
358	Arif Habib Limited	Notice of Restriction & Censure	22-Jan-19	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, & 6.2.6(b)
359	K.H.S. Securities (Pvt.) Limited	Removal of Restriction	21-Jan-19	Consequent to restoration of trading terminals of Participant by PSX with immediate effect as notified by PSX vide notice no. PSX/N-64 dated January 21, 2019.	15.6.2
360	Fair Deal Securities (Private) Limited	Terminated	16-Jan-19	Voluntary Termination	15.10.1
361	HMC Stocks (Private) Limited	Restricted	16-Jan-19	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-44 dated January 16, 2019.	15.2.1(a)
362	K.H.S. Securities (Pvt.) Limited	Restricted	16-Jan-19	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-44 dated January 16, 2019.	15.2.1(a)
363	CMA Securities (Pvt.) Limited	Restricted	15-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)
364	KSR Stock Brokerage (Pvt) Ltd.	Removal of Restriction	15-Jan-19	Participant has complied with the Regulation 6.8.2	15.6.2
365	Fair Deal Securities (Pvt) Ltd.	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.2.1(a)



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
366	Beaming Investment & Securities (Private) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
367	Maha Securities (Pvt.) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
368	Invest Capital Markets Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
369	SMAC Investments (Private) Ltd.	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
370	KSR Stock Brokerage (Pvt) Ltd.	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
371	First Pakistan Securities Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
372	Diyanah Islamic Financial Services (Private) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
373	Millennium Securities & Investments (Private) Limited	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
374	First Fidelity Leasing Modaraba	Restricted	1-Jan-19	Failure to submit Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
375	Sigma Leasing Corporation Limited	Suspended	31-Dec-18	Failure to settle the CDC outstanding dues.	-
376	South Asian Securities (Private) Limited	Removal of Suspension	21-Dec-18	Consequent to restoration of the trading terminals by PSX with immediate effect vide notice no. PSX/N-6554 dated December 21, 2018.	15.6.2
377	Iqbal usman kodvavi Securities (Pvt.) Limited	Censure Letter	20-Dec-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
378	RUC Securities (Private) Limited	Removal of Restriction	18-Dec-18	Consequent to restoration of trading terminals of Participant by PSX with immediate effect as notified by PSX vide notice no. PSX/N-6529 dated December 18, 2018	15.6.2
379	GMI Capital Securities (Pvt.) Limited	Censure Letter	14-Dec-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
380	Oriental Securities (Pvt.) Limited	Censure Letter	14-Dec-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
381	Apex Capital Securities (Pvt) Limited	Censure Letter	14-Dec-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
382	Time Securities (Pvt.) Limited	Censure Letter	14-Dec-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
383	JS Bank Limited	Censure Letter	14-Dec-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
384	Gulrez Securities (Private) Limited	Removal of CDC Notice dated December 03, 2018	13-Dec-18	Participant has complied with Regulation 6.8.1 of the CDC Regulations.	6.8.1
385	MRA Securities Limited	Notice of Restriction & Censure	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
386	Creative Capital Securities (Pvt.) Limited	Censure Letter	30-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
387	B & B Securities (Pvt.) Limited	Censure Letter	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
388	Akhai Securities (Pvt.) Limited	Censure Letter	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
389	Surmawala Securities (Pvt.) Limited	Censure Letter	30-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
390	Tariq Sayeed Securities (Private) Limited	Removal of Suspension	29-Nov-18	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/217/18 dated November 28, 2018 and restoration of trading terminals by PSX as notified vide notice no. PSX/N-6419 dated November 16, 2018.	15.6.2
391	K&I Global Capital (Pvt.) Limited	Censure Letter	23-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
392	Jahanzaib Securities (Pvt) Limited	Terminated	23-Nov-18	Voluntary Termination	15.10.1
393	Bhayani Securities (Pvt) Ltd.	Notice of Restriction & Censure	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.2A.1
394	Nael Capital (Pvt) Limited	Notice of Restriction & Censure	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
395	TS Securities (Pvt.) Limited	Notice of imposition of Penalty	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) and 6.2A.1
396	Dawood Equities Limited	Notice of Restriction & Censure	22-Nov-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
397	Khayyam Securities (Private) Limited	Terminated	16-Nov-18	Voluntary Termination	15.10.1
398	AM Chaudhary Securities (Private) Limited	Removal of Suspension	16-Nov-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-6413 dated November 15, 2018.	15.2.1(a)



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
399	RUC Securities (Private) Limited	Restricted	16-Nov-18	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-6418 dated November 16, 2018.	15.2.1(a)
400	Moneyline Securities (Pvt.) Limited	Censure Letter	15-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
401	Gul Dhami Securities (Pvt.) Limited	Censure Letter	15-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6 (b)
402	CMA Securities (Pvt.) Limited	Censure Letter	15-Nov-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
403	Mayari Securities (Private) Limited	Censure Letter	12-Nov-18	Non-Compliance of CDC Regulations	6.2.3
404	Q. Ain Khanani Securities (Private) Limited	Censure Letter	12-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
405	Friendly Securities (Pvt) Ltd.	Censure Letter	9-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6(b)
406	Shaffi Securities (Private) Limited	Censure Letter	9-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b) and 6.2.5A
407	CASSim Investments (Pvt.) Limited	Censure Letter	9-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
408	Khawaja Securities (Pvt.) limited	Censure Letter	9-Nov-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b) and 6.2.5A
409	B & B Securities (Private) Limited	Censure Letter	7-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b), 6.2A.1 and 8.2.1(e)
410	Baba Equities (Pvt.) Limited	Censure Letter	7-Nov-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b), 6.2A.1 and 8.2.1(e)
411	F.M. Securities (Private) Limited	Restricted	26-Oct-18	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-6381 dated October 26, 2018.	15.2.1(a)
412	Xpert Securities Limited	Removal of Restriction	25-Oct-18	Consequent to restoration of trading terminals of Participant by PSX with effect from October 25, 2018 as notified by PSX vide notice no. PSX/N-6281 dated October 24, 2018.	15.6.2
413	IGI Investment Bank Limited	Terminated	22-Oct-18	Voluntary Termination	15.10.1
414	Salim Sozer Securities (Pvt.) Limited	Suspended	17-Oct-18	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/184/18 dated October 17, 2018.	15.2.1(b)
415	Salim Sozer Securities (Pvt.) Limited	Removal of Suspension	17-Oct-18	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/185/18 dated October 17, 2018.	15.6.2
416	A.S. Securities (Pvt.) Limited	Restricted	16-Oct-18	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-6081 dated October 16, 2018.	15.2.1(a)
417	CAMCO (Pvt) Limited	Removal of Restriction	12-Oct-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-6007 dated October 11, 2018.	15.6.2
418	Fairtrade Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
419	Unex Securities (Pvt) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 6.2A.1
420	Optimus Capital Management (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
421	EFG Hermes Pakistan Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 and 6.2.6(b)
422	FDM Capital Securities (Pvt) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.2.1(e)
423	Cassim Investments (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.2.1(e)
424	Market 786 (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6(b) and 8.2.1(e)
425	First Capital Equities Limited	Suspended	9-Oct-18	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/175/18 dated October 09, 2018.	15.2.1(b)
426	First Capital Equities Limited	Removal of Suspension	9-Oct-18	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/176/18 dated October 09, 2018.	15.6.2
427	INA Securities (Pvt) Limited	Removal of Restriction	9-Oct-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-5917 dated October 09, 2018.	15.6.2
428	Summit Bank Limited - Summit Custodial Services	Censure Letter	5-Oct-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2A.1, 6.2.4, 6.2.5 & 6.2.6(b)
429	MGM Securities (Private) Limited	Censure Letter	2-Oct-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) and 6.2A.1
430	Fair Deal Securities (Pvt) Ltd.	Censure Letter	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.6.1 (e)
431	Riaz Ahmed Securities (Pvt) Ltd.	Censure Letter	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
432	Arif Latif Securities (Pvt) Ltd.	Censure Letter	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
433	Trust Securities & Brokerage Limited	Censure Letter	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 6.2A.1
434	ASDA Securities (Pvt.) Ltd.	Notice of Restriction & Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.2.1 (e)
435	Zahid Latif Khan Securities (Pvt.) Limited	Notice of Restriction & Censure	25-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.6(b)
436	CMA Securities (Pvt.) Limited	Restricted	19-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5351 dated September 18, 2018.	15.2.1(a)



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
437	SMAC Investments (Private) Limited	Restricted	19-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5351 dated September 18, 2018.	15.2.1(a)
438	CAMCO (Pvt.) Limited	Restricted	19-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5351 dated September 18, 2018.	15.2.1(a)
439	Apex Capital Securities (Private) Limited	Removal of Restriction	19-Sep-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-5344 dated September 18, 2018.	15.6.2
440	MSD Capital Equities (Pvt.) Limited	Removal of Restriction	19-Sep-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-5344 dated September 18, 2018.	15.6.2
441	Apex Capital Securities (Private) Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)
442	INA Securities (Pvt) Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)
443	MSD Capital Equities (Pvt.) Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)
444	Xpert Securities Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)
445	Progressive Investment Management (Pvt.) Ltd	Removal of Restriction	18-Sep-18	Participant has removed causes of Restrictions	15.6.2
446	Next Capital Limited	Notice of Restriction & Censure	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
447	Horizon Securities Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b), 6.2.2A & 6.7.3
448	WE Financial Services Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, & 6.7.3(a)
449	Elixir Securities Pakistan (Pvt.) Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, & 6.7.3(a)
450	First Capital Equities Limited	Notice of Restriction & Censure	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.6(b)
451	Darson Securities (Pvt.) Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, & 6.7.3(a)
452	Invest Forum (Private) Limited	Terminated	17-Sep-18	Voluntary Termination	15.10.1
453	Progressive Investment Management (Pvt.) Ltd	Restricted	14-Sep-18	Due to contravention of Section 24 of CD Act 1997 read with Regulation 6.7 of the CDC Regulations.	15.2.1(a)
454	AMCAP Securities (Private) Limited	Further revised Restriction	13-Sep-18	Due to the Prohibitory Order by SECP vide Order dated September 13, 2018.	15.2.1(a)
455	First National Equities Limited	Notice of Restriction & Censure	12-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
456	AMCAP Securities (Private) Limited	Revised Notice of Restriction	10-Sep-18	Consequent to suspension of the trading terminals of Participant by PSX vide notice no. PSX/N-5144 dated September 10, 2018.	15.2.1(a)
457	Fairtrade Capital Securities (Private) Limited	Removal of Restriction	31-Aug-18	Consequent to removal of restriction by PSX as notified by PSX vide notice no. PSX/N-4985 dated August 30, 2018 for opening of new clients account.	15.6.2
458	Saima Qaiser Securities (Pvt.) Limited	Removal of Restriction	20-Aug-18	Consequent to restoration of trading terminals by PSX as notified by PSX vide notice no. PSX/N-4832 dated August 20, 2018.	15.6.2
459	Saima Qaiser Securities (Pvt.) Limited	Restricted	17-Aug-18	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-4761 dated August 16, 2018.	15.2.1(a)
460	Venus Securities (Private) Limited	Removal of suspension	15-Aug-18	Consequent to restoration of trading terminals by PSX as notified by PSX vide notice no. PSX/N-4702 dated August 13, 2018 and in view of letter No. 2(33)SE/SMD/18 dated May 16, 2018 of the SECP.	15.6.2
461	Pearl Securities Limited	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
462	Summit Capital (Pvt.) Limited - Lhr	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
463	Topline Securities Limited	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
464	Zafar Securities (Pvt.) Limited	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
465	HMC Stocks (SMC-Pvt.) Limited	Notice of Restriction & Penalty	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5, 6.2.6(b), 6.2A.1 & 6.7.3(a)
466	Javed Zakaria Gulabi Securities (Pvt.) Limited	Terminated	1-Aug-18	Voluntary Termination	15.10.1
467	Value Stock and Commodities (Private) Limited	Removal of Restriction	1-Aug-18	Consequent to removal of restriction by PSX as notified by PSX vide notice no. PSX/N-4532 dated August 01, 2018 for opening of new clients account.	15.6.2



