



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	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)
2	Wisdom Securities (Private) Limited	Terminated	22-Feb-18	Voluntary Termination	15.10.1
3	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)
4	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
5	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
6	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
7	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
8	ICON Capital Management (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
9	Fortune Securities Limited - LSI	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
10	Alfalah Securities (Private) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
11	M.M. Securities (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 8.2.1
12	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)
13	New Peak Securities (Pvt.) Limited	Censure Letter	15-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
14	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
15	M.A.N Securities (Pvt.) Limited	Terminated	14-Feb-18	Voluntary Termination	15.10.1
16	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)
17	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
18	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)
19	BlackStone Equities (Private) Limited	Terminated	26-Jan-18	Voluntary Termination	15.10.1
20	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)
21	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
22	XPRT Securities (Private) Limited	Removal of Restriction	19-Jan-18	Participant has complied with Regulation 6.8.2 of the CDC Regulations.	15.6.2
23	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)
24	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
25	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
26	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)
27	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)
28	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)
29	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
30	First Capital Equities Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5



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31	A. N. Equities (Pvt.) Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
32	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
33	Strongman Securities (Pvt.) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
34	Techno Fundamental Securities (Pvt) Ltd.	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
35	Maan Securities (Private) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
36	Sherman Securities (Private) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
37	INA Securities (Pvt.) Limited	Clean Report	20-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.2A & 6.7.3
38	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
39	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)
40	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
41	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
42	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
43	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)
44	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
45	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)
46	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)
47	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)
48	Invest Forum (SMC-Private) Limited	Restricted	13-Dec-17	Due to the cancellation of liscence by SECP as a securities broker vide order dated December 13, 2017.	15.2.1(a)
49	HK Securities (Private) Limited	Restricted	13-Dec-17	Due to the cancellation of liscence by SECP as a securities broker vide order dated December 13, 2017.	15.2.1(a)
50	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)
51	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)
52	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)
53	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)
54	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
55	Topline Securities Limited	Censure Letter	29-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.7.1



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56	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
57	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
58	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
59	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
60	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
61	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
62	Din Capital Limited	Restricted	17-Nov-17	Consequent to the suspension of liscence by SECP as a securities broker vide order dated November 08, 2017	15.2.1(a)
63	Sal Securities (Pvt) Ltd.	Clean Letter	15-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.2A & 6.7.3
64	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
65	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
66	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
67	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)
68	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
69	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
70	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
71	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
72	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
73	Din Capital Limited	Revised Notice of Restriction	8-Nov-17	Due to advise of PSX vide email dated November 07, 2017	15.6.2
74	Muhammad Amer Riaz Securities (Pvt.) Limited	Removal of CDC Notice dated November 02, 2017	7-Nov-17	Participant has complied with Regulation 6.8.1 of the CDC Regulations.	6.8.1
75	Millennium Securities & Investments (Private) Limited	Restricted	6-Nov-17	Consequent FS as of June 30, 2017 submitted by Participant under Regulation 6.8.2 of the CDC Regulations discloses <b>negative</b> Capital Adequacy Level	15.3.1(a)
76	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)
77	Muhammad Amer Riaz Securities (Pvt.) Limited	Exceeding The Maximum Custody Limit	2-Nov-17	Participant has breached Regulation 6.8.1 of the CDC Regulations.	6.8.5(a)
78	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)



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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
79	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)
80	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)
81	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)
82	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)
83	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)
84	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)
85	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)
86	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
87	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
88	Earth Securities (Private) Limited	Terminated	16-Oct-17	Voluntary Termintaion	15.10.1
89	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
90	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
91	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)
92	Shaffi Securities (Pvt) Limited	Censure Letter	4-Oct-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.2.1e, 6.2A.1
93	Shaffi Securities (Pvt) Limited	Censure Letter	4-Oct-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.2.1e, 6.2A.1
94	Security Investment Bank Limited	Terminated	29-Sep-17	Voluntary Termintaion	15.10.1
95	Kausar Securities (Private) Limited	Terminated	27-Sep-17	Voluntary Termintaion	15.10.1
96	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
97	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
98	First Zeiva (Private) Limited	Removal of Restrictions	22-Sep-17	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-5512 dated September 22, 2017	15.6.2
99	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)
100	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)
101	Global Securities Pakistan Limited	Terminated	21-Sep-17	Voluntary Termintaion	15.10.1
102	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)



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103	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)
104	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
105	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
106	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
107	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
108	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
109	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
110	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
111	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
112	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
113	Adeel Zafar Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6.
114	IAK Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
115	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
116	AAA Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
117	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
118	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
119	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
120	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
121	Amanah Investments Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6.
122	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
123	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
124	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
125	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
126	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
127	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
128	BABA Equities (Pvt) Ltd.	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



