



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	INVESTMENT MANAGERS SECURITIES (PVT.) LIMITED - Thematic	Censure + Restriction	31-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
2	RAFI SECURITIES (PRIVATE) LIMITED - Thematic	Censure	30-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
3	First National Equities Limited	Censure Letter	28-Dec-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5 & 6.2.5A
4	ROYAL SECURITIES (PVT) LIMITED	Censure Letter	24-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
5	SPECTRUM SECURITIES LIMITED	Restriction & Censure	24-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
6	A. H. M. SECURITIES (PRIVATE) LIMITED	Censure Letter	24-Dec-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
7	BRAINS SECURITIES (PVT) LTD	Restriction & Censure	22-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.4, 6.2.5 & 6.2.5A
8	128 SECURITIES (PVT) LTD.	Censure Letter	22-Dec-20	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.5A
9	ADEEL & NADEEM SECURITIES (PVT) LTD.	Direct	22-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
10	RAHAT SECURITIES LIMITED	Direct	22-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
11	Amer Securities (Private) Limited - MF	Terminated	18-Dec-20	Voluntary Termination -MF	15.10
12	MND INVESTMENT (PVT) LTD.	Direct	16-Dec-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
13	MEMON SECURITIES (PVT.) LIMITED - Thematic	Censure	16-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
14	TARIQ VOHRA SECURITIES (PVT) LIMITED	Direct	16-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
15	ISMAIL IQBAL SECURITIES (PVT) LTD. - Thematic	Censure	15-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.3, 6.2.2A and 6.2.6 (b)
16	Sakarwala Capital Securities (Pvt.) Limited	Direct	15-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
17	Nini Securities (Pvt.) Limited	Direct	15-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.7.2 & 7.1.1
18	Progressive Securities (Pvt.) limited	Direct	15-Dec-20	Non-Compliance of CDC Regulations	6.2A.1, 6.2.4, 6.2.5, 6.2.5A & 7.1.1
19	NETWORTH SECURITIES LIMITED - Thematic	Direct	14-Dec-20	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
20	JAVED IQBAL SECURITIES (PVT) LTD. - Thematic	Censure	14-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
21	SURMAWALA SECURITIES (PRIVATE) LIMITED - Thematic	Censure	14-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.2A and 6.2.6 (b)
22	ABA ALI HABIB SECURITIES (PVT) LIMITED - Thematic	Direct	14-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
23	N.U.A SECURITIES (PRIVATE) LIMITED - Thematic	Censure	7-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A, 6.2.3, 6.2.2A and 6.2.6 (b)
24	INSIGHT SECURITIES (PVT.) LIMITED - Thematic	Censure	7-Dec-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A and 6.2.6 (b)
25	Fortune Securities Limited	Direct	30-Nov-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 7.1.1
26	BMA Capital Management (Pvt.) Limited	Direct	23-Nov-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
27	Friendly Securities (Pvt.) Limited	Censure	23-Nov-20	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.5A, 6.2.6(b) & 8.2.1(e)
28	Bawa Securities (Pvt.) Limited	Direct	23-Nov-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A & 6.2.6(b)
29	Shaukat Shafi Securities (Private) Limited	Terminated	25-Nov-20	Voluntary Termination	15.10.1
30	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
31	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
32	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)
33	Muhammad Ashfaq Hussain Securities (Private) Limited	Restricted	11-Nov-20	Consequent to switching off of trading terminals of the participant by PSX as notified vide notice no. PSX/N-1263 dated November 10, 2020	15.2.1(a)
34	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
35	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
36	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)
37	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)
38	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)
39	We Financial Services Limited - MF	Restricted	3-Nov-20	Consequent to imposing the Restrictions by NCCPL as an MF Account Holder vide notice no. NCCPL/CRO/312/20 dated November 03, 2020	15.2.1(a)



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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
40	Fairway Securities (Private) Limited - MF & MT	Removal of Restrictions	3-Nov-20	Consequent to removal of Restrictions by NCCPL as an MF & MT Account Holder vide notice no. NCCPL/CRO/309/20 dated November 03, 2020	15.6.2
41	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
42	A. I. Securities (Private) Limited	Restricted	29-Oct-20	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-1207 dated October 29, 2020.	15.2.1(a)
43	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
44	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)
45	A.S Securities (Pvt.) limited	Censure + Restrictions	27-Oct-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.5A
46	The Bank of Khyber	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2
47	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
48	Summit Bank Limited	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2
49	Saudi Pak Industrial & Agricultural Investment Co. Limited	Final Report issued	27-Oct-20	Non-Compliance of CDC Regulations	6.2.2
50	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
51	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)
52	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
53	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
54	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
55	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)
56	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)
57	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)
58	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)
59	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)
60	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 vide notice no. PSX/N -1116 dated October 07, 2020	15.6.2
61	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 vide notice no. PSX/N -1099 dated October 02, 2020	15.6.2
62	Arch Capital Securities (Private) Limited	Terminated	28-Sep-20	Voluntary Termination	15.10.1
63	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)
64	R.T SECURITIES (PVT.) LIMITED	Censure	28-Sep-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
65	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)
66	Taurus Securities Limited - ISI	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)
67	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)
68	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)
69	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)
70	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)
71	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)
72	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)
73	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)
74	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)
75	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)



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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
76	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)
77	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)
78	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)
79	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)
80	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)
81	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
82	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)
83	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
84	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
85	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
86	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)
87	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)
88	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
89	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
90	SAMBA BANK LIMITED	Final Report Issued	28-Aug-20	Non-Compliance of CDC Regulations	6.2.2
91	SONERI BANK LIMITED	Final Report Issued	28-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
92	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)
93	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)
94	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
95	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)
96	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)
97	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)
98	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)
99	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)
100	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
101	Askari Securities Limited	Censure Letter	21-Aug-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
102	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
103	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
104	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)
105	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)
106	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)
107	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)
108	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)
109	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)
110	R.A. Securities (Private) Limited	Terminated	30-Jul-20	Voluntary Termination	15.10.1
111	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
112	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)
113	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)
114	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
115	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)
116	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)
117	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
118	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
119	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)



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120	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)
121	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)
122	Fair Edge Securities (pvt.) limited	Censure Letter	6-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
123	HAMZA FARHAD SECURITIES (PVT.) LIMITED	Censure Letter	6-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
124	Pasha Securities (Pvt.) Limited	Censure Letter	6-Jul-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
125	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
126	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)
127	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)
128	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
129	PUNJAB CAPITAL SECURITIES (PVT) LIMITED	Censure Letter	26-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
130	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
131	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)
132	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)
133	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
134	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
135	GULREZ SECURITIES (PRIVATE) LIMITED	Censure Letter	25-Jun-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
136	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)
137	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)
138	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)
139	Sethi Securities (Pvt) Ltd - Regular	Censure	23-Jun-20	Non-Compliance of CDC Regulations	6.2A.1
140	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
141	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
142	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
143	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)
144	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
145	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)
146	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)
147	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)
148	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)
149	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)
150	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)
151	Askari Bank Limited	Final Report Issued	3-Jun-20	Non-Compliance of CDC Regulations	6.2.2
152	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)
153	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)
154	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)
155	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)
156	Concordia Securities (Private) Limited	Terminated	28-May-20	Voluntary Termination	15.10.1
157	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
158	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
159	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)
160	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)
161	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)
162	MCFSL-Trustee Allied Capital Protected Fund	Terminated	23-Apr-20	Voluntary Termination	15.10.1