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
468	Omni Capital Management (Private) Limited	Removal of Suspension	26-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4384 dated July 24, 2018	15.6.2
469	Ahsam Securities (Pvt.) Limited	Removal of Suspension	24-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4376 dated July 24, 2018	15.6.2
470	R.F.J. Equity (Private) Limited	Removal of Suspension	24-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4388 dated July 24, 2018	15.6.2
471	HK Securities (Pvt.) Limited	Terminated	20-Jul-18	Voluntary Termination	15.10.1
472	SMAC Investments (Private) Limited	Removal of Suspension	19-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4269 dated July 18, 2018	15.6.2
473	Interactive Securities (Private) Limited	Removal of Suspension	17-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4225 dated July 13, 2018	15.6.2
474	First Dawood Investment Bank Limited	Terminated	13-Jul-18	Voluntary Termination	15.10.1
475	Darson Securities (Private) Limited	Terminated	9-Jul-18	Voluntary Termination	15.10.1
476	Darson Securities (Pvt) Limited - LSI	Censure Letter	6-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6(b)
477	Javed Iqbal Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
478	Fair Edge Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
479	General Invest. & Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
480	Msmaniar Financial (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
481	Safe Securities (Private) Limited	Terminated	4-Jul-18	Voluntary Termination	15.10.1
482	ASA Stocks (Private) Limited	Removal of Restriction	29-Jun-18	Consequent to restoration of trading terminals by PSX as notified vide notice no. PSX/N-3946 dated June 29, 2018.	15.6.2
483	Sakarwala Capital Securities (Pvt) Ltd.	Censure Letter	27-Jun-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
484	High Land Securities (Pvt.) Limited	Censure Letter	27-Jun-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
485	128 Securities (Private) Limited	Censure Letter	27-Jun-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 6.2A.1 & 8.2.1
486	KP Securities (Private) Limited	Removal of Restriction	27-Jun-18	Consequent to restoration of trading terminals by PSX as notified vide notice no. PSX/N-3897 dated June 27, 2018.	15.6.2
487	Fairtrade Capital Securities (Private) Limited	Restriction on opening of New Sub-Accounts	25-Jun-18	Consequent to the restriction on opening of new clients account by PSX vide notice no. PSX/N-3828 dated June 22, 2018.	15.2.1(a)
488	R.T. Securities (Pvt) Limited - LSI	Censure Letter	21-Jun-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
489	Gulrez Securities (Private) Limited	Censure Letter	21-Jun-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
490	Summit Capital (Private) Limited	Censure Letter	21-Jun-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.6.1 (e)
491	KP Securities (Private) Limited	Restricted	20-Jun-18	Consequent to switching-off the trading terminals by PSX as notified vide notice no. PSX/N-3783 dated June 20, 2018.	15.2.1(a)
492	ASA Stocks (Private) Limited	Restricted	20-Jun-18	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-3783 dated June 20, 2018.	15.2.1(a)
493	AMCAP Securities (Private) Limited	Modification in Restriction	19-Jun-18	Consequent to removal of suspension NCCPL as notified vide notice no. NCCPL/CRO/79/18 dated June 19, 2018. However, Restriction in respect of the opening of new Sub-Account not yet removed.	15.6.2
494	AMCAP Securities (Private) Limited	Suspended	19-Jun-18	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/78/18 dated June 19, 2018.	15.2.1(b)
495	Adeel Zafar Securities (Private) Limited	Terminated	1-Jun-18	Voluntary Termination	15.10.1
496	FDM Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	30-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
497	First Zeiva (Private) Limited	Terminated	29-May-18	Voluntary Termination	15.10.1
498	DJM Securities (Private) Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.2.1 (e)
499	Pearl Brokerage Private Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
500	Falki Capital (Private) Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
501	Continental Capital Management (Pvt) Ltd	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
502	Rahat Securities Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
503	Bismillah Securities (Pvt) Ltd.	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
504	Yasir Mahmood Securities (Pvt) Ltd.	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
505	Fair Deal Securities (Private) Limited	Restricted	16-May-18	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-3262 dated May 16, 2018.	15.2.1(a)
506	Standard Capital Securities Pvt Ltd.	Notice of Restriction & Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
507	Patel Securities (Pvt.) Limited	Notice of Restriction & Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
508	Pasha Securities (Pvt.) Limited	Notice of Restriction	7-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
509	Hamza Farhad Securities (Pvt.) Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
510	Spinzer Equities (Pvt.) Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
511	JSK Securities Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
512	Punjab Capital Securities (Pvt.) Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	6.2.2A
513	Progressive Investment Management (Pvt.) Ltd	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
514	Iqbal Usman Kodvavi Securities (Pvt.) Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b) & 8.2.1(e)
515	Dosslanis Securities (Pvt) Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
516	Seven Star Securities (Pvt.) Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6 (b)
517	First National Equities Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
518	Pace Investment & Securities (Private) Limited	Terminated	16-Apr-18	Voluntarily termination	15.10.1
519	Fortune Securities Limited	Notice of Restriction & Censure	13-Apr-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
520	Mannoo Capital (Pvt.) Limited	Censure Letter	13-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
521	Askari Securities Limited	Censure Letter	9-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
522	Abbasi Securities (Pvt.) Limited	Censure Letter	6-Apr-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6 (b)
523	S.D. Mirza Securities (Pvt.) Limited	Notice of Restriction & Censure	30-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
524	Brains Securities (Pvt.) Limited	Censure Letter	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
525	Adeel & Nadeem Securities (Pvt.) Limited	Notice of Restriction & Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
526	Amer Securities (Pvt.) Limited	Notice of Restriction & Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
527	MND Investment (Pvt.) Limited	Notice of Restriction & Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
528	Fair Deal Securities (Pvt.) Limited	Censure Letter	28-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b)
529	KP Securities (Pvt.) Limited	Censure Letter	28-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b)
530	Al-Haq Securities (Pvt.) Limited	Notice of Restriction & Censure	27-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
531	Axis Global Limited	Notice of Restriction & Censure	27-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
532	Ali Husain Rajabali Limited	Terminated	22-Mar-18	Voluntary Termination	15.10.1
533	Adam Securities Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
534	Progressive Securities (Pvt.) Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
535	Rahat Securities Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
536	Equity Master Securities (Pvt.) Limited	Censure Letter	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
537	Jamshaid & Hasan Securities (Pvt.) Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
538	Shaffi Securities (Private) Limited	Restricted	19-Mar-18	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-1786 dated March 16, 2018.	15.2.1(a)
539	Maha Securities (Pvt.) Limited	Restricted	19-Mar-18	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-1787 dated March 16, 2018.	15.2.1(a)
540	Shaffi Securities (Private) Limited	Removal of Restriction	19-Mar-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-1802 dated March 19, 2018.	15.6.2
541	Naveed H. M. Idrees (Private) Limited	Terminated	12-Mar-18	Participant has ceased to be Trading Right Entitlement Certificate holder as communicated by PSX vide notice no. PSX/N-1586 dated March 06, 2018.	15.1.1(a)(i) read with 15.2.1
542	Alfalah Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
543	Saya Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 (b)
544	F.M. Securities (Private) Limited	Restriction on opening of New Sub-Accounts	9-Mar-18	Consequent to the restriction on opening of new clients account by PSX as notified vide notice no. PSX/N-1671 dated March 09, 2018.	15.2.1(a)
545	128 Securities (Private) Limited	Notice of Restriction & Penalty	8-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 (a), 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
546	Dosslani Securities (Pvt.) Ltd	Notice of Restriction & Penalty	8-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 (a), 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
547	Ismail Iqbal Securities (Pvt.) Limited	Notice of Restriction & Censure	2-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
548	Aba Ali Habib Securities (Pvt) Limited	Notice of Restriction & Censure	2-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
549	Summit Capital (Pvt.) Limited	Notice of Restriction & Censure	2-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
550	Aba Ali Habib Securities (Pvt) Limited	Censure Letter	1-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.7.2, 6.2A.1 & 8.2.1(e)
551	128 Securities (Private) Limited	Restriction on opening of New Sub-Accounts	1-Mar-18	Consequent to the restriction on opening of new clients account by PSX as notified vide notice no. PSX/N-1502 dated March 01, 2018.	15.2.1(a)
552	Royal Securities (Pvt) Limited	Censure Letter	26-Feb-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, & 6.2.6(b)
553	Wisdom Securities (Private) Limited	Terminated	22-Feb-18	Voluntary Termination	15.10.1
554	Ali Husain Rajabali Limited	Censure Letter	21-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
555	Ghani Osman Securities (Pvt.) Limited	Notice of Restriction & Censure	21-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
556	HH Misbah Securities (Pvt.) Ltd	Censure Letter	20-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
557	Bawa Securities (Pvt.) Limited	Notice of Restriction & Censure	20-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.7.3
558	F.M. Securities (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2A.1 & 8.2.1
559	ICON Capital Management (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
560	Fortune Securities Limited - LSI	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
561	Alfalsh Securities (Private) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
562	M.M. Securities (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 8.2.1
563	MGM Securities (Pvt.) Limited	Notice of Restriction & Censure	15-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
564	New Peak Securities (Pvt.) Limited	Censure Letter	15-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
565	Infinite Securities Limited	Censure Letter	15-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
566	M.A.N Securities (Pvt.) Limited	Terminated	14-Feb-18	Voluntary Termination	15.10.1
567	High Land Securities (Pvt.) Limited	Notice of Restriction & Censure	8-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
568	K.H.S Securities (Pvt.) Limited	Censure Letter	8-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
569	Zafar Moti Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	8-Feb-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
570	BlackStone Equities (Private) Limited	Terminated	26-Jan-18	Voluntary Termination	15.10.1
571	Alfa Adhi Securities (Pvt.) Limited	Notice of Restriction & Penalty	25-Jan-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.7.3(a)
572	H. P. Byramji & Co. (Pvt.) Limited	Notice of Restriction & Penalty	23-Jan-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, 6.2A.1 & 6.7.3
573	XPERT Securities (Private) Limited	Removal of Restriction	19-Jan-18	Participant has complied with Regulation 6.8.2 of the CDC Regulations.	15.6.2
574	Millennium Securities & Investments (Private) Limited	Restricted	1-Jan-18	Consequent to suspension of the trading terminals by PSX vide notice no. PSX/N-001 dated January 01, 2018.	15.2.1(a)
575	Pearl Brokerage (Private) Limited	Removal of Restriction	1-Jan-18	Consequent to restoration of trading terminals by PSX w.e.f. January 01, 2018, as notified by PSX vide notice no. PSX/N-29 dated January 01, 2018.	15.6.2
576	Bright Investment and Securities (Pvt.) Limited	Terminated	28-Dec-17	Voluntarily termination and surrender of TREC as communicated by PSX vide notice no. PSX/N-7870 dated December 27, 2017.	15.3.7 (a) read with 15.10
577	Pearl Brokerage (Private) Limited	Restricted	26-Dec-17	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-7866 dated December 26, 2017.	15.2.1(a)
578	Asad Mustafa Securities (SMC-Pvt.) Ltd	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
579	Rafi Securities (Pvt.) Ltd	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
580	Fair Edge Securities (Pvt.) Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2A.1 & 8.2.1e
581	First Capital Equities Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
582	A. N. Equities (Pvt.) Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
583	Khawaja Securities (Pvt.) Limited	Notice of Restriction & Censure	22-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5
584	Strongman Securities (Pvt.) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
585	Techno Fundamental Securities (Pvt) Ltd.	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
586	Maan Securities (Private) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
587	Sherman Securities (Private) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
588	Muhammad Amer Riaz Securities (Pvt.) Limited	Notice of Restriction & Penalty	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b), 6.2.2A & 6.2A.1
589	N.U.A Securities (Pvt.) Ltd	Notice of Restriction & Penalty	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, 6.7.3 & 6.7.3(a)
590	Nini Securities (SMC-Pvt.) Ltd	Censure Letter	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
591	Memon Securities (Pvt.) Ltd	Censure Letter	20-Dec-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
592	First Zeiva (Private) Limited	Censure Letter	20-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
593	XPRT Securities (Private) Limited	Restricted	20-Dec-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
594	K.H.S. Securities (Private) Limited	Removal of Restriction	19-Dec-17	Consequent to restoration of trading terminals by PSX w.e.f. December 20, 2017, as notified by PSX vide notice no. PSX/N-7742 dated December 19, 2017.	15.6.2
595	A.H.K.D. Securities (Private) Limited	Suspended	14-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
596	HK Securities (Pvt.) Limited	Suspended	14-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
597	Invest Forum (SMC-Private) Limited	Suspended	14-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
598	Invest Forum (SMC-Private) Limited	Restricted	13-Dec-17	Due to the cancellation of liscence by SECP as a securities broker vide order dated December 13, 2017.	15.2.1(a)
599	HK Securities (Private) Limited	Restricted	13-Dec-17	Due to the cancellation of liscence by SECP as a securities broker vide order dated December 13, 2017.	15.2.1(a)
600	Jahanzaib Securities (Pvt.) Limited	Suspended	12-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
601	Shaukat Shaffi Securities (Private) Limited	Suspended	12-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
602	AM Chaudhry Securities (Private) Limited	Suspended	12-Dec-17	Due to SECP directive the CDC to suspend the Participant vide order dated December 11, 2017.	15.2.1(b)
603	First Pakistan Securities Limited	Restricted	4-Dec-17	Due to refusal of the application for grant of license as securities broker by SECP vide order dated November 29, 2017.	15.2.1(a)
604	AM Chaudhry Securities (Private) Limited	Removal of Restriction	30-Nov-17	Consequent to the restoration of trading terminals by PSX vide notice dated PSX/N-7471 dated November 30, 2017.	15.6.2
605	Topline Securities Limited	Censure Letter	29-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.7.1
606	A.S. Securities (Pvt.) Limited	Censure Letter	28-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b), 6.2.2A & 6.2A.1
607	AM. Chaudhary Securities	Notice of Restriction & Censure	28-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
608	Din Capital Limited	Revised Notice of Restriction	23-Nov-17	Consequent to the restoration of trading terminals by PSX vide notice dated PSX/N-7369 dated November 23, 2017 however opening of new sub-Account is restricted.	15.6.2
609	Tumbi Securities (Private) Limited	Terminated	22-Nov-17	Participant has ceased to be Trading Right Entitlement Certificate holder as communicated by the Pakistan Stock Exchange Limited vide notice no. PSX/N-7317 dated November 21, 2017	15.1.1(a)(i) read with 15.3.7
610	My Securities (Private) Limited	Terminated	22-Nov-17	Participant has ceased to be Trading Right Entitlement Certificate holder as communicated by the Pakistan Stock Exchange Limited vide notice no. PSX/N-7203 dated November 13, 2017	15.1.1(a)(i) read with 15.3.7
611	Ayub Chaudhary Investments (Pvt.) Limited	Notice of Restriction & Censure	21-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
612	Darson Securities (Private) Limited	Notice of imposition of Penalty	17-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6, 6.2A.1, 8.2.1e & 8.6.1e
613	Din Capital Limited	Restricted	17-Nov-17	Consequent to the suspension of liscence by SECP as a securities broker vide order dated November 08, 2017	15.2.1(a)
614	Elixir Securities Pakistan (Pvt.) Limited	Censure Letter	14-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.2.1e
615	Reliance Securities Limited	Censure Letter	14-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6, 6.2A.1 & 8.2.1e
616	Gazipura Securities & Services (Pvt.) Limited	Censure Letter	11-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
617	Concordia Securities (Pvt.) Limited	Censure Letter	11-Nov-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
618	R.T Securities (Pvt.) Limited	Censure Letter	11-Nov-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.6(b) & 6.2.2A
619	Fikree (SMC-Pvt.) Limited	Censure Letter	8-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6, 6.2.3 & 6.2.2A
620	Millennium Securities & Investments (Private) Limited	Notice of Restriction & Censure	8-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
621	MSD Capital Equities (Pvt.) Limited	Notice of Restriction & Censure	8-Nov-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
622	First Equity Modaraba	Censure Letter	8-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.2.1e
623	Din Capital Limited	Revised Notice of Restriction	8-Nov-17	Due to advise of PSX vide email dated November 07, 2017	15.6.2
624	Millennium Securities & Investments (Private) Limited	Restricted	6-Nov-17	Consequent FS as of June 30, 2017 submitted by Participant under Regulation 6.8.2 of the CDC Regulations discloses negative Capital Adequacy Level	15.3.1(a)
625	Din Capital Limited	Restricted	6-Nov-17	Consequent to imposition of restriction by PSX as notified vide notice no. PSX/N-7045 dated November 03, 2017	15.2.1(a)
626	Shaukat Shaffi Securities (Private) Limited	Restricted	1-Nov-17	Consequent to the suspension of the trading terminals by PSX as notified vide notice no. PSX/N-6951 dated November 01, 2017	15.2.1(a)
627	Safe Securities (Private) Limited	Restricted	31-Oct-17	Consequent to suspension of the trading terminals by PSX vide notice no. PSX/N-6903 dated October 31, 2017	15.2.1(a)
628	K.H.S. Securities (Private) Limited	Restricted	30-Oct-17	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-6826 dated October 30, 2017	15.2.1(a)
629	Sakarwala Capital Securities (Pvt.) Limited	Notice of Restriction & Penalty	26-Oct-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
630	Sunrise Capital (Private) Limited	Further Suspended	20-Oct-17	Due to cancellation of liscence by Securities and Exchange Commission of Pakistan vide order dated September 14, 2017	15.2.1(b)
631	Pak Meezan Securities (Private) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017	15.1.1(b)
632	Kayzone Capital Markets (SMC-Private) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017	15.1.1(b)
633	Faith Securities (Private) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017	15.1.1(b)
634	Stock Vision(Pvt.) Limited	Terminated	19-Oct-17	Due to SECP directive the CDC to terminate the Participant vide order dated October 13, 2017	15.1.1(b)
635	Value Stock and Commodities (Private) Limited	Notice of Restriction & Penalty	16-Oct-17	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.4, 8.2.1e, 8.6.1e & 6.2A.1
636	Earth Securities (Private) Limited	Terminated	16-Oct-17	Voluntary Termintaion	15.10.1
637	F.M. Securities (Pvt.) Limited	Notice of Imposition of Penalty	16-Oct-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
638	Value Stock and Commodities (Private) Limited	Notice of Restriction & Penalty	16-Oct-17	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.4, 8.2.1e, 8.6.1e & 6.2A.1
639	Switch Securities (Private) Limited	Suspended	13-Oct-17	Consequent to the suspension of liscence by Securities and Exchange Commision of Pakistan vide order dated October 11, 2017	15.2.1(b)
640	Shaffi Securities (Private) Limited	Censure Letter	4-Oct-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.2.1e, 6.2A.1
641	Security Investment Bank Limited	Terminated	29-Sep-17	Voluntary Termintaion	15.10.1
642	Kausar Securities (Private) Limited	Terminated	27-Sep-17	Voluntary Termintaion	15.10.1
643	Abbasi Securities (Pvt.) Limited	Censure & Restriction Letter	27-Sep-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
644	Askari Securities Limited	Censure & Restriction Letter	25-Sep-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.7.3
645	First Zeiva (Private) Limited	Removal of Restriction	22-Sep-17	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-5512 dated September 22, 2017	15.6.2
646	First Zeiva (Private) Limited	Restricted	21-Sep-17	Consequent to switching-off of trading terminal of Participant by PSX vide notice no. PSX/N-5462 dated September 20, 2017	15.2.1(a)
647	AM Chaudhry Securities (Private) Limited	Restricted	21-Sep-17	Consequent to switching-off of trading terminal of Participant by PSX vide notice no. PSX/N-5462 dated September 20, 2017	15.2.1(a)
648	Global Securities Pakistan Limited	Terminated	21-Sep-17	Voluntary Termintaion	15.10.1
649	Progressive Investment Management (Pvt.) Ltd	Notice of imposition of Penalty	21-Sep-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.2.1e & 6.2A.1
650	Invest Capital Markets Limited	Restricted	18-Sep-17	Consequent to imposing the restriction by NCCPL vide notice no. NCCPL/CRO/237/17 dated September 15, 2017	15.2.1(a)
651	PACE Investment & Securities (Private) Limited	Restricted	7-Sep-17	Consequent to suspension of the trading terminals by PSX vide notice no. PSX/N-5248 dated September 07, 2017	15.2.1(a)
652	Live Securities Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
653	Qasim Mahmood Securities (SMC-Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
654	SMB Securities (Private) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
655	AKD Analytics (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
656	Stable Securities (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
657	Quality Islamic Investments & Securities (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
658	Mian Pervaz Aslam Securities (Pvt) Limited	Terminated	24-Aug-17	Due to SECP directive the CDC to suspend / terminate the Participant vide order dated August 21, 2017.	15.3.7
659	Riaz Ahmed Securities (Pvt) Ltd.	Censure Letter	21-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
660	Safe Securities (Private) Limited	Restriction Letter	21-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
661	Adeel Zafar Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6.
662	IAK Securities (Private) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
663	Shajarpak Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
664	AAA Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
665	K & I Global Capital (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
666	Mannoo Capital (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A.1
667	Haji Abdul Sattar Securities (Pvt.) Limited	Restriction Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.7.3
668	Bridge Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
669	Amanah Investments Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6.
670	Habib Ullah Sheikh (Pvt.) Limited	Restriction Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
671	Intermarket Securities Limited	Notice of Restriction & Penalty	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
672	Gul Dhami Securities (Pvt.) Limited	Restriction Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
673	Time Securities (Pvt.) Limited	Notice of Restriction & Penalty	11-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
674	128 Securities (Private) Limited	Removal of Restriction	8-Aug-17	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-4699 dated August 08, 2017	15.6.2
675	Moneyline Securities (Pvt.) Limited	Restriction Letter	8-Aug-17	Non-Compliance of CDC Regulations	6.2.2,6.2.3, 6.2.4, 6.2.5 & 6.2.6
676	Baba Equities (Pvt.) Limited	Restriction Letter	8-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.7.3
677	UNEX Securities (Pvt) Limited	Censure Letter	4-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
678	Strongman Securities (Pvt.) Limited	Censure Letter	4-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
679	128 Securities (Private) Limited	Restricted	3-Aug-17	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-4631 dated August 03, 2017	15.2.1(a)
680	NIB Bank Limited	Terminated	1-Aug-17	Voluntary Termination	15.10.1
681	AMCAP Securities (Private) Limited	Modification in Restriction	24-Jul-17	consequent to restoration of trading terminals by PSX with effect from July 24, 2017 as notified by notice no. PSX/N-4413 dated July 21, 2017 However, PSX has not lifted restriction on opening of new Client Accounts.	15.6.2
682	S. Z. Securities (Pvt.) Limited	Terminated	18-Jul-17	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-4346 dated July 18, 2017	15.3.7
683	Jamshaid & Hasan Securities (Pvt) Ltd	Notice of imposition of Penalty	22-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
684	Zafar Securities (Private) Limited	Notice of imposition of Penalty	22-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
685	Azee Securities (Private) Limited	Suspended	22-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/199/17 dated June 22, 2017	15.2.1(b)
686	Azee Securities (Private) Limited	Removal of Suspension	22-Jun-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/200/17 dated June 22, 2017	15.6.2
687	Aziz Dawood Securities (Private) Limited	Suspended	16-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/197/17 dated June 16, 2017	15.3.7(b)