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129	UNEX Securities (Pvt) Limited	Censure Letter	4-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
130	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
131	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)
132	NIB Bank Limited	Terminated	1-Aug-17	Voluntary Termination	15.10.1
133	AMCAP Securities (Private) Limited	Modification of Restriction imposed	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
134	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
135	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)
136	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
137	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)
138	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)
139	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)
140	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
141	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
142	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
143	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)
144	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
145	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
146	Value Stock and Commodities (Private) Limited	Restricted 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)
147	Escorts Capital Limited	Suspended	31-May-17	Due to non-compliances of 68.2. of CDC Regulations after completing 60 Business Days of Restrictions.	15.3.7(b)
148	Allied Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
149	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)
150	Interactive Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
151	Chippa Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
152	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)
153	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)
154	MAN Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
155	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)
156	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)
157	MAC Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
158	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)
159	Motiwala Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
160	MY Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
161	AAU Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
162	Abid Ali Habib Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
163	Ahsam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
164	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)
165	BMS Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
166	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)
167	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)
168	Fort Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
169	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)
170	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)
171	Khayyam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
172	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)



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
173	R.F.J. Equity (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
174	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)
175	Schon Capital Markets Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
176	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)
177	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)
178	South Asian Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
179	Union Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
180	Venus Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
181	ZM Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
182	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)
183	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)
184	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)
185	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)
186	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)
187	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
188	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
189	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
190	ASA STOCKS (PVT.) LIMITED	Censure Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
191	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
192	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)
193	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
194	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
195	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





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
196	SHAFFI 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
197	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
198	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
199	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
200	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
201	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
202	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
203	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
204	Network Securities Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
205	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
206	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
207	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)
208	AMCAP Securities (Private) Limited	Modification of Restriction Imposed	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	-
209	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)
210	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
211	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
212	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
213	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
214	TARIQ VOHRA SECURITIES (PVT) LIMITED	Censure Notice	30-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
215	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
216	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
217	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
218	H.H.K. Securities (Pvt.) Limited	Notice of Restriction & Penalty	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
219	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
220	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
221	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
222	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)
223	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)
224	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
225	First Equity Modaraba	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 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
226	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
227	Surmawala Securities (Private) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
228	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
229	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
230	MULTILINE SECURITIES (PVT.) LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
231	Dattoo Securities (Pvt.) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
232	SECURITY INVESTMENT BANK LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.6 & 6.2.6
233	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)
234	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)
235	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)
236	ESCORTS CAPITAL LIMITED	Restricted	6-Mar-17	Participant has not complied with Regulation 6.8.1 of the CDC Regulations.	15.2.1(a)
237	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)
238	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)
239	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)
240	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)
241	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)
242	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)
243	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)
244	Stable 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)
245	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)
246	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)
247	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)
248	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)
249	Allied 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)
250	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)
251	Universal Equities (Private) Limited	Terminated	2-Mar-17	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
252	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
253	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
254	MAM Securities (Private) Limited	Suspended	20-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
255	Sunrise Capital (Private) Limited	Suspended	17-Feb-17	Due to non-compliances of regulatory provisions	15.2.1(b)
256	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.
257	M. R. Securities (SMC-PVT.) Limited	Intention of further Suspension	6-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
258	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)
259	AWJ Securities (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
260	Sunrise Capital (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
261	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)
262	Zafar Securities (Private) Limited	Removal of Restriction	30-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
263	Sonia Shahzad Securities (Private) Limited	Terminated	24-Jan-17	Voluntary Termination	15.10.1
264	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
265	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
266	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)
267	AM Chaudhry Securities (Private) Limited	Removal of Restriction	13-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
268	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
269	Mashhadi Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
270	SIS Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
271	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)
272	Allied Bank Limited - LSE Branch	Extension of intention to suspend the admission	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
273	Allied Bank Limited- ISE Branch	Extension of intention to suspend the admission	9-Jan-17	Failure to settle the CDC outstanding dues.	15.9.1(e)
274	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
275	Allied Bank Limited- KSE Branch	Extension of intention to suspend the admission	9-Jan-17	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
276	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
277	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
278	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
279	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
280	Malik Securities (Private) Limited	Terminated	6-Jan-17	Voluntary Termination	15.10.1
281	S A Securities (Pvt) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
282	SIS Securities (Private) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
283	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)
284	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)
285	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)
286	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)
287	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)
288	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)
289	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)
290	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)
291	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)
292	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)
293	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)
294	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)