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
163	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)
164	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)
165	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)
166	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)
167	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
168	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
169	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
170	Khawaja Securities (Pvt.) Limited	Censure Letter	2-Apr-20	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
171	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
172	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
173	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
174	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
175	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
176	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
177	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
178	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
179	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
180	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
181	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
182	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)
183	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)
184	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)
185	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)
186	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
187	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
188	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
189	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)



Disciplinary Register - Participants
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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
190	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)
191	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)
192	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)
193	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)
194	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)
195	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)
196	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)
197	BankIslami Pakistan Limited	Terminated	14-Feb-20	Voluntary Termintaion	15.10.1
198	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
199	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)
200	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
201	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
202	Luxor Securities (SMC-Private) Limited	Terminated	30-Jan-20	Voluntary Termintaion	15.10.1
203	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
204	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
205	MCFSL-Trustee Askari Islamic Asset Allocation Fund	Terminated	21-Jan-20	Voluntary Termintaion	15.10.1
206	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
207	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
208	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
209	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
210	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
211	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
212	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
213	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
214	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)
215	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)
216	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)
217	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)
218	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)
219	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)



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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
220	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)
221	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)
222	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)
223	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)
224	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)
225	Chenab Stock Services (Private) Limited	Terminated	31-Dec-19	Voluntary Termination	15.10.1
226	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
227	Abid Ali Habib Securities (Private) Limited	Terminated	11-Dec-19	Voluntary Termination	15.10.1
228	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)
229	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
230	Akhai Securities (Pvt.) Limited	Censure Letter	5-Dec-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.5A
231	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
232	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
233	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
234	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)
235	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
236	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
237	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
238	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
239	Jamshaid & Hasan Securities (Private) Limited	Terminated	27-Nov-19	Voluntary Termination	15.10.1
240	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
241	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)
242	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)
243	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)
244	Techno Fundamental Securities (Private) Limited	Terminated	21-Nov-19	Voluntary Termination	15.10.1
245	Schon Capital Markets Limited	Terminated	18-Nov-19	Voluntary Termination	15.10.1
246	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)
247	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)
248	Share Centre (Private) Limited	Terminated	7-Nov-19	Voluntary Termination	15.10.1
249	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)
250	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
251	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)
252	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
253	BankIslami Pakistan Limited	Terminated	16-Oct-19	Voluntary Termination	15.10.1
254	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
255	Al-Hoqani Securities & Investment Corporation (Private) Limited	Terminated	10-Oct-19	Voluntary Termination	15.10.1
256	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)
257	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)



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
258	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
259	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
260	South Asian Securities (Private) Limited	Terminated	26-Sep-19	Voluntary Termination	15.10.1
261	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)
262	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)
263	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)
264	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
265	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
266	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
267	MND Investment (Pvt.) Limited	Censure Letter	17-Sep-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
268	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)
269	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)
270	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
271	Gul Dhami 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
272	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
273	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)
274	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)
275	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)
276	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)
277	Msmariar 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
278	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
279	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
280	Tariq Sayeed Securities (Pvt) Limited	Terminated	4-Sep-19	Voluntary Termination	15.10.1
281	Ashfaq Ashraf Securities (Private) Limited	Terminated	2-Sep-19	Voluntary Termination	15.10.1
282	Nayyar Sheikh Securities (Pvt.) Limited	Terminated	30-Aug-19	Voluntary Termination	15.10.1
283	Haji Abdul Sattar Securities (Pvt.) Limited	Terminated	30-Aug-19	Voluntary Termination	15.10.1
284	M H Securities (Private) Limited	Terminated	27-Aug-19	Voluntary Termination	15.10.1
285	R.F.J. Equity (Private) Limited	Terminated	21-Aug-19	Voluntary Termination	15.10.1
286	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)
287	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)
288	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)
289	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)
290	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)
291	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)
292	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)
293	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)
294	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
295	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)



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
296	Topline Securities Limited	Censure Letter	15-Jul-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
297	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
298	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
299	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)
300	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)
301	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
302	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)
303	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
304	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)
305	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
306	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
307	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)
308	Diyanah Islamic Financial Services (Private) Limited	Terminated	11-Jun-19	Voluntary Termination	15.10.1
309	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
310	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
311	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
312	Nini Securities (Pvt.) Limited	Censure Letter	30-May-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.5A
313	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
314	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
315	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
316	Omni Capital Management (Private) Limited	Terminated	23-May-19	Voluntary Termination	15.10.1
317	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
318	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)
319	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)
320	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
321	KSR Stock Brokerage (Pvt) Limited	Terminated	13-May-19	Voluntary Termination	15.10.1
322	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)
323	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
324	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
325	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
326	SAL Securities (Pvt) Limited	Terminated	2-May-19	Voluntary Termination	15.10.1
327	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
328	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
329	EFG Hermes Pakistan Limited	Notice of Restriction & Censure	29-Apr-19	Non-Compliance of CDC Regulations	6.2.2 & 6.2.2A
330	Cassim Investment (Private) Limited	Terminated	19-Apr-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
331	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
332	Bearing 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
333	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
334	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
335	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
336	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
337	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
338	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
339	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
340	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
341	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
342	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
343	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
344	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
345	Pine Securities (Private) Limited	Terminated	22-Mar-19	Voluntary Termination	15.10.1
346	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)
347	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)
348	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)
349	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
350	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
351	Khanani Securities (Pvt.) Limited	Censure Letter	27-Feb-19	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.5A
352	N.U.A Securities (Pvt.) Limited	Censure Letter	27-Feb-19	Non-Compliance of CDC Regulations	6.2.2A & 6.2.3
353	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
354	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
355	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
356	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
357	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)
358	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)
359	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)
360	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
361	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
362	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



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
363	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)
364	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)
365	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)
366	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
367	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
368	Pearl Brokerage (Private) Limited	Terminated	31-Jan-19	Voluntary Termination	15.10.1
369	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)
370	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)
371	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)
372	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)
373	Fawad Yusuf 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)
374	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
375	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
376	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)
377	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)
378	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)
379	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)
380	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)
381	Saima Qaiser Securities (Pvt.) Limited	Censure Letter	25-Jan-19	Non-Compliance of CDC Regulations	6.2A.1
382	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)
383	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
384	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)
385	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
386	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
387	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)
388	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
389	Fair Deal Securities (Private) Limited	Terminated	16-Jan-19	Voluntary Termination	15.10.1
390	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)
391	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)
392	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)
393	KSR Stock Brokerage (Pvt) Ltd.	Removal of Restriction	15-Jan-19	Participant has complied with the Regulation 6.8.2	15.6.2
394	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)
395	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)
396	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)
397	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)
398	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)



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	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)
400	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)
401	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)
402	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)
403	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)
404	Sigma Leasing Corporation Limited	Suspended	31-Dec-18	Failure to settle the CDC outstanding dues.	-
405	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
406	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
407	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
408	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)
409	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)
410	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)
411	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
412	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)
413	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
414	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)
415	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)
416	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)
417	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)
418	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)
419	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
420	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)
421	Jahanzaib Securities (Pvt) Limited	Terminated	23-Nov-18	Voluntary Termination	15.10.1
422	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
423	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)
424	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
425	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)
426	Khayyam Securities (Private) Limited	Terminated	16-Nov-18	Voluntary Termination	15.10.1
427	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)
428	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)
429	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)
430	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)
431	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)
432	Mayari Securities (Private) Limited	Censure Letter	12-Nov-18	Non-Compliance of CDC Regulations	6.2.3
433	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)