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
688	Tariq Sayeed Securities (Private) Limited	Suspended	16-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/195/17 dated June 16, 2017	15.3.7(b)
689	AB Equities (Private) Limited	Suspended	16-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/196/17 dated June 16, 2017	15.3.7(b)
690	Reliance Securities Limited	Censure Letter	13-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
691	Habib Metropolitan Financial Services Limited	Censure Letter	13-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
692	Invest and Finance Securities Limited	Notice of Restriction & Penalty	13-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
693	Dawood Equities Limited	Suspended	5-Jun-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/187/17 dated June 05, 2017	15.2.1(b)
694	Dawood Equities Limited	Removal of Suspension	5-Jun-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/188/17 dated June 05, 2017	15.6.2
695	Oriental Securities (Pvt.) Limited	Censure Letter	5-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
696	Value Stock and Commodities (Private) Limited	Restriction on opening of New Sub-Accounts	1-Jun-17	Consequent to imposing restriction on Participant by PSX vide notice no. notice no. PSX/N-3566 dated May 31, 2017 for opening of new sub-accounts	15.2.1(a)
697	Escorts Capital Limited	Suspended	31-May-17	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business Days of Restrictions.	15.3.7(b)
698	Allied Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
699	S. A Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
700	Interactive Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
701	Chippa Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
702	JCR Capital Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
703	Luxor Securities (SMC-Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
704	MAN Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
705	Omni Capital Management (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
706	Jawed Zakaria Gulabi Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
707	MAC Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
708	Muhammad Anaf Kapadia Securities (SMC-Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
709	Motiwala Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
710	MY Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
711	AAU Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
712	Abid Ali Habib Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
713	Ahsam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
714	Ashfaq Ashraf Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
715	BMS Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
716	Bright Investment & Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
717	Fine Securities (SMC-Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
718	Fort Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
719	Fortress Financial Services (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
720	H.H.K. Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
721	Khayyam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
722	Prime Capital Management (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
723	R.F.J. Equity (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
724	S. M. Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
725	Schon Capital Markets Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
726	Sher Capital Equities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
727	SMAC Investments (SMC-Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
728	South Asian Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
729	Union Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
730	Venus Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
731	ZM Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
732	MAS Capital Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
733	R. A. Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
734	Fine Securities (SMC-Private) Limited	Restricted	26-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. notice no. PSX/N-3463 dated May 25, 2017	15.2.1(a)
735	Luxor Securities (SMC-Pvt.) Limited	Restricted	26-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. notice no. PSX/N-3463 dated May 25, 2017	15.2.1(a)
736	Mian Pervez Aslam Securities (Private) Limited	Restricted	23-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-3401 dated May 23, 2017	15.2.1(a)
737	Trust Securities & Brokerage Limited	Restriction Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
738	Switch Securities (Private) Limited	Restriction Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
739	SETHI SECURITIES (SMC-PVT) LTD	Restriction Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
740	ASA STOCKS (PVT.) LIMITED	Censure Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
741	M. M. SECURITIES (PVT.) LIMITED	Censure Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6
742	Live Securities Limited	Restricted	12-May-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-3196 dated May 12, 2017	15.2.1(a)
743	MSD Capital Equities (Private) Limited	Removal of Restriction	10-May-17	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-3075 dated May 10, 2017	15.6.2
744	MAM Securities (Private) Limited	Terminated	10-May-17	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-3074 dated May 10, 2017	15.3.7
745	Tariq Sayeed Securities (Private) Limited	Removal of Restriction	8-May-17	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-2987 dated May 08, 2017	15.6.2
746	Shaffi Securities (Private) Limited	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
747	Techno Fundamental Securities (Pvt.) Limited	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
748	NAYYAR SHEIKH SECURITIES (PVT) LTD.	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
749	MAAN SECURITIES (PRIVATE) LIMITED	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
750	Pearl Brokerage (Pvt.) Limited	Restriction Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
751	INTEGRATED EQUITIES (PRIVATE) LIMITED	Censure Letter	5-May-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
752	Gulrez Securities (Pvt.) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
753	Fairway Securities (Pvt.) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
754	Networth Securities Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
755	Khawaja Securities (Pvt.) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
756	ABM Securities (Pvt.) Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
757	MSD Capital Equities (Private) Limited	Restricted	27-Apr-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-2636 dated April 26, 2017	15.2.1(a)
758	AMCAP Securities (Private) Limited	Modification in Restriction	25-Apr-17	Consequent to restoration of sale side transactions for only Sub-Accounts of the Participant by PSX vide notice no. PSX/N-2499 dated April 24, 2017	-
759	AMCAP Securities (Private) Limited	Restricted	5-Apr-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-2131 dated April 05, 2017	15.2.1(a)
760	CREATIVE CAPITAL SECURITIES (PVT) LTD.	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
761	SAZ CAPITAL SECURITIES (PVT) LTD.	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
762	M. J. Memon Securities (Pvt.) Limited	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
763	SPECTRUM SECURITIES (PVT.) LIMITED	Censure Notice	30-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 3.7
764	TARIQ VOHRA SECURITIES (PVT) LIMITED	Censure Notice	30-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
765	GLOBAL SECURITIES PAKISTAN LIMITED	Notice of Restriction	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
766	H.M. IDREES H. ADAM (SMC-PVT.) LIMITED	Censure Notice	30-Mar-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6 & 3.7
767	Motiwala Securities (Private) Limited	Notice of Restriction & Penalty	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
768	H.H.K. Securities (Pvt.) Limited	Notice of Restriction & Penalty	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
769	MUHAMMAD HUSSAIN ISMAIL SECURITIES (PVT) LTD.	Censure Notice	30-Mar-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
770	ACM GLOBAL (PVT.) LIMITED	Censure Notice	30-Mar-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6
771	JCR Capital Securities (Private) Limited	Notice in respect of Participant	29-Mar-17	Participant has complied with the Regulation 6.8.2	15.6.2
772	Invest Forum (SMC-Private) Limited	Restricted	17-Mar-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-1742 dated March 16, 2017	15.2.1(a)
773	HK Securities (Private) Limited	Restricted	17-Mar-17	Consequent to suspension of all trading terminal of Participant by PSX vide notice no. PSX/N-1743 dated March 16, 2017	15.2.1(a)
774	Bhayani Securities (Pvt) Ltd.	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
775	First Equity Modaraba	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
776	MUHAMMAD ASHFAQ HUSSAIN SECURITIES (PVT) LTD	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
777	Surmawala Securities (Private) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
778	SEVEN STAR SECURITIES (PVT.) LTD.	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4 & 6.2.6
779	IQBAL USMAN KODVAI SECURITIES (PVT) LTD	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4 & 6.2.6
780	MULTILINE SECURITIES (PVT.) LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
781	Dattoo Securities (Pvt.) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
782	SECURITY INVESTMENT BANK LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.6 & 6.2.6
783	S. Z. Securities (Pvt.) Limited	suspended	14-Mar-17	Due to violation of Section 24 of the Central Depositories Act, 1997	15.2.1(b)
784	KSR Stock Brokerage (Pvt.) Ltd	Notice of Imposition of Penalty	13-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.3A.1 & 6.2A.1
785	Progressive Securities (Private) Limited	Notice of Imposition of Penalty	13-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 6.7.4 & 6.2A.1
786	MAM Securities (Private) Limited	Further Suspended	13-Mar-17	Consequent to suspension of TRE Certificate of Participant by PSX vide notice no. PSX/N-1637 dated March 10, 2017.	15.2.1(b)
787	Tariq Sayeed Securities (Private) Limited	Restricted	7-Mar-17	Consequent to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-1531 dated March 06, 2017 on the Participant request.	15.2.1(a)
788	ESCORTS CAPITAL LIMITED	Restricted	6-Mar-17	Participant has not complied with Regulation 6.8.1 of the CDC Regulations,	15.2.1(a)
789	Faith Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 68.2. of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
790	Stock Vision(Pvt.) Limited	suspended	6-Mar-17	Due to non-compliances of 68.2. of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
791	Kayzone Capital Markets (SMC-Private) Limited	suspended	6-Mar-17	Due to non-compliances of 68.2. of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
792	A.H.K.D. Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 68.2. of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
793	Akd Analytics (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 68.2. of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
794	SNM Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 68.2. of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
795	SMB Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 68.2. of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
796	Stable Securities (Pvt) Limited	suspended	6-Mar-17	Due to non-compliances of 68.2. of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
797	Qasim Mahmood Securities (Smc-Pvt) Limited	suspended	6-Mar-17	Due to non-compliances of 68.2. of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
798	JCR Capital Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 68.2. of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
799	Reliance Capital (Pvt) Limited	suspended	6-Mar-17	Due to non-compliances of 68.2. of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
800	Fincap Investments (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 68.2. of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)



Disciplinary Register - Participants

Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
801	Allied Securities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 Business day of restrictions.	15.3.7(b)
802	Ab Equities (Private) Limited	suspended	6-Mar-17	Due to non-compliances of 6.8.2. of CDC Regulations after completing 60 day of restrictions.	15.3.7(b)
803	Universal Equities (Private) Limited	Terminated	2-Mar-17	Voluntary Termination	15.10.1
804	M. R. Securities (SMC-Private) Limited	Terminated	2-Mar-17	Consequent to the forfeiture of TRE Certificate of the Participant by PSX vide notice no. PSX/N-1460 dated March 01, 2017	15.3.7
805	AWJ Securities (Private) Limited	Terminated	28-Feb-17	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-1334 dated February 27, 2017	15.3.7
806	MAM Securities (Private) Limited	Suspended	20-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
807	Sunrise Capital (Private) Limited	Suspended	17-Feb-17	Due to non-compliances of regulatory provisions	15.2.1(b)
808	M. R. Securities (SMC-PVT.) Limited	Further Suspended	10-Feb-17	Due to non-compliances of regulatory provisions	15.2.1(b) & 50(2) of the Sec. Act.
809	MAM Securities (Private) Limited	Notice of Imposition of Penalty	8-Feb-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2A.1 & 8.2.1e
810	M. R. Securities (SMC-PVT.) Limited	Intention of further Suspension	6-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
811	M. R. Securities (SMC-PVT.) Limited	Suspended	1-Feb-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CRO/20/17 dated February 01, 2017	15.2.1(b)
812	AWJ Securities (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1(b)
813	Sunrise Capital (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1(b)
814	Zafar Securities (Private) Limited	Restricted	30-Jan-17	Participant has not complied with Regulation 6.8.1 of the CDC Regulations,	15.2.1(a)
815	Zafar Securities (Private) Limited	Removal of Restriction	30-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
816	Sonia Shahzad Securities (Private) Limited	Terminated	24-Jan-17	Voluntary Termination	15.10.1
817	Pak Meezan Securities (Private) Limited	Notice in respect of Participant	18-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
818	Zafar Moti Capital Securities (Private) Limited	Removal of Suspension	18-Jan-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/36/17 dated January 17, 2017.	15.6.2
819	Zafar Moti Capital Securities (Private) Limited	Suspended	17-Jan-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/36/17 dated January 17, 2017	15.2.1(b)
820	AM Chaudhry Securities (Private) Limited	Removal of Restriction	13-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
821	AWJ Securities (Private) Limited	Removal of Suspension	13-Jan-17	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/31/17 dated January 13, 2017.	15.6.2
822	Mashhadi Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
823	SIS Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
824	AWJ Securities (Private) Limited	Suspended	12-Jan-17	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/26/17 dated January 11, 2017	15.2.1(b)
825	Allied Bank Limited - LSE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
826	Allied Bank Limited- ISE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
827	Allied Bank Limited- ISE Branch	Extension of intention of Regulatory Action	9-Jan-17	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
828	Allied Bank Limited- KSE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
829	Allied Bank Limited- KSE Branch	Extension of intention of Regulatory Action	9-Jan-17	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
830	Allied Bank Limited - LSE Branch	Extension of intention of Regulatory Action	9-Jan-17	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
831	Sherman Securities (Pvt.) Limited	Notice of Restriction	6-Jan-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, & 6.2.6
832	Diyanah Islamic Financial Services (Private) Limited	Notice in respect of Participant	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
833	Malik Securities (Private) Limited	Terminated	6-Jan-17	Voluntary Termination	15.10.1
834	S A Securities (Pvt) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
835	SIS Securities (Private) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
836	A.H.K.D. Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)



Disciplinary Register - Participants

Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
837	Ab Equities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
838	AKD Analytics (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
839	Allied Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
840	AM Chaudhry Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
841	Diyanah Islamic Financial Services (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
842	Escorts Capital Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
843	Faith Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
844	Fincap Investments (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
845	JCR Capital Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
846	Kayzone Capital Markets (SMC-Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
847	Malik Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
848	Mashhadi Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
849	Pak Meezan Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
850	Qasim Mahmood Securities (Smc-Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
851	Reliance Capital (Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
852	S A Securities (Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
853	SIS Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
854	SMB Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
855	SNM Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
856	Stable Securities (Pvt) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
857	Stock Vision(Pvt.) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
858	Allied Bank Limited- KSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
859	Allied Bank Limited - LSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
860	Allied Bank Limited- ISE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
861	Allied Bank Limited- KSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
862	Allied Bank Limited - LSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
863	Allied Bank Limited- ISE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
864	Sunrise Capital (Private) Limited	Restricted	21-Dec-16	Due to contravention of provisions of the CDC Regulations	15.2.1(a)
865	Apex Capital Securities (Private) Limited	Notice of Restriction	20-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.25, 6.2.6



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
866	Apex Capital Securities (Private) Limited	Notice of Restriction	20-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4 & 6.2.6
867	A.I Securities (Pvt.) Ltd	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6
868	B & B Securities (Private) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6
869	Continental Capital Management (Pvt) Ltd	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6
870	Fawad Yusuf Securities (Pvt.) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6
871	Irfan Mazhar Securities (Pvt.) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6
872	Khanani Securities (Pvt.) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6
873	M H Securities (Pvt.) Limited	Censure Notice	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6
874	Muhammad Tariq Moti Securities (Pvt) Ltd.	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6
875	Vector Securities (Pvt.) Ltd.	Censure Notice	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6, 3.7
876	Z.A. Ghaffar Securities (Private) Ltd.	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6
877	Ghory's Securities (Pvt.) Limited	Terminated	9-Dec-16	Voluntary Termination	15.10.1
878	Paramount Securities (SMC-Private) Limited	Terminated	8-Dec-16	Voluntary Termination	15.10.1
879	AM Chaudhry Securities (Private) Limited	Removal of Restriction	7-Dec-16	Consequent to restoration trading terminals of Participant by PSX vide notice no. PSX/N-6981 dated December 07, 2016.	15.6.2
880	Y.S. Stocks (Private) Limited	Terminated	2-Dec-16	Voluntary Termination	15.10.1
881	AM Chaudhry Securities (Private) Limited	Restricted	30-Nov-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-6865 dated November 30, 2016.	15.2.1(a)
882	A.H.M Securities (Pvt.) Limited	Notice of Restriction	22-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 3.7
883	Moonaco Securities (Pvt.) Ltd	Notice of Restriction	22-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
884	Invest Forum (SMC-Private) Limited	Removal of Restriction	16-Nov-16	Consequent to restoration of opening of new sub-accounts and trading in the House Account of Participant by PSX vide notice no. PSX/N-6619 dated November 16, 2016.	15.6.2
885	First Punjab Modaraba	Terminated	14-Nov-16	Voluntary Termination	15.10.1
886	MYM Equities (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
887	Fort Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
888	Abid Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
889	Shajar Capital Pakistan (Pvt.) Limited	Notice of Restriction	4-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 3.7
890	Friendly Securities (Pvt.) Limited	Notice of Restriction	4-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 3.7
891	Al Habib Capital Markets (Pvt.) Limited	Notice of Restriction	1-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
892	Icon Capital Management (Private) Limited	Censure Notice	1-Nov-16	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6, 3.7
893	Sunrise Capital (Private) Limited	Censure Notice	1-Nov-16	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6, 3.7
894	JCR Capital Securities (Private) Limited	Restricted	31-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-6216 dated October 31, 2016	15.2.1(a)
895	DJM Securities (Pvt.) Limited	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
896	Muhammad Salim Kasmani Securities	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
897	Prime Securities (Pvt.) Limited	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
898	Q. Ain Khanani Securities (Pvt.) Limited	Notice of Restriction	27-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
899	SAAO Capital (Pvt.) Limited	Notice of Restriction	27-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
900	Akbani Securities (SMC-PVT) Limited	Terminated	25-Oct-16	Voluntary Termination	15.10.1
901	Cassim Investments (Pvt.) Limited	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
902	Ample Securities (Private) Limited	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
903	Gmi Capital Securities (Pvt) Ltd.	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
904	Al-Hoqani Securities & Investment Corporation (Pvt.) Ltd	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
905	Dalal Securities (Pvt.) Limited	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
906	Investment Managers Securities (Pvt.) Ltd	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
907	Zillion Capital Securities (Pvt.) Limited	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
908	H. P. Byramji & Co. (Pvt.) Limited	Removal of Restriction	18-Oct-16	Participant has complied with Regulation 6.8.1 of the CDC Regulations,	6.8.1
909	Prosperity Securities (Private) Limited	Terminated	18-Oct-16	Voluntary Termination	15.10.1