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
434	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)
435	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
436	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)
437	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
438	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)
439	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)
440	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)
441	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
442	IGI Investment Bank Limited	Terminated	22-Oct-18	Voluntary Termination	15.10.1
443	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)
444	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
445	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)
446	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
447	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)
448	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
449	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)
450	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)
451	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)
452	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)
453	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)
454	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)
455	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
456	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
457	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)
458	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
459	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)
460	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)
461	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)
462	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
463	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)
464	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)
465	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)
466	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)
467	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)
468	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



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
469	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
470	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)
471	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)
472	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)
473	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)
474	Progressive Investment Management (Pvt.) Ltd	Removal of Restriction	18-Sep-18	Participant has removed causes of Restrictions	15.6.2
475	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)
476	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
477	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)
478	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)
479	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)
480	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)
481	Invest Forum (Private) Limited	Terminated	17-Sep-18	Voluntary Termination	15.10.1
482	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)
483	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)
484	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
485	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)
486	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
487	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
488	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)
489	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
490	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)
491	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)
492	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)
493	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)
494	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)
495	Javed Zakaria Gulabi Securities (Pvt.) Limited	Terminated	1-Aug-18	Voluntary Termination	15.10.1
496	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
497	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
498	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



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
499	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
500	HK Securities (Pvt.) Limited	Terminated	20-Jul-18	Voluntary Termination	15.10.1
501	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
502	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
503	First Dawood Investment Bank Limited	Terminated	13-Jul-18	Voluntary Termination	15.10.1
504	Darson Securities (Private) Limited	Terminated	9-Jul-18	Voluntary Termination	15.10.1
505	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)
506	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)
507	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)
508	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)
509	Msmarier 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)
510	Safe Securities (Private) Limited	Terminated	4-Jul-18	Voluntary Termination	15.10.1
511	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
512	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
513	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
514	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
515	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
516	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)
517	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
518	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
519	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)
520	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)
521	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)
522	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
523	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)
524	Adeel Zafar Securities (Private) Limited	Terminated	1-Jun-18	Voluntary Termination	15.10.1
525	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
526	First Zeiva (Private) Limited	Terminated	29-May-18	Voluntary Termination	15.10.1
527	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)
528	Pearl Brokerage Private Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
529	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
530	Continental Capital Management (Pvt) Ltd	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
531	Rahat Securities Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
532	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
533	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
534	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)
535	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)



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
536	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
537	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
538	Hamza Farhad Securities (Pvt.) Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
539	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
540	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
541	Punjab Capital Securities (Pvt.) Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	6.2.2A
542	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
543	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)
544	Dosslanis Securities (Pvt) Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
545	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)
546	First National Equities Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
547	Pace Investment & Securities (Private) Limited	Terminated	16-Apr-18	Voluntarily termination	15.10.1
548	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)
549	Mannoo Capital (Pvt.) Limited	Censure Letter	13-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
550	Askari Securities Limited	Censure Letter	9-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
551	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)
552	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)
553	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)
554	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)
555	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)
556	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)
557	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)
558	KP Securities (Pvt.) Limited	Censure Letter	28-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b)
559	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)
560	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)
561	Ali Husain Rajabali Limited	Terminated	22-Mar-18	Voluntary Termination	15.10.1
562	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)
563	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)
564	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)
565	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)
566	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)
567	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)
568	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)
569	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
570	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
571	Alfalsh 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)
572	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)
573	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)
574	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)
575	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)
576	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)
577	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)
578	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)



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
579	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)
580	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)
581	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)
582	Wisdom Securities (Private) Limited	Terminated	22-Feb-18	Voluntary Termination	15.10.1
583	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)
584	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
585	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
586	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
587	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
588	ICON Capital Management (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
589	Fortune Securities Limited - LSI	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
590	Alfalah Securities (Private) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
591	M.M. Securities (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 8.2.1
592	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)
593	New Peak Securities (Pvt.) Limited	Censure Letter	15-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
594	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
595	M.A.N Securities (Pvt.) Limited	Terminated	14-Feb-18	Voluntary Termination	15.10.1
596	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)
597	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
598	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)
599	BlackStone Equities (Private) Limited	Terminated	26-Jan-18	Voluntary Termination	15.10.1
600	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)
601	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
602	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
603	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)
604	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
605	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
606	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)
607	Asad Mustufa 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)
608	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)
609	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
610	First Capital Equities Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
611	A. N. Equities (Pvt.) Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
612	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
613	Strongman Securities (Pvt.) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
614	Techno Fundamental Securities (Pvt) Ltd.	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
615	Maan Securities (Private) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
616	Sherman Securities (Private) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
617	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
618	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)
619	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
620	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
621	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



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	XPERT Securities (Private) Limited	Restricted	20-Dec-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)
623	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
624	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)
625	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)
626	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)
627	Invest Forum (SMC-Private) Limited	Restricted	13-Dec-17	Due to the cancellation of liscense by SECP as a securities broker vide order dated December 13, 2017.	15.2.1(a)
628	HK Securities (Private) Limited	Restricted	13-Dec-17	Due to the cancellation of liscense by SECP as a securities broker vide order dated December 13, 2017.	15.2.1(a)
629	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)
630	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)
631	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)
632	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)
633	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
634	Topline Securities Limited	Censure Letter	29-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.7.1
635	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
636	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
637	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
638	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
639	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
640	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
641	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
642	Din Capital Limited	Restricted	17-Nov-17	Consequent to the suspension of liscense by SECP as a securities broker vide order dated November 08, 2017	15.2.1(a)
643	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
644	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
645	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
646	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)
647	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
648	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
649	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
650	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
651	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
652	Din Capital Limited	Revised Notice of Restriction	8-Nov-17	Due to advise of PSX vide email dated November 07, 2017	15.6.2
653	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)
654	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)
655	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)
656	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)
657	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)
658	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
659	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)
660	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)
661	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)
662	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)
663	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)
664	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
665	Earth Securities (Private) Limited	Terminated	16-Oct-17	Voluntary Termintaion	15.10.1
666	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
667	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
668	Switch Securities (Private) Limited	Suspended	13-Oct-17	Consequent to the suspension of liscence by Securities and Exchange Commission of Pakistan vide order dated October 11, 2017	15.2.1(b)
669	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
670	Security Investment Bank Limited	Terminated	29-Sep-17	Voluntary Termintaion	15.10.1
671	Kausar Securities (Private) Limited	Terminated	27-Sep-17	Voluntary Termintaion	15.10.1
672	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
673	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
674	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
675	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)
676	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)
677	Global Securities Pakistan Limited	Terminated	21-Sep-17	Voluntary Termintaion	15.10.1
678	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
679	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)
680	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)
681	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
682	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
683	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
684	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
685	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
686	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
687	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
688	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
689	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
690	Adeel Zafar Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6.
691	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
692	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
693	AAA Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
694	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
695	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
696	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
697	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
698	Amanah Investments Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6.
699	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
700	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
701	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
702	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
703	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
704	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
705	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
706	UNEX Securities (Pvt) Limited	Censure Letter	4-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
707	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
708	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)
709	NIB Bank Limited	Terminated	1-Aug-17	Voluntary Termination	15.10.1
710	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
711	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
712	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
713	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
714	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)
715	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



Disciplinary Register - Participants
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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
716	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)
717	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)
718	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)
719	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
720	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
721	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
722	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)
723	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
724	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
725	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)
726	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)
727	Allied Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
728	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)
729	Interactive Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
730	Chippa Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
731	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)
732	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)
733	MAN Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
734	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)
735	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)
736	MAC Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
737	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)
738	Motiwala Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
739	MY Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
740	AAU Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
741	Abid Ali Habib Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
742	Ahsam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
743	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)
744	BMS Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
745	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)
746	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)
747	Fort Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
748	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)
749	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)
750	Khayyam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
751	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)
752	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)
753	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)
754	Schon Capital Markets Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
755	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)
756	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)



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
757	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)
758	Union Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
759	Venus Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
760	ZM Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
761	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)
762	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)
763	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)
764	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)
765	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)
766	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
767	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
768	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
769	ASA STOCKS (PVT.) LIMITED	Censure Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
770	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
771	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)
772	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
773	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
774	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
775	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
776	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
777	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
778	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
779	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
780	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
781	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
782	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
783	Networth Securities Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
784	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
785	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
786	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)
787	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	-
788	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)
789	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
790	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
791	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
792	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
793	TARIQ VOHRA SECURITIES (PVT) LIMITED	Censure Notice	30-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
794	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



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
795	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
796	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
797	H.H.K. Securities (Pvt.) Limited	Notice of Restriction & Penalty	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
798	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
799	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
800	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
801	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)
802	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)
803	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
804	First Equity Modaraba	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
805	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
806	Surmawala Securities (Private) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
807	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
808	IQBAL USMAN KODVAVI 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
809	MULTILINE SECURITIES (PVT.) LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
810	Dattoo Securities (Pvt.) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
811	SECURITY INVESTMENT BANK LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.6 & 6.2.6
812	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)
813	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
814	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
815	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)
816	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)
817	ESCORTS CAPITAL LIMITED	Restricted	6-Mar-17	Participant has not complied with Regulation 6.8.1 of the CDC Regulations,	15.2.1(a)
818	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)
819	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)
820	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)
821	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)
822	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)
823	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)
824	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)
825	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)
826	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)
827	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)



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
828	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)
829	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)
830	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)
831	Ab Equities (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)
832	Universal Equities (Private) Limited	Terminated	2-Mar-17	Voluntary Termination	15.10.1
833	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
834	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
835	MAM Securities (Private) Limited	Suspended	20-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
836	Sunrise Capital (Private) Limited	Suspended	17-Feb-17	Due to non-compliances of regulatory provisions	15.2.1(b)
837	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.
838	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
839	M. R. Securities (SMC-PVT.) Limited	Intention of further Suspension	6-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
840	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)
841	AWJ Securities (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
842	Sunrise Capital (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
843	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)
844	Zafar Securities (Private) Limited	Removal of Restriction	30-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
845	Sonia Shahzad Securities (Private) Limited	Terminated	24-Jan-17	Voluntary Termination	15.10.1
846	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
847	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
848	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)
849	AM Chaudhry Securities (Private) Limited	Removal of Restriction	13-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
850	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
851	Mashhadi Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
852	SIS Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
853	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)
854	Allied Bank Limited - LSE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
855	Allied Bank Limited- ISE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
856	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
857	Allied Bank Limited- KSE Branch	Extension of intention to suspend	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
858	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
859	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
860	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
861	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



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
862	Malik Securities (Private) Limited	Terminated	6-Jan-17	Voluntary Termination	15.10.1
863	S A Securities (Pvt) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
864	SIS Securities (Private) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
865	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)
866	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)
867	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)
868	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)
869	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)
870	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)
871	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)
872	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)
873	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)
874	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)
875	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)
876	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)
877	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)
878	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)
879	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)
880	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)
881	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)
882	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)
883	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)
884	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)
885	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)
886	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)
887	Allied Bank Limited- KSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
888	Allied Bank Limited - LSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)



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
889	Allied Bank Limited- ISE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
890	Allied Bank Limited- KSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
891	Allied Bank Limited - LSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
892	Allied Bank Limited- ISE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
893	Sunrise Capital (Private) Limited	Restricted	21-Dec-16	Due to contravention of provisions of the CDC Regulations	15.2.1(a)
894	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
895	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
896	A. I. Securities (Private) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
897	B & B Securities (Private) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
898	Continental Capital Management (Pvt) Ltd	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
899	Fawad Yusuf Securities (Pvt.) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
900	Irfan Mazhar Securities (Pvt.) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
901	Khanani Securities (Pvt.) Limited	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
902	M H Securities (Pvt.) Limited	Censure Notice	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6
903	Muhammad Tariq Moti Securities (Pvt) Ltd.	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
904	Vector Securities (Pvt.) Ltd.	Censure Notice	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6, 3.7
905	Z.A. Ghaffar Securities (Private) Ltd.	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
906	Ghory's Securities (Pvt.) Limited	Terminated	9-Dec-16	Voluntary Termination	15.10.1
907	Paramount Securities (SMC-Private) Limited	Terminated	8-Dec-16	Voluntary Termination	15.10.1
908	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
909	Y.S. Stocks (Private) Limited	Terminated	2-Dec-16	Voluntary Termination	15.10.1
910	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)
911	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, 6.25, 6.2.6, 3.7
912	Moonaco Securities (Pvt.) Ltd	Notice of Restriction	22-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
913	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
914	First Punjab Modaraba	Terminated	14-Nov-16	Voluntary Termination	15.10.1
915	MYM Equities (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
916	Fort Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
917	Abid Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
918	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, 6.25, 6.2.6, 3.7
919	Friendly Securities (Pvt.) Limited	Notice of Restriction	4-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.25, 6.2.6, 3.7
920	Al Habib Capital Markets (Pvt.) Limited	Notice of Restriction	1-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
921	Icon Capital Management (Private) Limited	Censure Notice	1-Nov-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6, 3.7
922	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
923	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)
924	DJM Securities (Pvt.) Limited	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
925	Muhammad Salim Kasmani Securities	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
926	Prime Securities (Pvt.) Limited	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
927	Q. Ain Khanani Securities (Pvt.) Limited	Notice of Restriction	27-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
928	SAAO Capital (Pvt.) Limited	Notice of Restriction	27-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
929	Akbani Securities (SMC-PVT) Limited	Terminated	25-Oct-16	Voluntary Termination	15.10.1
930	Cassim Investments (Pvt.) Limited	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
931	Ample Securities (Private) Limited	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
932	Gmi Capital Securities (Pvt) Ltd.	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
933	Al-Hoqani Securities & Investment Corporation (Pvt.) Ltd	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
934	Dalal Securities (Pvt.) Limited	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
935	Investment Managers Securities (Pvt.) Ltd	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
936	Zillion Capital Securities (Pvt.) Limited	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
937	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
938	Prosperity Securities (Private) Limited	Terminated	18-Oct-16	Voluntary Termination	15.10.1
939	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
940	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)
941	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
942	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
943	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)
944	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)
945	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)
946	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)
947	Star Securities (Private) Limited	Terminated	10-Oct-16	Voluntary Termination	15.10.1
948	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)
949	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
950	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
951	MBJ Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
952	Taha Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
953	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)
954	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)
955	Smart Investments Capital Management (Pvt.) Limited	Terminated	8-Sep-16	Voluntary Termination	15.10.1
956	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
957	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)
958	Nizam Securities (Private) Limited	Terminated	1-Sep-16	Voluntary Termination	15.10.1
959	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)
960	AB Equities (Private) Limited	Removal of Suspension	26-Aug-16	Participant has complied with the Regulation 6.8.2	15.6.2
961	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)
962	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)
963	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)
964	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)