Disciplinary Register - Participants

Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
910	H. P. Byramji & Co. (Pvt.) Limited	Restricted	14-Oct-16	Participant has not complied with Regulation 6.8.1 of the CDC Regulations,	15.6.2
911	Stock Vision Securities (Private) Limited	Restricted	13-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5666 dated October 13, 2016	15.2.1(a)
912	Growth Securities (Pvt) Limited	Notice of Restriction	10-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
913	TS Securities (Pvt.) Limited	Notice of Restriction	10-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
914	Escorts Capital Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016	15.2.1(a)
915	Omni Capital Management (Private) Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016	15.2.1(a)
916	Pak Meezan Securities (Private) Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016	15.2.1(a)
917	Aziz Dawood Securities (Private) Limited	Restricted	10-Oct-16	Due to switching off of trading terminals of Participant by PSX vide notice no. PSX/N-5643 dated October 10, 2016	15.2.1(a)
918	Star Securities (Private) Limited	Terminated	10-Oct-16	Voluntary Termination	15.10.1
919	Beaming Investment and Securities (Private) Limited	Restricted	30-Sep-16	Due to suspension of all trading terminals of Participant by PSX vide notice no. PSX/N-5372 dated September 30, 2016	15.2.1(a)
920	Asian Securities Limited	Notice of Restriction	29-Sep-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
921	Mayari Securities (Private) Limited	Notice of Restriction	29-Sep-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
922	MBJ Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
923	Taha Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
924	Faith Securities (Private) Limited	Restricted	26-Sep-16	Due to suspension of all trading terminals of Participant by PSX vide notice no. PSX/N-5259 dated September 26, 2016	15.2.1(a)
925	Taha Securities (Private) Limited	Restricted	22-Sep-16	Due to suspension of all trading terminals of Participant by PSX vide notice no. PSX/N-5179 dated September 21, 2016	15.2.1(a)
926	Smart Investments Capital Management (Pvt.) Limited	Terminated	8-Sep-16	Voluntary Termination	15.10.1
927	Pace Investment & Securities (Pvt.) Limited	Removal of Suspension	7-Sep-16	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/446/16 dated September 07, 2016	15.6.2
928	Pace Investment & Securities (Pvt.) Limited	Suspended	7-Sep-16	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/445/16 dated September 06, 2016	15.2.1(b)
929	Nizam Securities (Private) Limited	Terminated	1-Sep-16	Voluntary Termination	15.10.1
930	SNM Securities (Private) Limited	Restricted	31-Aug-16	Consequent to switch off of trading terminals of Participant by PSX vide notice no. PSX/N-4841 dated August 31, 2016	15.2.1(a)
931	AB Equities (Private) Limited	Removal of Suspension	26-Aug-16	Participant has complied with the Regulation 6.8.2	15.6.2
932	Quality Islamic Investments & Securities (Pvt) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
933	A.H.K.D. Securities (Private) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
934	Stable Securities (Pvt) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
935	Qasim Mahmood Securities (Smc-Pvt) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
936	Mashhadi Securities (Private) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
937	SMB Securities (Private) Limited	Restricted	26-Aug-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4741 dated August 25, 2016	15.2.1(a)
938	H.M.Y. Securities (Private) Limited	Terminated	19-Aug-16	Voluntary Termination	15.10.1
939	Saima Qaiser Securities (Pvt.) Limited	Suspended	17-Aug-16	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/410/16 dated August 17, 2016	15.2.1(b)



Disciplinary Register - Participants

Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
940	Saima Qaiser Securities (Pvt.) Limited	Removal of Suspension	17-Aug-16	consequent to removal of suspension National Clearing Company of Pakistan vide notice no. NCCPL/CS/411/16 dated August 17, 2016	15.6.2
941	Cassim Investments (Private) Limited	Removal of Restriction	12-Aug-16	Participant has complied with Regulation 6.8.1 of the CDC Regulations,	15.6.2
942	Cassim Investments (Private) Limited	Restricted	11-Aug-16	As the Participant has not complied 6.8.1 of the CDC Regulation	15.3.1(a)
943	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
944	Alpha Beta Capital Markets (Private) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
945	Amin Tai Securities (Private) Limited	Terminated	20-Jul-16	Voluntary Termination	15.10.1
946	Concept Securities (Private) Limited	Terminated	13-Jul-16	Voluntary Termination	15.10.1
947	Malik Securities (Private) Limited	Restricted	11-Jul-16	Consequent to imposing restriction by PSX vide notice no. no. PSX/N-4021 dated July 11, 2016	15.2.1(a)
948	Invest Forum (SMC-Private) Limited	Restricted	29-Jun-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-3911 dated June 29, 2016	15.2.1(a)
949	Platinum Capital Management (Private) Limited	Terminated	24-Jun-16	Voluntary Termination	15.10.1
950	Infinite Securities Limited	Suspended	22-Jun-16	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/308/16 dated June 22, 2016	15.2.1(b)
951	Infinite Securities Limited	Removal of Suspension	22-Jun-16	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/309/16 dated June 22, 2016	15.6.2
952	Stock Street (Private) Limited	Terminated	13-Jun-16	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by PSX/N-3611 dated June 13, 2016	15.3.7
953	Dugan Securities (Private) Limited	Terminated	6-Jun-16	Voluntary Termination	15.10.1
954	Shehzad Chamdia Securities (Pvt.) Limited	Terminated	3-Jun-16	Voluntary Termination	15.10.1
955	Stock Street (Private) Limited	Suspended	2-Jun-16	Consequent to suspension of Participant by PSX vide notice no. PSX/N-3457 dated June 01, 2016	15.3.7
956	Switch Securities (Private) Limited	Restricted	31-May-16	Consequent to imposing restriction by PSX vide letter no. PSX/RAD-0-250 dated May 30, 2016	15.2.1(a)
957	Mikon Securities (Pvt.) Limited	Terminated	27-May-16	Voluntary Termination	15.10.1
958	Sohail Raza Moosani (SMC-Pvt) Limited	Terminated	25-May-16	Voluntary Termination	15.10.1
959	Main Muhammad Akram Securities (Pvt.) Limited	Terminated	18-May-16	Voluntary Termination	15.10.1
960	Muhammad Bashir Kasmani Securities (Pvt.) Limited	Terminated	17-May-16	Voluntary Termination	15.10.1
961	Munaf Sattar Securities (Pvt.) Limited	Terminated	9-May-16	Voluntary Termination	15.10.1
962	Stock Street (Private) Limited	Restricted	2-May-16	Consequent to suspension of trading terminals by PSX vide notice no. PSX/N-2883 dated May 02, 2016	15.2.1(a)
963	Pak Meezan Securities (Private) Limited	Removal of Restriction	28-Apr-16	Consequent certificate of registration as broker is granted by SECP and PSX declared the Participants as active broker vide notice no. PSX/N-2565 dated April 26, 2016	15.6.2
964	Uzma Shabbir Securities (Private) Limited	Terminated	12-Apr-16	Voluntary Termination	15.10.1
965	H.R. Securities & Brokerage (Private) Limited	Terminated	7-Apr-16	Voluntary Termination	15.10.1
966	Al Asar Securities (Private) Limited	Terminated	6-Apr-16	Voluntary Termination	15.10.1
967	Akd Analytics (Private) Limited	Removal of Suspension	5-Apr-16	Participant has complied with the Regulation 6.8.2	15.6.2
968	Samba Bank Limited	Terminated	25-Mar-16	Voluntary Termination	15.10.1
969	Quality Islamic Investments & Securities (Pvt) Limited	Removal of Restriction	25-Mar-16	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-1869 dated March 25, 2016	15.6.2
970	Quality Islamic Investments & Securities (Pvt) Limited	Restricted	16-Mar-16	Consequent to Switching off trading terminals by PSX vide notice no. PSX/N-1701 dated March 16, 2016	15.2.1(a)
971	A.H.K.D. Securities (Private) Limited	Removal of Suspension	4-Mar-16	Participant has complied with the Regulation 6.8.2	15.6.2
972	A.H.K.D. Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
973	Ab Equities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
974	Akd Analytics (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
975	Pak United Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
976	Invisor Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
977	QF Securities (Pvt) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
978	Khoja'S Capital Management (Pvt.) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
979	Al-Mal Securities & Services Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
980	Mohammed Hanif Moosa	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
981	Investec Securities Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
982	Javed Omer Vohra & Company Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
983	Yousuf Ebrahim	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
984	Shahid Hassan Awan	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
985	Mohammad Tanveer Malik	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
986	Islamabad Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
987	Orion Investments (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
988	Tariq Sayeed Securities (Private) Limited	Removal of Restriction	1-Mar-16	Participant has complied with the Regulation 6.8.2	15.6.2
989	Elixir Securities Pakistan (Pvt.) Limited	Restricted	24-Feb-16	As the Participant has not complied 6.8.1 of the CDC Regulation	15.3.1(a)
990	Elixir Securities Pakistan (Pvt.) Limited	Removal of Restriction	24-Feb-16	Participant has complied with the Regulation 6.8.1	15.6.2
991	Fincap Investments (Private) Limited	Notice in respect of Participant	3-Feb-16	Participant has complied with the Regulation 6.8.2	15.6.2
992	Pak Meezan Securities (Private) Limited	Notice in respect of Participant	3-Feb-16	Participant has complied with the Regulation 6.8.2	15.6.2
993	Trust Capital (Private) Limited	Suspended	25-Jan-16	on the completion of 60 days of Restriction.	15.3.7(b)
994	Saima Qaiser Securities (Pvt.) Limited	Removal of Restriction	22-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
995	Safe Securities (Private) Limited	Terminated	18-Jan-16	Voluntary Termination	15.10.1
996	JCR Capital Securities (Private) Limited	Removal of Restriction	13-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
997	Kayzone Capital Markets (SMC-Private) Limited	Notice in respect of Participant	7-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
998	SMB Securities (Private) Limited	Removal of Restriction	30-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
999	Kayzone Capital Markets (SMC-Private) Limited	Restricted	23-Dec-15	Duet to switching off of all trading terminals by the LSE vide notice no.6621 Dated December 22, 2015 received by CDC on December 23, 2015.	15.2.1(a)
1000	Trust Securities & Brokerage Limited	Removal of Restriction	22-Dec-15	Consequent to restoration of all trading terminals by the LSE vide notice no.6620 Dated December 22, 2015	15.6.2
1001	Faith Securities (Private) Limited	Removal of Restriction	18-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1002	Trust Securities & Brokerage Limited	Restricted	14-Dec-15	Due to switching off of all trading terminals by the LSE vide notice no.6245 Dated December 11, 2015 received by CDC on December 14, 2015.	15.2.1(a)
1003	AKD Analytics (Private) Limited	Restricted	14-Dec-15	Due to switching off of all trading terminals by the LSE vide notice no.6248 Dated December 11, 2015 received by CDC on December 14, 2015.	15.2.1(a)
1004	Faith Securities (Private) Limited	Restricted	14-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1005	Aziz Fidahusseain & Company (Pvt.) Limited	Suspended	11-Dec-15	Consequent to suspension of Participant by KSE vide notice no. KSE/N-6454 dated December 10, 2015	15.2.1(b)
1006	Shaukat Shaffi Securities (Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1007	First Fidelity Leasing Modaraba	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1008	Sohail Raza Moosani (Smc-Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1009	JCR Capital Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1010	Saima Qaiser Securities (Pvt.) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1011	SMB Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1012	A.H.K.D. Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1013	AB Equities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1014	Shaukat Shaffi Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1015	AKD Analytics (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1016	H.R. Securities & Brokerage (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1017	Kayzone Capital Markets (SMC-Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1018	Sohail Raza Moosani (SMC-Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1019	Tariq Sayeed Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1020	Pak United Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1021	Aziz Fidhusein & Company (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1022	Pak Meezan Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1023	Invisor Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1024	QF Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1025	First Fidelity Leasing Modaraba	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1026	Khoja's Capital Management (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1027	Al-Mal Securities & Services Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1028	Mohammed Hanif Moosa	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1029	Investec Securities Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1030	Javed Omer Vohra & Company Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1031	Yousuf Ebrahim	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1032	Shahid Hassan Awan	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1033	Mohammad Tanveer Malik	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1034	Islamabad Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1035	Fincap Investments (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)
1036	Orion Investments (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1037	Trust Capital (Private) Limited	Restricted	26-Nov-15	Participant under Regulation 6.8.2 of the CDC Regulations discloses negative Capital Adequacy Level	15.3.1(a)
1038	A.H.K.D. Securities (Private) Limited	Removal of Intention to Suspend	24-Nov-15	Participant has settled the CDC outstanding dues.	15.9.1 (e)
1039	Mian Muhammad Akram Securities (Pvt.) Limited	Removal of Suspension	17-Nov-15	Consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/537/15 dated November 17, 2015	15.6.2
1040	Mian Muhammad Akram Securities (Pvt.) Limited	Suspended	16-Nov-15	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/536/15 dated November 16, 2015	15.2.1(b)
1041	A.H.K.D. Securities (Private) Limited	Final Notice of Intention to Suspend	16-Nov-15	Failure to settle the CDC outstanding dues.	15.9.1 (e)
1042	A.H.K.D. Securities (Private) Limited	Extension of intention to suspend	30-Oct-15	Failure to settle the CDC outstanding dues.	15.9.1 (e)
1043	A.H.K.D. Securities (Private) Limited	Notice of Intention to Suspend	15-Oct-15	Failure to settle the CDC outstanding dues.	15.9.1 (e)
1044	Hamza Farhad Securities (Private)	Suspended	29-Sep-15	Due to suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/469/15 dated September 29, 2015	15.2.1(b)
1045	Hamza Farhad Securities (Private)	Removal of Suspension	29-Sep-15	consequent to removal of suspension by National Clearing Company of Pakistan vide notice no. NCCPL/CS/470/15 dated September 29, 2015	15.6.2
1046	Invest Capital Markets Limited	Revised Notice of Restriction	28-Sep-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1047	BMS Capital (Private) Limited	Removal of Restriction	28-Sep-15	Consequent to restoration of trading terminals by LSE vide notice no. 4848 dated September 28, 2015	15.6.2
1048	Allied Securities (Private) Limited	Removal of Restriction	21-Sep-15	Consequent to restoration of trading terminals by LSE vide notice no. 4810 dated September 21, 2015	15.6.2
1049	Hatim Investments & Securities (Pvt.) Limited	Terminated	18-Sep-15	Voluntary Termination	15.10.1
1050	First National Equities Limited	Revised Notice of Restriction	15-Sep-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1051	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	31-Aug-15	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1052	Allied Securities (Private) Limited	Restricted	31-Aug-15	Consequent to Switching off trading terminals by LSE vide notice no. 4535 dated August 31, 2015	15.2.1(a)
1053	QF Securities (Private) Limited	Restricted	31-Aug-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1054	BMS Capital (Private) Limited	Restricted	28-Aug-15	Consequent to expiry of broker registration of Participant as notified by LSE vide notice no. 4478 dated August 26, 2015 received on August 28, 2015	15.2.1(a)
1055	Live Securities Limited	Removal of Restriction for opening of New Sub-Accounts	5-Aug-15	consequent to lifting of restriction of Participants for opening of new sub-accounts by KSE vide notice no. KSE/GEN-6177 dated August 03, 2015	15.6.2
1056	Darson Securities (Private) Limited	Removal of Restriction for opening of New Sub-Accounts	5-Aug-15	consequent to lifting of restriction of Participants for opening of new sub-accounts by KSE vide notice no. KSE/GEN-6188 dated August 04, 2015	15.6.2
1057	AZEE Securities (Private) Limited	Removal of Restriction for opening of New Sub-Accounts	5-Aug-15	consequent to lifting of restriction of Participants for opening of new sub-accounts by KSE vide notice no. KSE/GEN-6173 dated August 04, 2015	15.6.2
1058	WE Financial Services Limited	Notice of Imposition of Penalty	24-Jul-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1059	Live Securities Limited	Restriction on opening of New Sub-Accounts	22-Jul-15	Due to imposed restriction on Participants for opening of new sub-accounts by KSE vide order no. KSE/GEN-5746 dated July 16, 2015.	15.2.1(a)
1060	Darson Securities (Private) Limited	Restriction on opening of New Sub-Accounts	22-Jul-15	Due to imposed restriction on Participants for opening of new sub-accounts by KSE vide order no. KSE/GEN-5747 dated July 16, 2015	15.2.1(a)
1061	Aziz Fidhusein & Company (Private) Limited	Restricted	22-Jul-15	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by KSE vide notice no. no. KSE/N-3626 dated July 16, 2015	15.2.1(a)