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
965	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)
966	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)
967	H.M.Y. Securities (Private) Limited	Terminated	19-Aug-16	Voluntary Termination	15.10.1
968	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)
969	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
970	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
971	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)
972	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
973	Alpha Beta Capital Markets (Private) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
974	Amin Tai Securities (Private) Limited	Terminated	20-Jul-16	Voluntary Termination	15.10.1
975	Concept Securities (Private) Limited	Terminated	13-Jul-16	Voluntary Termination	15.10.1
976	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)
977	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)
978	Platinum Capital Management (Private) Limited	Terminated	24-Jun-16	Voluntary Termination	15.10.1
979	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)
980	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
981	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
982	Dugan Securities (Private) Limited	Terminated	6-Jun-16	Voluntary Termination	15.10.1
983	Shehzad Chamdia Securities (Pvt.) Limited	Terminated	3-Jun-16	Voluntary Termination	15.10.1
984	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
985	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)
986	Mikon Securities (Pvt.) Limited	Terminated	27-May-16	Voluntary Termination	15.10.1
987	Sohail Raza Moosani (SMC-Pvt) Limited	Terminated	25-May-16	Voluntary Termination	15.10.1
988	Main Muhammad Akram Securities (Pvt.) Limited	Terminated	18-May-16	Voluntary Termination	15.10.1
989	Muhammad Bashir Kasmani Securities (Pvt.) Limited	Terminated	17-May-16	Voluntary Termination	15.10.1
990	Munaf Sattar Securities (Pvt.) Limited	Terminated	9-May-16	Voluntary Termination	15.10.1
991	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)
992	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
993	Uzma Shabbir Securities (Private) Limited	Terminated	12-Apr-16	Voluntary Termination	15.10.1
994	H.R. Securities & Brokerage (Private) Limited	Terminated	7-Apr-16	Voluntary Termination	15.10.1
995	Al Asar Securities (Private) Limited	Terminated	6-Apr-16	Voluntary Termination	15.10.1
996	Akd Analytics (Private) Limited	Removal of Suspension	5-Apr-16	Participant has complied with the Regulation 6.8.2	15.6.2
997	Samba Bank Limited	Terminated	25-Mar-16	Voluntary Termination	15.10.1
998	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



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
999	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)
1000	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
1001	A.H.K.D. Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1002	Ab Equities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1003	Akd Analytics (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1004	Pak United Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1005	Invisor Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1006	QF Securities (Pvt) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1007	Khoja'S Capital Management (Pvt.) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1008	Al-Mal Securities & Services Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1009	Mohammed Hanif Moosa	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1010	Investec Securities Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1011	Javed Omer Vohra & Company Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1012	Yousuf Ebrahim	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1013	Shahid Hassan Awan	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1014	Mohammad Tanveer Malik	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1015	Islamabad Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1016	Orion Investments (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
1017	Tariq Sayeed Securities (Private) Limited	Removal of Restriction	1-Mar-16	Participant has complied with the Regulation 6.8.2	15.6.2
1018	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)
1019	Elixir Securities Pakistan (Pvt.) Limited	Removal of Restriction	24-Feb-16	Participant has complied with the Regulation 6.8.1	15.6.2
1020	Fincap Investments (Private) Limited	Notice in respect of Participant	3-Feb-16	Participant has complied with the Regulation 6.8.2	15.6.2
1021	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
1022	Trust Capital (Private) Limited	Suspended	25-Jan-16	on the completion of 60 days of Restriction.	15.3.7(b)
1023	Saima Qaiser Securities (Pvt.) Limited	Removal of Restriction	22-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
1024	Safe Securities (Private) Limited	Terminated	18-Jan-16	Voluntary Termination	15.10.1
1025	JCR Capital Securities (Private) Limited	Removal of Restriction	13-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
1026	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
1027	SMB Securities (Private) Limited	Removal of Restriction	30-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1028	Kayzone Capital Markets (SMC-Private) Limited	Restricted	23-Dec-15	Due 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)
1029	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
1030	Faith Securities (Private) Limited	Removal of Restriction	18-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1031	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)
1032	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)
1033	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)
1034	Aziz Fidhoussein & 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)
1035	Shaukat Shaffi Securities (Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1036	First Fidelity Leasing Modaraba	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
1037	Sohail Raza Moosani (Smc-Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	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
1038	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)
1039	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)
1040	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)
1041	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)
1042	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)
1043	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)
1044	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)
1045	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)
1046	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)
1047	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)
1048	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)
1049	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)
1050	Aziz Fidahusein & Company (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2. of the CDC Regulation.	15.3.1(a)
1051	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)
1052	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)
1053	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)
1054	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)
1055	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)
1056	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)
1057	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)
1058	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)
1059	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)
1060	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)
1061	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)



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	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)
1063	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)
1064	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)
1065	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)
1066	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)
1067	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)
1068	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
1069	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)
1070	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)
1071	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)
1072	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)
1073	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)
1074	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
1075	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
1076	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
1077	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
1078	Hatim Investments & Securities (Pvt.) Limited	Terminated	18-Sep-15	Voluntary Termination	15.10.1
1079	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
1080	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	31-Aug-15	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1081	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)
1082	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
1083	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)
1084	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
1085	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
1086	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



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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1087	WE Financial Services Limited	Notice of Imposition of Penalty	24-Jul-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1088	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)
1089	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)
1090	Aziz Fidahusein & 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)
1091	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)
1092	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
1093	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
1094	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)
1095	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
1096	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)
1097	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)
1098	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
1099	Investforum (Smc-Pvt) Limited	Notice of Imposition of Penalty	19-Jun-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1100	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
1101	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)
1102	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)
1103	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)
1104	MAK Securities (Private) Limited	Terminated	30-Apr-15	Voluntary Termination	15.10.1
1105	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)
1106	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1107	Alfa Adhi Securities (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1108	Ali Husain Rajabali Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1109	AWJ Securities (Private) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1110	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1111	Prime Securities (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
1112	AZEE Securities (Private) Limited	Notice of Imposition of Penalty	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1113	Alfalah Securities (Private) Limited	Notice of Imposition of Penalty	14-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1114	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
1115	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.	-
1116	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



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
1117	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
1118	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
1119	Moosani Securities (Pvt.) Limited	Terminated	6-Mar-15	Voluntary Termination	15.10.1
1120	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
1121	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
1122	Capital Vision Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Feb-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1123	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
1124	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
1125	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
1126	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
1127	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
1128	Aazeb Securities (Private) Limited	Terminated	24-Dec-14	Voluntary Termination	15.10.1
1129	Dosslanis Securities (Pvt.) Limited	Censure Notice	12-Dec-14	Non-Compliance of CDC Regulations	6.2.6
1130	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.	-
1131	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.	-
1132	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)
1133	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)
1134	AFIC Securities (Private) Limited	Terminated	4-Sep-14	Voluntary Termination	15.10.1
1135	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)
1136	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
1137	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
1138	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
1139	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)
1140	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
1141	Ghory's Securities (Private) Limited	Suspended	11-Jun-14	Consequent to completion of 60 Business Day of Restriction	15.3.7(b)
1142	Invest Capital Markets Limited	Notice of Imposition of Penalty	10-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1143	High Land Securities (Pvt.) Limited	Censure Notice	5-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1144	Din Capital (Pvt.) Limited	Censure Notice	8-May-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1145	Ayub Chaudhry Investments (Pvt.) Limited	Censure Notice	24-Apr-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1146	Muhammad Tariq Moti Securities (Pvt.) Limited	Censure Notice	10-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
1147	SAAO Capital (Pvt.) Limited	Censure Notice	9-Apr-14	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1148	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	9-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
1149	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
1150	Islamabad Securities (Private) Limited	Suspended	7-Apr-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE	15.2.1(b)
1151	Aziz Fidahusein & Company (Pvt.) Limited	Censure Notice	26-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
1152	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
1153	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)
1154	Alfalah Securities (Private) Limited	Censure Notice	21-Mar-14	Non-Compliance of CDC Regulations	6.2.6
1155	Excel Securities (Pvt.) Limited	Suspended	21-Mar-14	Pursuant to directive dated February 20, 2014 of the SECP.	15.2.1(b)
1156	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)
1157	Multiline Securities (Pvt.) Limited	Censure Notice	13-Mar-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
1158	Apex Capital Securities (Private) Limited	Censure Notice	4-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1159	Pearl Brokerage (Pvt.) Limited	Notice of Imposition of Penalty	4-Mar-14	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1160	Maximus Securities (Private) Limited	Terminated	4-Mar-14	Voluntary Termination	15.10.1
1161	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)
1162	Highlink Capital (Private) Limited	Suspended	20-Feb-14	Pursuant to order dated February 20, 2014 of the SECP.	15.2.1(b)
1163	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)
1164	Capital Vision Securities (Pvt.) Limited	Censure Notice	14-Feb-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
1165	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
1166	Nasir Ali Shah Bukhari	Terminated	14-Feb-14	Voluntary Termination	15.10.1
1167	Prime Securities (Pvt.) Limited	Censure Notice	13-Feb-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1168	Escorts Capital Limited	Notice of Imposition of Penalty	31-Jan-14	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1169	G. R. Securities (SMC-Pvt.) Limited	Terminated	30-Jan-14	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE	15.3.7
1170	Maximus Securities (Private) Limited	Restricted	29-Jan-14	Consequent to expiry of broker registration as notified by LSE.	15.2.1(a)
1171	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)
1172	Diyana 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)
1173	SNM Securities (Private) Limited	Restricted	26-Dec-13	Consequent to deactivation of all trading terminals by the KSE	15.1.1(a)
1174	M. J. Memon Securities (Pvt.) Limited	Censure Notice	18-Dec-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1175	Maha Securities (Pvt.) Limited	Censure Notice	9-Dec-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1176	Highlink Capital (Private) Limited	Restricted	29-Nov-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1177	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
1178	Hameed Mukhtar Chaudhry	Terminated	27-Nov-13	Voluntary Termination	15.10.1
1179	Excel Securities (Pvt.) Limited	Censure Notice	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1180	Mian Muhammad Akram Securities (Pvt.) Limited	Censure Notice	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1181	MTM Securities (Private) Limited	Terminated	20-Nov-13	Voluntary Termination	15.10.1
1182	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Nov-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1183	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)
1184	Trade-In-Securities (Pvt.) Limited	Censure Notice	7-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1185	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	6-Nov-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1186	MCFSL - Trustee MCFSL Trustee Atlas Fund of Funds	Terminated	6-Nov-13	Voluntary Termination	15.10.1
1187	Jamshaid & Hasan Securities (Pvt.) Limited	Notice of Imposition of Penalty	5-Nov-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1188	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
1189	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
1190	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)
1191	Fair Edge Securities (Pvt.) Limited	Censure Notice	24-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1192	AZEE Securities (Private) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1193	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1194	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)
1195	Dosslanis Securities (Pvt.) Limited	Notice of Imposition of Penalty	2-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1196	Gul Dhami Securities (Pvt.) Limited	Censure Notice	30-Sep-13	Non-Compliance of CDC Regulations	6.2.6
1197	AMCAP Securities (Private) Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1198	First Pakistan Securities Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1199	Dattoo Securities (Pvt.) Limited	Censure Notice	27-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1200	Intermarket Securities Limited	Censure Notice	26-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1201	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)
1202	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1203	Oriental Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1204	Standard Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1205	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
1206	SNM Securities (Private) Limited	Censure Notice	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1207	Axis Global Limited	Notice of Imposition of Penalty	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1208	Sakarwala Capital Securities (Pvt.) Limited	Censure Notice	20-Aug-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1209	Akhai Securities (Pvt.) Limited	Notice of Imposition of Penalty	31-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1210	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
1211	DJM Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-Jul-13	Non-Compliance of CDC Regulations	6.7.2 & 6.2A.1
1212	Live Securities Limited	Notice of Imposition of Penalty	19-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1213	Invest Capital Markets Limited	Notice of Imposition of Penalty	11-Jul-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.1
1214	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
1215	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
1216	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
1217	Arif Majid Chaudhary	Terminated	26-Jun-13	Voluntary Termination	15.10.1
1218	Continental Capital Management (Pvt.) Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1219	Irfan Mazhar Securities (Pvt.) Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1220	KASB Securities Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
1221	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
1222	Mian Nusrat-Ud-Din	Notice of Imposition of Penalty	21-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1223	Darson Securities (Private) Limited	Censure Notice	19-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1224	M.R.A. Securities (Pvt.) Limited	Censure Notice	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1225	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
1226	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
1227	Live Securities Limited	Extension of Restricted Period	10-Jun-13	Due to non-resolution of investor's complaint against the Participant	15.3.1
1228	Alfalah 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
1229	Progressive Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.6
1230	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
1231	Ghani Osman Securities (Pvt.) Limited	Censure Notice	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1232	Multiline Securities (Pvt.) Limited	Censure Notice	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6
1233	Moonaco Securities (Pvt.) Limited	Censure Notice	3-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1234	Bawa Securities (Pvt.) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1235	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
1236	Alfa Adhi Securities (Pvt.) Limited	Censure Notice	24-May-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1237	Adeel & Nadeem Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1238	Aziz Fidahusein & Company (Pvt.) Limited	Notice of Imposition of Penalty	22-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1239	Hameed Mukhtar Chaudhry	Removal of Restriction	21-May-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
1240	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
1241	ZHV Securities (Private) Limited	Terminated	15-May-13	Consequent to Forfeiture of TRE Certificate by KSE	15.3.7
1242	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Suspended	15-May-13	Consequent to suspension of TRE Certificate by KSE	15.2.1(b)
1243	Saliha Haroon	Terminated	15-May-13	Voluntary Termination	15.10.1
1244	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
1245	We Financial Services Limited	Notice of Imposition of Penalty	14-May-13	Non-Compliance of CDC Regulations	6.2.2 and 6.7.3
1246	Zahid Ali Habib	Terminated	14-May-13	Voluntary Termination	15.10.1
1247	SAZ Capital Securities (Pvt.) Limited	Censure Notice	9-May-13	Non-Compliance of CDC Regulations	6.2.6
1248	Arif Latif	Terminated	9-May-13	Voluntary Termination	15.10.1
1249	Mian Nusrat-Ud-Din	Terminated	9-May-13	Voluntary Termination	15.10.1
1250	Mohammad Amer Riaz	Terminated	9-May-13	Voluntary Termination	15.10.1
1251	M. Ayub Ch.	Terminated	9-May-13	Voluntary Termination	15.10.1
1252	Sajid Masood	Terminated	9-May-13	Voluntary Termination	15.10.1
1253	Saima Qaiser	Terminated	9-May-13	Voluntary Termination	15.10.1
1254	First Fidelity Leasing Modaraba	Restricted	8-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1255	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
1256	Seven Star Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1257	Arif Latif	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1258	Mian Nusrat-Ud-Din	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1259	Mohammad Amer Riaz	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1260	Zahid Ali Habib	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1261	Arif Majid Chaudhary	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1262	Saliha Haroon	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1263	M. Ayub Ch.	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1264	Hameed Mukhtar Ch.	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1265	Nasir Ali Shah Bukhari	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1266	Sajid Masood	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1267	Saima Qaiser	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1268	H. M. Idrees H. Adam	Terminated	6-May-13	Voluntary Termination	15.10.1
1269	Tewfiq Mohammad Amin Fikree	Terminated	6-May-13	Voluntary Termination	15.10.1