Disciplinary Register - Participants

Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1062	AZEE Securities (Private) Limited	Restriction on opening of New Sub-Accounts	22-Jul-15	Due to imposed restriction on Participants for opening of new sub-accounts by KSE vide order no.KSE/GEN-5721 dated July 16, 2015	15.2.1(a)
1063	Aziz Fidahusein & Company (Private) Limited	Restricted	14-Jul-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1064	H. P. Byramji & Co. (Pvt.) Limited	Notice of Restriction & Penalty	6-Jul-15	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1065	Harvest Smartrend Securities (Private) Limited	Terminated	6-Jul-15	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by LSE vide notice no.3069 dated July 03, 2015	15.2.1(a)
1066	AZEE Securities (Private) Limited	Removal of Restriction	2-Jul-15	Participant represented to CDC vide letter dated July 02, 2015 to consider removing the Restriction against deposit amount sufficient to settle the claims.	15.6.2
1067	Pak Meezan Securities (Private) Limited	Restricted	1-Jul-15	Due to suspension of registration Participant as Broker by Securities Exchange Commission of Pakistan vide order dated June 30, 2015	15.2.1(a)
1068	Reliance Capital (Private) Limited	Restricted	1-Jul-15	Due to suspension of registration Participant as Broker by Securities Exchange Commission of Pakistan vide order dated June 30, 2015	15.2.1(a)
1069	AZEE Securities (Private) Limited	Restricted	1-Jul-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
1070	Investforum (Smc-Pvt) Limited	Notice of Imposition of Penalty	19-Jun-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1071	ACE Securities (Private) Limited	Terminated	18-May-15	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by KSE vide notice no. KSE/N-2793 dated May 15, 2015 .	15.3.7
1072	First National Equities Limited	Restricted	14-May-15	Due to contravention of provision of Regulation 6.7.3 of the CDC Regulations	15.2.1(a)
1073	ACE Securities (Private) Limited	Suspended	14-May-15	Consequent to suspension of Participant by KSE vide notice no. KSE/N-2754 dated May 13, 2015	15.2.1(b)
1074	Invest Capital Markets Limited	Imposition of Penalty & Restricted	13-May-15	Due to contravention of provision of Regulation 6.7.3 of the CDC Regulations	14.3.1 (b) and 15.2.1(a)
1075	MAK Securities (Private) Limited	Terminated	30-Apr-15	Voluntary Termination	15.10.1
1076	ACE Securities (Private) Limited	Suspended	27-Apr-15	Consequent to Switching off trading terminals by KSE vide email dated April 27, 2015 and Directive of SECP vide Letter no. 4(BRK-129)SE/SMD/2001 dated April 27, 2015.	15.2.1(b)
1077	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1078	Alfa Adhi Securities (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1079	Ali Husain Rajabali Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1080	AWJ Securities (Private) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1081	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1082	Prime Securities (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1083	AZEE Securities (Private) Limited	Notice of Imposition of Penalty	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1084	Alfalsh Securities (Private) Limited	Notice of Imposition of Penalty	14-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1085	Aziz Fidahusein & Company (Pvt.) Limited	Notice of Imposition of Penalty	14-Apr-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
1086	KASB Securities Limited	Removal of Restriction	14-Apr-15	Pursuant to directive issued vide letter no. SMD/SE/2(20)2014 dated April 13, 2015 of the SECP.	-
1087	First National Equities Limited	Notice of Imposition of Penalty	2-Apr-15	Non-Compliance of CDC Regulations	6.2.2, 6.2.6 & 6.7.3
1088	Capital Vision Securities (Private) Limited	Terminated	31-Mar-15	Consequent to declaring the participant as defaulter by Lahore stock Exchange Limited vide notice no. LSE/1417 dated March 31, 2015.	15.3.7
1089	Patel Securities (Pvt.) Limited	Notice of Imposition of Penalty	9-Mar-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
1090	Moosani Securities (Pvt.) Limited	Terminated	6-Mar-15	Voluntary Termination	15.10.1
1091	Mian Muhammad Akram Securities (Pvt.) Limited	Notice of Imposition of Penalty	5-Mar-15	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1092	A.H.K.D. Securities (Private) Limited	Removal of Restriction	3-Mar-15	Consequent to restoration of trading terminals by the Karachi Stock Exchange Limited vide notice no. 1188 dated March 03, 2015	15.6.2
1093	Capital Vision Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Feb-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1094	Motiwala Securities (Private) Limited	Removal of Suspension	18-Feb-15	Consequent to Change of status of participant as an active TRE Holder of Karachi Stock Exchange as notified by KSE vide notice no. KSE/N-702 dated February 17, 2015.	15.6.2
1095	Universal Equities (Private) Limited	Removal of Restriction	16-Feb-15	Consequent to Restoration of Trading terminals of participant by Lahore Stock Exchange as notified by LSE vide notice no. 0643 dated February 13, 2015.	15.6.2
1096	Excel Securities (Pvt.) Limited	Terminated	13-Feb-15	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE vide notice no. 035 of 2015 dated February 13, 2015.	15.3.7
1097	H.H.K. Securities (Pvt.) Limited	Removal of suspension	29-Jan-15	Consequent to Restoration of Trading of participant by Karachi Stock Exchange as notified by KSE vide notice no. KSE/N-419 dated January 29, 2015.	15.6.2
1098	A. S. Securities (Private) Limited	Removal of suspension	22-Jan-15	Consequent to Restoration of Trading of participant by Lahore Stock Exchange as notified by LSE vide notice no. 0276 dated January 16, 2015.	15.6.2
1099	Aazeb Securities (Private) Limited	Terminated	24-Dec-14	Voluntary Termination	15.10.1
1100	Dosslanis Securities (Pvt.) Limited	Censure Notice	12-Dec-14	Non-Compliance of CDC Regulations	6.2.6
1101	KASB Securities Limited	Relaxation on Restriction	3-Dec-14	Pursuant to directive issued vide letter no. SMD/SE/2(20)2014 dated December 02, 2014 of the SECP.	-
1102	KASB Securities Limited	Restricted	18-Nov-14	Pursuant to directive issued vide letter no. SMD/SE/2(20)2014 dated November 17, 2014 of the SECP.	-
1103	Harvest Smartrend Securities (Private) Limited	Restricted	31-Oct-14	Consequent to switching off of all trading terminals by the LSE vide notice no.7910 Dated October 31, 2014.	15.2.1(a)
1104	Invest Capital Markets Limited	Restricted	24-Sep-14	Due to contravention of provision of Regulation 6.7.3 of the CDC Regulations	15.2.1(a)
1105	AFIC Securities (Private) Limited	Terminated	4-Sep-14	Voluntary Termination	15.10.1
1106	AFIC Securities (Private) Limited	Restricted	3-Sep-14	Consequent to Switching off trading terminals by LSE on the request of AFIC Securities (Private) Limited	15.2.1(a)
1107	Ismail Iqbal Securities (Pvt.) Limited	Notice of Imposition of Penalty	25-Aug-14	Non-Compliance of CDC Regulations	6.2.2, 6.2.6 & 6.7.3
1108	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	6-Aug-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
1109	Beaming Investment and Securities (Private) Limited	Removal of Suspension	25-Jul-14	Consequent to Revocation of Suspension of participant by Karachi Stock Exchange as notified by KSE vide notice no. ISE/RAD/205 dated July 25, 2014.	15.6.2
1110	Diyanah Islamic Financial Services (Pvt.) Limited	Restricted	20-Jun-14	Consequent to broker registration of the Participant has expired as notified by ISE vide notice no. ISE/RAD/161 dated June 16, 2014	15.1.1(a) (ii) to (iv)
1111	Ghory's Securities (Private) Limited	Removal of suspension	18-Jun-14	Consequent to change of status of participant as an active TRE Certificates holder of Karachi Stock Holder as notified by KSE vide notice no. KSE/N-3337 dated June 18, 2014.	15.6.2
1112	Ghory's Securities (Private) Limited	Suspended	11-Jun-14	Consequent to completion of 60 Business Day of Restriction	15.3.7(b)
1113	Invest Capital Markets Limited	Notice of Imposition of Penalty	10-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1114	High Land Securities (Pvt.) Limited	Censure Notice	5-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1115	Din Capital (Pvt.) Limited	Censure Notice	8-May-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
1116	Ayub Chaudhry Investments (Pvt.) Limited	Censure Notice	24-Apr-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1117	Muhammad Tariq Moti Securities (Pvt.) Limited	Censure Notice	10-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
1118	SAAO Capital (Pvt.) Limited	Censure Notice	9-Apr-14	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1119	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	9-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
1120	K. H. S. Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1121	Islamabad Securities (Private) Limited	Suspended	7-Apr-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE	15.2.1(b)
1122	Aziz Fidahusein & Company (Pvt.) Limited	Censure Notice	26-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1