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1270	Muhammad Tariq Moti	Terminated	6-May-13	Voluntary Termination	15.10.1
1271	Rayomund J.H.P Byramji	Terminated	6-May-13	Voluntary Termination	15.10.1
1272	Dawood Mohammad	Terminated	6-May-13	Voluntary Termination	15.10.1
1273	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
1274	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
1275	A. I. Securities (Private) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1276	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
1277	Sajid Masood	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1278	Stock Street (Private) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.2A.1 & 9.1.1
1279	ZHV Securities (Private) Limited	suspended	11-Apr-13	Consequent to suspension of TRE Certificate by the KSE	15.2.1(b)
1280	Dalia Securities (Pvt.) Limited	Censure Notice	9-Apr-13	Non-Compliance of CDC Regulations	6.2.6
1281	Pearl Brokerage (Pvt.) Limited	Censure Notice	9-Apr-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
1282	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)
1283	Blackstone Equities (Pvt.) Limited	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1284	Creative Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1285	Prosperity Securities (SMC-Pvt.) Limited	suspended	3-Apr-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
1286	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
1287	Techno Fundamental Securities (Pvt.) Limited	Censure Notice	27-Mar-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
1288	Fair Deal Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1289	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
1290	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
1291	Ms. Saliha Haroon	Notice of Imposition of Penalty	26-Mar-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1292	Alfalsh Securities (Private) Limited	Removal of Restriction	25-Mar-13	Consequent to restoration of trading right entitlement certificate by the KSE	15.6.2
1293	First National Equities Limited	Removal of Intention to Suspend	18-Mar-13	Participant has settled the fine imposed by CDC	15.9.1(e)
1294	Switch Securities (Private) Limited	Censure Notice	15-Mar-13	Non-Compliance of CDC Regulations	6.2.6
1295	Alfalsh Securities (Private) Limited	Restricted	15-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
1296	ZHV Securities (Private) Limited	Restricted	13-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
1297	Friendly Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1298	Khanani Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.2A.1
1299	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
1300	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)
1301	M. J. Memon Securities (Pvt.) Limited	Censure Notice	27-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
1302	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)
1303	Sherman Securities (Pvt.) Limited	Notice of Imposition of Penalty	20-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1304	GMI Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	19-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1305	KSR Stock Brokerage (Pvt.) Limited	Censure Notice	15-Feb-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 9.1.1
1306	Arif Majid Chaudhry	Restricted	15-Feb-13	SECP directive pursuant to Rule 7 of Central Depository Companies (Establishment and Regulation) Rules, 1996	-
1307	Baba Equities (Pvt.) Limited	Censure Notice	12-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
1308	MCBFSL - Trustee AH Dow Jones Pak Titans 15 Index Fund	Terminated	12-Feb-13	Voluntary Termination	15.10.1
1309	Safe Securities (Private) Limited	Censure Notice	11-Feb-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1310	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
1311	Arif Majid Chaudhry	Removal of Suspension	11-Feb-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
1312	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



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
1313	Habib Metropolitan Financial Services Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1314	Infinite Securities Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
1315	Muhammad Ayub Chaudhry	Notice of Imposition of Penalty	28-Jan-13	Non-Compliance of CDC Regulations	6.2.2 & 9.1.1
1316	Jahanzaib Gondal	Terminated	24-Jan-13	Voluntary Termination	15.10.1
1317	A. S. Securities (Private) Limited	Suspended	11-Jan-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
1318	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)
1319	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)
1320	AWJ Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1321	Excel Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
1322	Zafar Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1323	Imperial Investments (Private) Limited	Terminated	24-Dec-12	Consequent to expulsion of Participant by the KSE.	15.3.7
1324	ACE Securities (Private) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1325	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
1326	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
1327	Ahmad Shoaib Akram	Terminated	18-Dec-12	Voluntary Termination	15.10.1
1328	Arif Majid Chaudhry	Suspended	17-Dec-12	Consequent to suspension of trading right entitlement certificate by the LSE	15.2.1(b)
1329	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)
1330	Arif Majid Chaudhry	Restricted	14-Dec-12	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
1331	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)
1332	Arif Majid Chaudhry	Intention to Suspend	30-Nov-12	Due to failure to pay CDC dues	15.9.1(e)
1333	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
1334	Imperial Investments (Private) Limited	Suspended	13-Nov-12	Consequent to suspension of trading right entitlement certificate by the ISE	15.2.1(b)
1335	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	30-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1336	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
1337	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)
1338	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	19-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1339	Pearl Securities Limited	Notice of Imposition of Penalty	18-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1340	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)
1341	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)
1342	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)
1343	Dattoo Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1344	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
1345	Rayomund J.H.P. Byramji	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1346	Pearl Capital Management (Private) Limited	Terminated	4-Oct-12	Membership suspended by the KSE.	15.3.7
1347	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
1348	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	28-Sep-12	Non-Compliance of CDC Regulations	6.2 & 6.2.6
1349	Gul Dhami Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Sep-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1350	F.M. Securities (Pvt.) Limited	Notice of Imposition of Penalty	14-Sep-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
1351	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