Disciplinary Register - Participants

Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1123	Highlink Capital (Private) Limited	Terminated	26-Mar-14	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE vide notice no. 1585 dated March 24, 2014	15.3.7
1124	SNM Securities (Private) Limited	Removal of Restriction	25-Mar-14	Consequent to change of status of participant as an active TRE Certificates holder of Karachi Stock Holder as notified by KSE vide notice no. KSE/N-1624 dated March 24, 2014.	15.2.1(b)
1125	Alfalsh Securities (Private) Limited	Censure Notice	21-Mar-14	Non-Compliance of CDC Regulations	6.2.6
1126	Excel Securities (Pvt.) Limited	Suspended	21-Mar-14	Pursuant to directive dated February 20, 2014 of the SECP.	15.2.1(b)
1127	Ghory's Securities (Private) Limited	Restricted	19-Mar-14	Consequent to Switching off trading terminals by KSE on the request of Ghory's Securities (Private) Limited	15.2.1(a)
1128	Multiline Securities (Pvt.) Limited	Censure Notice	13-Mar-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
1129	Apex Capital Securities (Private) Limited	Censure Notice	4-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1130	Pearl Brokerage (Pvt.) Limited	Notice of Imposition of Penalty	4-Mar-14	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1131	Maximus Securities (Private) Limited	Terminated	4-Mar-14	Voluntary Termination	15.10.1
1132	FINCAP Investments (Private) Limited	Suspended	21-Feb-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE vide notice no. ISE/2014/050 dated February 21, 2014.	15.2.1(b)
1133	Highlink Capital (Private) Limited	Suspended	20-Feb-14	Pursuant to order dated February 20, 2014 of the SECP.	15.2.1(b)
1134	Highlink Capital (Private) Limited	Restricted	18-Feb-14	Consequent to switching off of all trading terminals by the LSE vide notice no.856 Dated February 17, 2014, due to Suspension of its registration as a Broker by SECP.	15.2.1(a)
1135	Capital Vision Securities (Pvt.) Limited	Censure Notice	14-Feb-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
1136	First National Equities Limited	Notice of Imposition of Penalty	14-Feb-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 and 6.2A.1
1137	Nasir Ali Shah Bukhari	Terminated	14-Feb-14	Voluntary Termination	15.10.1
1138	Prime Securities (Pvt.) Limited	Censure Notice	13-Feb-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1139	Escorts Capital Limited	Notice of Imposition of Penalty	31-Jan-14	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1140	G. R. Securities (SMC-Pvt.) Limited	Terminated	30-Jan-14	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE	15.3.7
1141	Maximus Securities (Private) Limited	Restricted	29-Jan-14	Consequent to expiry of broker registration as notified by LSE.	15.2.1(a)
1142	G. R. Securities (SMC-Pvt.) Limited	Suspended	13-Jan-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE	15.1.1(a) (ii) to (iv)
1143	Diyanah Islamic Financial Services (Pvt.) Limited	Restricted	31-Dec-13	Consequent to switching off of all trading terminals by the ISB and Cancellation of its registration as a Broker by SECP.	15.1.1(a) (ii) to (iv)
1144	SNM Securities (Private) Limited	Restricted	26-Dec-13	Consequent to deactivation of all trading terminals by the KSE	15.1.1(a)
1145	M. J. Memon Securities (Pvt.) Limited	Censure Notice	18-Dec-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1146	Maha Securities (Pvt.) Limited	Censure Notice	9-Dec-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1147	Highlink Capital (Private) Limited	Restricted	29-Nov-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1148	Highlink Capital (Private) Limited	Removal of Restriction	29-Nov-13	Consequent to restoration of all trading terminals by the LSE in view of order dated 29-11-2013 of Court of Senior Civil Judge, Lahore	15.6.2
1149	Hameed Mukhtar Chaudhry	Terminated	27-Nov-13	Voluntary Termination	15.10.1
1150	Excel Securities (Pvt.) Limited	Censure Notice	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1151	Mian Muhammad Akram Securities (Pvt.) Limited	Censure Notice	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1152	MTM Securities (Private) Limited	Terminated	20-Nov-13	Voluntary Termination	15.10.1
1153	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Nov-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1154	MTM Securities (Private) Limited	Restricted	18-Nov-13	Consequent to Switching off trading terminals by LSE on the request of MTM Securities (Private) Limited	15.2.1(a)
1155	Trade-In-Securities (Pvt.) Limited	Censure Notice	7-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1156	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	6-Nov-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1157	MCFSL - Trustee MCFSL Trustee Atlas Fund of Funds	Terminated	6-Nov-13	Voluntary Termination	15.10.1
1158	Jamshaid & Hasan Securities (Pvt.) Limited	Notice of Imposition of Penalty	5-Nov-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1159	Time Securities (Pvt.) Limited	Notice of Imposition of Penalty	5-Nov-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.6
1160	Ghani Osman Securities (Private) Limited	Removal of Restriction	28-Oct-13	Pursuant to Order dated October 26, 2013 of the Honorable High Court of Sindh at Karachi in Civil Suit No. 1346 of 2013	Court Order



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1161	Ghani Osman Securities (Private) Limited	Restricted	25-Oct-13	Consequent to Suspension of registration of Participant by SECP vide Order dated October 25, 2013	15.2.1(a)
1162	Fair Edge Securities (Pvt.) Limited	Censure Notice	24-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1163	AZEE Securities (Private) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1164	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1165	Apex Capital Securities (Private) Limited	Removal of Intention to Suspend	4-Oct-13	Participant has settled the fine imposed by CDC	15.9.1(e)
1166	Dosslanis Securities (Pvt.) Limited	Notice of Imposition of Penalty	2-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1167	Gul Dhami Securities (Pvt.) Limited	Censure Notice	30-Sep-13	Non-Compliance of CDC Regulations	6.2.6
1168	AMCAP Securities (Private) Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1169	First Pakistan Securities Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1170	Dattoo Securities (Pvt.) Limited	Censure Notice	27-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1171	Intermarket Securities Limited	Censure Notice	26-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1172	Apex Capital Securities (Private) Limited	Imposition of Penalty / Notice of Intention to Suspend	23-Sep-13	Penalty imposed on non-compliances highlighted in Inspection of Participant Record and Intention to Suspend in case of non removing discrepancies and failure to pay amount of fine.	14.3.1 (b)
1173	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1174	Oriental Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1175	Standard Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1176	Ismail Iqbal Securities (Pvt.) Limited	Notice of Imposition of Penalty	28-Aug-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1177	SNM Securities (Private) Limited	Censure Notice	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1178	Axis Global Limited	Notice of Imposition of Penalty	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1179	Sakarwala Capital Securities (Pvt.) Limited	Censure Notice	20-Aug-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1180	Akhai Securities (Pvt.) Limited	Notice of Imposition of Penalty	31-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1181	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Terminated	29-Jul-13	Consequent to forfeiture of Trading Right Entitlement Certificate of the Participant by the KSE	15.3.7
1182	DJM Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-Jul-13	Non-Compliance of CDC Regulations	6.7.2 & 6.2A.1
1183	Live Securities Limited	Notice of Imposition of Penalty	19-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1184	Invest Capital Markets Limited	Notice of Imposition of Penalty	11-Jul-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.1
1185	Diyanah Islamic Financial Services (Pvt.) Limited	Notice of Imposition of Penalty	10-Jul-13	Non-Compliance of CDC Regulations	6.2A.1 & 6.2.6
1186	Dalia Securities (Private) Limited	Removal of Restriction	5-Jul-13	Consequent of re-registration as broker under the Brokers & Agents Registration Rules (the "Rules").	15.6.2
1187	Arif Majid Chaudhary	Removal of Restriction	26-Jun-13	Consequent to restoration of trading right entitlement by the LSE and withdrawal of directives of SECP	Rule 7
1188	Arif Majid Chaudhary	Terminated	26-Jun-13	Voluntary Termination	15.10.1
1189	Continental Capital Management (Pvt.) Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1190	Irfan Mazhar Securities (Pvt.) Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1191	KASB Securities Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1192	Dawood Equities Limited	Notice of Imposition of Penalty	21-Jun-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.2.6
1193	Mian Nusrat-Ud-Din	Notice of Imposition of Penalty	21-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1194	Darson Securities (Private) Limited	Censure Notice	19-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1195	M.R.A. Securities (Pvt.) Limited	Censure Notice	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1196	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
1197	Live Securities Limited	Removal of Restriction	17-Jun-13	As the Participant has provided the evidence in form of Sub-Account Opening Form from the Complainant	15.6.3
1198	Live Securities Limited	Extension of Restricted Period	10-Jun-13	Due to non-resolution of investor's complaint against the Participant	15.3.1
1199	Alfalsh Securities (Private) Limited	Notice of Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.7.3
1200	Progressive Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.6
1201	Live Securities Limited	Restricted	5-Jun-13	Restriction Imposed due to no clarification is given by the Participant w.r.t. Investor complaint	15.3.1
1202	Ghani Osman Securities (Pvt.) Limited	Censure Notice	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1203	Multiline Securities (Pvt.) Limited	Censure Notice	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6
1204	Moonaco Securities (Pvt.) Limited	Censure Notice	3-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1205	Bawa Securities (Pvt.) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1206	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
1207	Alfa Adhi Securities (Pvt.) Limited	Censure Notice	24-May-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1208	Adeel & Nadeem Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1209	Aziz Fidhusein & Company (Pvt.) Limited	Notice of Imposition of Penalty	22-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1210	Hameed Mukhtar Chaudhry	Removal of Restriction	21-May-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
1211	K. H. S. Securities (Pvt.) Limited	Notice of Imposition of Penalty	17-May-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1212	ZHV Securities (Private) Limited	Terminated	15-May-13	Consequent to Forfeiture of TRE Certificate by KSE	15.3.7
1213	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Suspended	15-May-13	Consequent to suspension of TRE Certificate by KSE	15.2.1(b)
1214	Saliha Haroon	Terminated	15-May-13	Voluntary Termination	15.10.1
1215	B & B Securities (Pvt.) Limited	Notice of Imposition of Penalty	14-May-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.7.3
1216	We Financial Services Limited	Notice of Imposition of Penalty	14-May-13	Non-Compliance of CDC Regulations	6.2.2 and 6.7.3
1217	Zahid Ali Habib	Terminated	14-May-13	Voluntary Termination	15.10.1
1218	SAZ Capital Securities (Pvt.) Limited	Censure Notice	9-May-13	Non-Compliance of CDC Regulations	6.2.6
1219	Arif Latif	Terminated	9-May-13	Voluntary Termination	15.10.1
1220	Mian Nusrat-Ud-Din	Terminated	9-May-13	Voluntary Termination	15.10.1
1221	Mohammad Amer Riaz	Terminated	9-May-13	Voluntary Termination	15.10.1
1222	M. Ayub Ch.	Terminated	9-May-13	Voluntary Termination	15.10.1
1223	Sajid Masood	Terminated	9-May-13	Voluntary Termination	15.10.1
1224	Saima Qaiser	Terminated	9-May-13	Voluntary Termination	15.10.1
1225	First Fidelity Leasing Modaraba	Restricted	8-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1226	Investforum (Smc-Pvt) Limited	Notice of Imposition of Penalty	7-May-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.6 & 6.2A.1
1227	Seven Star Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1228	Arif Latif	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1229	Mian Nusrat-Ud-Din	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1230	Mohammad Amer Riaz	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1231	Zahid Ali Habib	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1232	Arif Majid Chaudhary	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1233	Saliha Haroon	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1234	M. Ayub Ch.	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1235	Hameed Mukhtar Ch.	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1236	Nasir Ali Shah Bukhari	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1237	Sajid Masood	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1238	Saima Qaiser	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1239	H. M. Idrees H. Adam	Terminated	6-May-13	Voluntary Termination	15.10.1
1240	Tewfiq Mohammad Amin Fikree	Terminated	6-May-13	Voluntary Termination	15.10.1
1241	Muhammad Tariq Moti	Terminated	6-May-13	Voluntary Termination	15.10.1
1242	Rayomund J.H.P Byramji	Terminated	6-May-13	Voluntary Termination	15.10.1
1243	Dawood Mohammad	Terminated	6-May-13	Voluntary Termination	15.10.1
1244	Surmawala Securities (Private) Limited	Notice of Imposition of Penalty	18-Apr-13	Non-Compliance of CDC Regulations	6.2.6, 6.2A.1 & 6.7.3
1245	Apex Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	16-Apr-13	Penalty imposed on non-compliances highlighted in Inspection of Participant Record and Intention to Suspend in case of non removing discrepancies and failure to pay amount of fine.	6.2.2, 6.2.6, 6.2A.1, 6.7.2, & 6.7.3
1246	A. I. Securities (Pvt.) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1247	G. R. Securities (SMC-Pvt.) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
1248	Sajid Masood	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1249	Stock Street (Private) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.2A.1 & 9.1.1



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1250	ZHV Securities (Private) Limited	suspended	11-Apr-13	Consequent to suspension of TRE Certificate by the KSE	15.2.1(b)
1251	Dalia Securities (Pvt.) Limited	Censure Notice	9-Apr-13	Non-Compliance of CDC Regulations	6.2.6
1252	Pearl Brokerage (Pvt.) Limited	Censure Notice	9-Apr-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
1253	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	suspended	9-Apr-13	Consequent to suspension of clearing member account by the NCCPL	15.2.1(b)
1254	Blackstone Equities (Pvt.) Limited	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1255	Creative Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1256	Prosperity Securities (SMC-Pvt.) Limited	suspended	3-Apr-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
1257	N.U.A Securities (Pvt.) Limited	Notice of Imposition of Penalty	28-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1258	Techno Fundamental Securities (Pvt.) Limited	Censure Notice	27-Mar-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
1259	Fair Deal Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1260	Maan Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Mar-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1261	A. H. M. Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Mar-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 & 6.7.3
1262	Ms. Saliha Haroon	Notice of Imposition of Penalty	26-Mar-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1263	Alfalsh Securities (Private) Limited	Removal of Restriction	25-Mar-13	Consequent to restoration of trading right entitlement certificate by the KSE	15.6.2
1264	First National Equities Limited	Removal of Intention to Suspend	18-Mar-13	Participant has settled the fine imposed by CDC	15.9.1(e)
1265	Switch Securities (Private) Limited	Censure Notice	15-Mar-13	Non-Compliance of CDC Regulations	6.2.6
1266	Alfalsh Securities (Private) Limited	Restricted	15-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
1267	ZHV Securities (Private) Limited	Restricted	13-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
1268	Friendly Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1269	Khanani Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.2A.1
1270	Harvest Smartrend Securities (Pvt.) Limited	Notice of Imposition of Penalty	4-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2A.1 & 9.1.1
1271	First National Equities Limited	Notice of Intention to Suspend	4-Mar-13	Due to failure to pay the fine to CDC	15.9.1(e)
1272	M. J. Memon Securities (Pvt.) Limited	Censure Notice	27-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1273	Dalia Securities (Private) Limited	Restricted	26-Feb-13	Consequent to switching off the trading terminal by the ISE due to non-submission of renewal of registration document to SECP	15.2.1(a)
1274	Sherman Securities (Pvt.) Limited	Notice of Imposition of Penalty	20-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1275	GMI Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	19-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1276	KSR Stock Brokerage (Pvt.) Limited	Censure Notice	15-Feb-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 9.1.1
1277	Arif Majid Chaudhry	Restricted	15-Feb-13	SECP directive pursuant to Rule 7 of Central Depository Companies (Establishment and Regulation) Rules, 1996	-
1278	Baba Equities (Pvt.) Limited	Censure Notice	12-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
1279	MCBFSL - Trustee AH Dow Jones Pak Titans 15 Index Fund	Terminated	12-Feb-13	Voluntary Termination	15.10.1
1280	Safe Securities (Private) Limited	Censure Notice	11-Feb-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1281	SAAO Capital (Pvt.) Limited	Notice of Imposition of Penalty	11-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 & 6.7.3
1282	Arif Majid Chaudhry	Removal of Suspension	11-Feb-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
1283	First National Equities Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.7.3, 9.1.1 & 6.2A.1
1284	Habib Metropolitan Financial Services Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1285	Infinite Securities Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1286	Muhammad Ayub Chaudhry	Notice of Imposition of Penalty	28-Jan-13	Non-Compliance of CDC Regulations	6.2.2 & 9.1.1
1287	Jahanzaib Gondal	Terminated	24-Jan-13	Voluntary Termination	15.10.1
1288	A. S. Securities (Private) Limited	Suspended	11-Jan-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
1289	Prosperity Securities (SMC-Pvt) Limited	Restricted	7-Jan-13	Consequent to Switching off trading terminals by the ISE, on the request of the Participant	15.2.1(a)
1290	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Removal of Intention to Suspend	4-Jan-13	Participant has settled the fine imposed by CDC	15.9.1(e)
1291	AWJ Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1292	Excel Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
1293	Zafar Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1294	Imperial Investments (Private) Limited	Terminated	24-Dec-12	Consequent to expulsion of Participant by the KSE.	15.3.7