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
1352	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
1353	Jahangir Siddiqui & Company Limited	Terminated	11-Sep-12	Voluntary Termination	15.10.1
1354	Dosslanis Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
1355	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)
1356	Pearl Capital Management (Private) Limited	Suspended	24-Aug-12	Membership suspended by the KSE.	15.2.1(b)
1357	NBP Trustee - NI(UT) (LOC) Fund	Terminated	15-Aug-12	Voluntary Termination	15.10.1
1358	First Pakistan Securities Limited	Notice of Imposition of Penalty	9-Aug-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
1359	Switch Securities (Private) Limited	Removal of Intention	8/3/2012	Participant has settled the CDC outstanding dues	15.9.1(e)
1360	Unex Securities (Pvt.) Limited	Censure Notice	1-Aug-12	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
1361	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
1362	Arif Majid Chaudhry	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1363	Live Securities Limited	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
1364	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
1365	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
1366	Salma	Terminated	20-Jul-12	Voluntary Termination	15.10.1
1367	YKD Securities (Pvt.) Limited	Terminated	19-Jul-12	Voluntary Termination	15.10.1
1368	Al-Hamd Investment and Securities (Private) Ltd.	Terminated	19-Jul-12	Voluntary Termination	15.10.1
1369	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
1370	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
1371	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
1372	Al-Hamd Investment and Securities (Private) Ltd.	Suspended	25-Jun-12	Consequent to completion of 60 Business Days of Restrictions	15.3.7(b)
1373	Salman Capital Investments (Private) Limited	Terminated	22-Jun-12	Voluntary Termination	15.10.1
1374	Invisor Securities (Private) Limited	Removal of Restriction	18-Jun-12	Consequent to change of status as an Active Member by KSE	15.6.2
1375	Dawoodi Alibhoy Morkas	Terminated	14-Jun-12	Voluntary Termination	15.10.1
1376	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Terminated	13-Jun-12	Consequent to cancellation of the membership by the ISE	15.3.7
1377	Beaming Investment and Securities (Private) Limited	Suspended	8-Jun-12	Consequent to Suspension of Membership by the ISE.	15.2.1(b)
1378	United Capital Securities (Private) Limited	Terminated	6/3/2012	Consequent to expulsion of Participant by the KSE.	15.3.7
1379	H.H.K. Securities (Pvt.) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1380	Khoja's Capital Management (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1381	Mr. Haroon Suleman	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1382	MAK Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1383	Motiwala Securities (Private) Limited	Restricted	3-Jun-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1384	Naveed H. M. Idrees	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1385	Latif Suleman Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1386	H.H.K. Securities (Pvt.) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
1387	Motiwala Securities (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
1388	Khoja's Capital Management (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
1389	Khawaja Securities (Pvt.) Limited	Removal of Suspension	30-May-12	Consequent to restoration of trading terminals	15.6.2
1390	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Suspended	28-May-12	Consequent to Suspension of membership by the ISE.	15.2.1(b)
1391	Beaming Investment and Securities (Private) Limited	Restricted	28-May-12	Consequent to Switching off trading terminals by the ISE.	15.2.1(a)
1392	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
1393	SAL Securities (Pvt.) Limited	Censure Notice	25-May-12	Non-Compliance of CDC Regulations	6.2.6 & A041
1394	A.H.K.D. Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1395	Invisor Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)
1396	Arif Habib Securities Limited	Terminated	23-May-12	Voluntary Termination	15.10.1
1397	Escorts Investment Bank Limited	Terminated	22-May-12	Voluntary Termination	15.10.1
1398	MCFSL - Trustee UBL Capital Protected Fund-II	Terminated	22-May-12	Voluntary Termination	15.10.1
1399	Stock Master Securities (Private) Limited	Terminated	16-May-12	Consequent to Expulsion of the membership by the LSE	15.3.7
1400	Latif Suleman Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
1401	Aqeel Karim Dhedhi Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
1402	Hum Securities Limited	Terminated	8-May-12	Voluntary Termination	15.10.1
1403	Khoja's Capital Management (Private) Limited	Intention to Suspend	30-Apr-12	Due to failure to pay CDC dues	15.9.1(e)
1404	Naveed H. M. Idrees	Terminated	30-Apr-12	Voluntary Termination	15.10.1
1405	Beaming Investment and Securities (Private) Limited	Restricted	27-Apr-12	Consequent to Switching off of trading terminals by the ISE.	15.2.1(a)
1406	Y. S. Securities & Services (Private) Limited	Terminated	24-Apr-12	Consequent to Expulsion by the LSE	15.3.7
1407	Trust Capital (Private) Limited	Restricted	18-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
1408	Arif Majid Chaudhry	Removal of Intention to Suspend	18-Apr-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1409	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
1410	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)
1411	Salman Capital Investments (Private) Limited	Restricted	12-Apr-12	Consequent to change of status as inactive member	15.2.1(a)
1412	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)
1413	Y. S. Securities & Services (Private) Limited	Suspended	10-Apr-12	Consequent to Suspension of membership by the LSE.	15.2.1(b)
1414	Y. S. Securities & Services (Private) Limited	Restricted	9-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
1415	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)
1416	Dawoodi Alibhoy Morkas	Restricted	5-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
1417	Al-Haq Securities (Pvt.) Limited	Censure Notice	30-Mar-12	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
1418	Ms. Saliha Haroon	Censure Notice	30-Mar-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
1419	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)
1420	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)
1421	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)
1422	Harvest Smartrend Sec. (Private) Limited	Removal of Intention	27-Mar-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1423	Universal Equities (Private) Limited	Restricted	26-Mar-12	Non-Renewal of Broker Registration Certificate	15.2.1(a)
1424	MAK Securities (Private) Limited	Terminated	22-Mar-12	Voluntary Termination	15.10.1
1425	Haroon Suleman	Terminated	22-Mar-12	Ceasing of as Member of KSE	15.2.1(c)
1426	First National Equities Limited	Removal of Restriction	22-Mar-12	Participant complied with Regulatory requirements relating to transfer of securities	15.2.1(a)
1427	Mr. Shahid Nauman Rana	Terminated	16-Mar-12	Due to declaration of the Participant as defaulter by the LSE	15.2.1(c)
1428	Hum Securities Limited	Restricted	13-Mar-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
1429	Javed Iqbal Securities (Pvt.) Limited	Censure Notice	28-Feb-12	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
1430	National Bank of Pakistan	Terminated	28-Feb-12	Voluntary Termination	15.10.1
1431	AKY Securities (Pvt.) Limited	Terminated	27-Feb-12	Voluntary Termination	15.10.1
1432	Value Stock Securities (Pvt.) Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1433	First Dawood Investment Bank Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1434	Pak United Securities (Private) Limited	Restricted	14-Feb-12	Consequent to non-renewable of broker registration certificate	15.2.1(a)
1435	Shehzad Chamdia Securities (Private) Limited	Terminated	2/3/2012	Voluntary Termination	15.10.1
1436	Trustee of AH-Pak Brunei Islamic Income Fund	Terminated	2/3/2012	Voluntary Termination	15.10.1
1437	Switch Securities (Private) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1438	Harvest Smartrend Securities (Pvt.) Ltd.	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1439	Mr. Arif Majid Chaudhry	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1440	Value Stock Securities (Pvt.) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1441	First Dawood Investment Bank Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1442	United Capital Securities (Private) Limited	Suspended	1-Feb-12	Consequent to suspension of membership by the KSE.	15.2.1(b)
1443	United Capital Securities (Private) Limited	Restricted	31-Jan-12	Consequent of Switching off of trading terminals by the KSE.	15.2.1(a)
1444	First National Equities Limited	Notice of Imposition of Penalty	23-Jan-12	Non-Compliance of CDC Regulations	6.7.3 & 4.19
1445	AFIC Securities (Private) Limited	Censure Notice	18-Jan-12	Non-Compliance of CDC Regulations	6.2.6
1446	Standard Securities (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
1447	Elite Stock Services (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
1448	United Capital Securities (Private) Limited	Revised Notice of Intention to suspend	3-Jan-12	Extending the period of Restriction.	9.1.1
1449	Zafar Moti Capital Securities (Private) Limited	Removal of Restriction	2-Jan-12	Pursuant to Court Order dated 30-12-2011.	Court Order