Disciplinary Register - Participants

Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1295	ACE Securities (Private) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1296	Maha Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2A.1 & 9.1.1
1297	Time Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.2.3, 6.2.6, 6.2A.1 & 6.7.3
1298	Ahmad Shoaib Akram	Terminated	18-Dec-12	Voluntary Termination	15.10.1
1299	Arif Majid Chaudhry	Suspended	17-Dec-12	Consequent to suspension of trading right entitlement certificate by the LSE	15.2.1(b)
1300	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Intention to Suspend	17-Dec-12	Due to failure to pay the fine to CDC	15.9.1(e)
1301	Arif Majid Chaudhry	Restricted	14-Dec-12	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1302	First National Equities Limited	Restricted	12/3/2012	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1303	Arif Majid Chaudhry	Intention to Suspend	30-Nov-12	Due to failure to pay CDC dues	15.9.1(e)
1304	Moosa, Noor Mohammad, Shahzada & Co (Pvt.) Limited	Notice of Imposition of Penalty	20-Nov-12	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.6, 6.7.2 & 6.7.3
1305	Imperial Investments (Private) Limited	Suspended	13-Nov-12	Consequent to suspension of trading right entitlement certificate by the ISE	15.2.1(b)
1306	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	30-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1307	Imperial Investments (Private) Limited	Notice of Imposition of Penalty	24-Oct-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.6 & 9.1.1
1308	Imperial Investments (Private) Limited	Suspended	22-Oct-12	Due to non-compliance of regulatory requirements with respect to transfer of securities and non payment of Penalty	15.2.1(b)
1309	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	19-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1310	Pearl Securities Limited	Notice of Imposition of Penalty	18-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1311	A. S. Securities (Private) Limited	Restricted	15-Oct-12	Consequent to Switching off trading terminals by the LSE on the request of the Participant.	15.2.1(a)
1312	Invisor Securities (Private) Limited	Restricted	12-Oct-12	Consequent to Switching off trading terminals by the KSE on the request of the Participant.	15.2.1(a)
1313	Imperial Investments (Private) Limited	Restricted	12-Oct-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1314	Dattoo Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1315	H. P. Byramji & Co. (Pvt.) Limited	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1316	Rayomund J.H.P. Byramji	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1317	Pearl Capital Management (Private) Limited	Terminated	4-Oct-12	Membership suspended by the KSE.	15.3.7
1318	Intermarket Securities Limited	Notice of Imposition of Penalty	3-Oct-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.3 and 6.2.6
1319	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	28-Sep-12	Non-Compliance of CDC Regulations	6.2 & 6.2.6
1320	Gul Dhami Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Sep-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1321	F.M. Securities (Pvt.) Limited	Notice of Imposition of Penalty	14-Sep-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
1322	Jamshaid & Hasan Securities (Pvt.) Limited	Notice of Imposition of Penalty	13-Sep-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1323	Pearl Capital Management (Private) Limited	Notice of Imposition of Penalty	13-Sep-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.2, 6.7.3 & 9.1.1
1324	Jahangir Siddiqui & Company Limited	Terminated	11-Sep-12	Voluntary Termination	15.10.1
1325	Dosslanis Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1326	Pearl Capital Management (Private) Limited	Restricted	24-Aug-12	Consequent to Switching off trading terminals by the KSE on the request of the Participant.	15.2.1(a)
1327	Pearl Capital Management (Private) Limited	Suspended	24-Aug-12	Membership suspended by the KSE.	15.2.1(b)
1328	NBP Trustee - NI(U)T (LOC) Fund	Terminated	15-Aug-12	Voluntary Termination	15.10.1
1329	First Pakistan Securities Limited	Notice of Imposition of Penalty	9-Aug-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
1330	Switch Securities (Private) Limited	Removal of Intention	8/3/2012	Participant has settled the CDC outstanding dues	15.9.1(e)
1331	Unex Securities (Pvt.) Limited	Censure Notice	1-Aug-12	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
1332	AMCAP Securities (Private) Limited	Notice of Imposition of Penalty	1-Aug-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1333	Arif Majid Chaudhry	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1334	Live Securities Limited	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1335	Hum Securities Limited	Notice of Imposition of Penalty	25-Jul-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1336	Hum Securities Limited	Notice of Imposition of Penalty	24-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 9.1.1
1337	Salma	Terminated	20-Jul-12	Voluntary Termination	15.10.1
1338	YKD Securities (Pvt.) Limited	Terminated	19-Jul-12	Voluntary Termination	15.10.1
1339	Al-Hamd Investment and Securities (Private) Ltd.	Terminated	19-Jul-12	Voluntary Termination	15.10.1
1340	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
1341	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
1342	Darson Securities (Private) Limited	Notice of Imposition of Penalty	25-Jun-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 9.1.1
1343	Al-Hamd Investment and Securities (Private) Ltd.	Suspended	25-Jun-12	Consequent to completion of 60 Business Days of Restrictions	15.3.7(b)
1344	Salman Capital Investments (Private) Limited	Terminated	22-Jun-12	Voluntary Termination	15.10.1
1345	Invisor Securities (Private) Limited	Removal of Restriction	18-Jun-12	Consequent to change of status as an Active Member by KSE	15.6.2
1346	Dawoodi Alibhoy Morkas	Terminated	14-Jun-12	Voluntary Termination	15.10.1
1347	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Terminated	13-Jun-12	Consequent to cancellation of the membership by the ISE	15.3.7
1348	Beaming Investment and Securities (Private) Limited	Suspended	8-Jun-12	Consequent to Suspension of Membership by the ISE.	15.2.1(b)
1349	United Capital Securities (Private) Limited	Terminated	6/3/2012	Consequent to expulsion of Participant by the KSE.	15.3.7
1350	H.H.K. Securities (Pvt.) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1351	Khoja's Capital Management (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1352	Mr. Haroon Suleman	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1353	MAK Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1354	Motiwala Securities (Private) Limited	Restricted	3-Jun-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1355	Naveed H. M. Idrees	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1356	Latif Suleman Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1357	H.H.K. Securities (Pvt.) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
1358	Motiwala Securities (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
1359	Khoja's Capital Management (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
1360	Khawaja Securities (Pvt.) Limited	Removal of Suspension	30-May-12	Consequent to restoration of trading terminals	15.6.2
1361	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Suspended	28-May-12	Consequent to Suspension of membership by the ISE.	15.2.1(b)
1362	Beaming Investment and Securities (Private) Limited	Restricted	28-May-12	Consequent to Switching off trading terminals by the ISE.	15.2.1(a)
1363	Beaming Investment and Securities (Private) Limited	Censure Notice	25-May-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.3 & 6.2.6
1364	SAL Securities (Pvt.) Limited	Censure Notice	25-May-12	Non-Compliance of CDC Regulations	6.2.6 & A041
1365	A.H.K.D. Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)
1366	Invisor Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)
1367	Arif Habib Securities Limited	Terminated	23-May-12	Voluntary Termination	15.10.1
1368	Escorts Investment Bank Limited	Terminated	22-May-12	Voluntary Termination	15.10.1
1369	MCFSL - Trustee UBL Capital Protected Fund-II	Terminated	22-May-12	Voluntary Termination	15.10.1
1370	Stock Master Securities (Private) Limited	Terminated	16-May-12	Consequent to Expulsion of the membership by the LSE	15.3.7
1371	Latif Suleman Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
1372	Aqeel Karim Dhedhi Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
1373	Hum Securities Limited	Terminated	8-May-12	Voluntary Termination	15.10.1
1374	Khoja's Capital Management (Private) Limited	Intention to Suspend	30-Apr-12	Due to failure to pay CDC dues	15.9.1(e)
1375	Naveed H. M. Idrees	Terminated	30-Apr-12	Voluntary Termination	15.10.1
1376	Beaming Investment and Securities (Private) Limited	Restricted	27-Apr-12	Consequent to Switching off of trading terminals by the ISE.	15.2.1(a)
1377	Y. S. Securities & Services (Private) Limited	Terminated	24-Apr-12	Consequent to Expulsion by the LSE	15.3.7
1378	Trust Capital (Private) Limited	Restricted	18-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1379	Arif Majid Chaudhry	Removal of Intention to Suspend	18-Apr-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1380	Darson Securities (Private) Limited	Restricted	12-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1381	Darson Securities (Private) Limited	Restricted	12-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1382	Salman Capital Investments (Private) Limited	Restricted	12-Apr-12	Consequent to change of status as inactive member	15.2.1(a)
1383	Stock Master Securities (Private) Limited	Suspended	10-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(b)
1384	Y. S. Securities & Services (Private) Limited	Suspended	10-Apr-12	Consequent to Suspension of membership by the LSE.	15.2.1(b)
1385	Y. S. Securities & Services (Private) Limited	Restricted	9-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
1386	Stock Master Securities (Private) Limited	Restricted	5-Apr-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.2.1(a)
1387	Dawoodi Alibhoy Morkas	Restricted	5-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
1388	Al-Haq Securities (Pvt.) Limited	Censure Notice	30-Mar-12	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1389	Ms. Saliha Haroon	Censure Notice	30-Mar-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1390	Al-Hamd Investment and Securities (Private) Ltd.	Restricted	30-Mar-12	Consequent to Switching off of trading terminals by the LSE.	15.2.1(a)
1391	Stock Master Securities (Private) Limited	Intention to Restrictions	30-Mar-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.1.1(b)(iii)
1392	Dosslanis Securities (Pvt.) Limited	Intention to Restrictions	30-Mar-12	Due to non-compliance of regulatory requirements with respect to transfer of securities.	15.1.1(b)(iii)
1393	Harvest Smartrend Sec. (Private) Limited	Removal of Intention	27-Mar-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1394	Universal Equities (Private) Limited	Restricted	26-Mar-12	Non-Renewal of Broker Registration Certificate	15.2.1(a)
1395	MAK Securities (Private) Limited	Terminated	22-Mar-12	Voluntary Termination	15.10.1
1396	Haroon Suleman	Terminated	22-Mar-12	Ceasing of as Member of KSE	15.2.1(c)
1397	First National Equities Limited	Removal of Restriction	22-Mar-12	Participant complied with Regulatory requirements relating to transfer of securities	15.2.1(a)
1398	Mr. Shahid Nauman Rana	Terminated	16-Mar-12	Due to declaration of the Participant as defaulter by the LSE	15.2.1(c)
1399	Hum Securities Limited	Restricted	13-Mar-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1400	Javed Iqbal Securities (Pvt.) Limited	Censure Notice	28-Feb-12	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1401	National Bank of Pakistan	Terminated	28-Feb-12	Voluntary Termination	15.10.1
1402	AKY Securities (Pvt.) Limited	Terminated	27-Feb-12	Voluntary Termination	15.10.1
1403	Value Stock Securities (Pvt.) Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1404	First Dawood Investment Bank Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1405	Pak United Securities (Private) Limited	Restricted	14-Feb-12	Consequent to non-renewable of broker registration certificate	15.2.1(a)
1406	Shehzad Chamdia Securities (Private) Limited	Terminated	2/3/2012	Voluntary Termination	15.10.1
1407	Trustee of AH-Pak Brunei Islamic Income Fund	Terminated	2/3/2012	Voluntary Termination	15.10.1
1408	Switch Securities (Private) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1409	Harvest Smartrend Securities (Pvt.) Ltd.	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1410	Mr. Arif Majid Chaudhry	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1411	Value Stock Securities (Pvt.) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1412	First Dawood Investment Bank Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1413	United Capital Securities (Private) Limited	Suspended	1-Feb-12	Consequent to suspension of membership by the KSE.	15.2.1(b)
1414	United Capital Securities (Private) Limited	Restricted	31-Jan-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1415	First National Equities Limited	Notice of Imposition of Penalty	23-Jan-12	Non-Compliance of CDC Regulations	6.7.3 & 4.19
1416	AFIC Securities (Private) Limited	Censure Notice	18-Jan-12	Non-Compliance of CDC Regulations	6.2.6
1417	Standard Securities (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
1418	Elite Stock Services (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
1419	United Capital Securities (Private) Limited	Revised Notice of Intention to suspend	3-Jan-12	Extending the period of Restriction.	9.1.1
1420	Zafar Moti Capital Securities (Private) Limited	Removal of Restriction	2-Jan-12	Pursuant to Court Order dated 30-12-2011.	Court Order