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
295	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)
296	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)
297	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)
298	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)
299	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)
300	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)
301	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)
302	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)
303	Stable 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)
304	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)
305	Allied Bank Limited- KSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
306	Allied Bank Limited - LSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
307	Allied Bank Limited- ISE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
308	Allied Bank Limited- KSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
309	Allied Bank Limited - LSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
310	Allied Bank Limited- ISE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
311	Sunrise Capital (Private) Limited	Restricted	21-Dec-16	Due to contravention of provisions of the CDC Regulations	15.2.1(a)
312	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
313	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
314	A.I 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
315	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
316	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
317	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
318	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
319	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



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
320	M H Securities (Pvt.) Limited	Censure Notice	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6
321	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
322	Vector Securities (Pvt.) Ltd.	Censure Notice	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6, 3.7
323	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
324	Ghory's Securities (Pvt.) Limited	Terminated	9-Dec-16	Voluntary Termination	15.10.1
325	Paramount Securities (SMC-Private) Limited	Terminated	8-Dec-16	Voluntary Termination	15.10.1
326	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
327	Y.S. Stocks (Private) Limited	Terminated	2-Dec-16	Voluntary Termination	15.10.1
328	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)
329	AHM 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
330	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
331	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
332	First Punjab Modaraba	Terminated	14-Nov-16	Voluntary Termination	15.10.1
333	MYM Equities (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
334	Fort Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
335	Abid Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
336	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
337	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
338	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
339	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
340	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
341	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)
342	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
343	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
344	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
345	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
346	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
347	Akbani Securities (SMC-PVT) Limited	Terminated	25-Oct-16	Voluntary Termination	15.10.1
348	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
349	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
350	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
351	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
352	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
353	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



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
354	Zillion Capital Securities (Pvt.) Limited	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
355	H. P. Byramji & Co. (Pvt.) Limited	Removal of Restrictions	18-Oct-16	Participant has complied with Regulation 6.8.1 of the CDC Regulations,	6.8.1
356	Prosperity Securities (Private) Limited	Terminated	18-Oct-16	Voluntary Termination	15.10.1
357	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
358	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)
359	Growth Securities (Pvt) Limited	Notice of Restriction	10-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
360	TS Securities (Pvt.) Ltd	Notice of Restriction	10-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
361	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)
362	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)
363	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)
364	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)
365	Star Securities (Private) Limited	Terminated	10-Oct-16	Voluntary Termination	15.10.1
366	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)
367	Asian Securities Limited	Notice of Restriction	29-Sep-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
368	Mayari Securities (Private) Limited	Notice of Restriction	29-Sep-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
369	MBJ Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
370	Taha Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
371	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)
372	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)
373	Smart Investments Capital Management (Pvt.) Limited	Terminated	8-Sep-16	Voluntary Termination	15.10.1
374	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
375	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)
376	Nizam Securities (Private) Limited	Terminated	1-Sep-16	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
377	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)
378	AB Equities (Private) Limited	Removal of Suspension	26-Aug-16	Participant has complied with the Regulation 6.8.2	15.6.2
379	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)
380	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)
381	Stable 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)
382	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)
383	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)
384	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)
385	H.M.Y. Securities (Private) Limited	Terminated	19-Aug-16	Voluntary Termination	15.10.1
386	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)
387	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
388	Cassim Investments (Private) Limited	Removal of Restrictions	12-Aug-16	Participant has complied with Regulation 6.8.1 of the CDC Regulations,	15.6.2
389	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)
390	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
391	Alpha Beta Capital Markets (Private) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
392	Amin Tai Securities (Private) Limited	Terminated	20-Jul-16	Voluntary Termination	15.10.1
393	Concept Securities (Private) Limited	Terminated	13-Jul-16	Voluntary Termination	15.10.1
394	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)
395	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)
396	Platinum Capital Management (Private) Limited	Terminated	24-Jun-16	Voluntary Termination	15.10.1
397	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)
398	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
399	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
400	Dugan Securities (Private) Limited	Terminated	6-Jun-16	Voluntary Termination	15.10.1
401	Shehzad Chamdia Securities (Pvt.) Limited	Terminated	3-Jun-16	Voluntary Termination	15.10.1





Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
402	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
403	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)
404	Mikon Securities (Pvt.) Limited	Terminated	27-May-16	Voluntary Termination	15.10.1
405	Sohail Raza Moosani (SMC-Pvt) Limited	Terminated	25-May-16	Voluntary Termination	15.10.1
406	Main Muhammad Akram Securities (Pvt.) Limited	Terminated	18-May-16	Voluntary Termination	15.10.1
407	Muhammad Bashir Kasmani Securities (Pvt.) Limited	Terminated	17-May-16	Voluntary Termination	15.10.1
408	Munaf Sattar Securities (Pvt.) Limited	Terminated	9-May-16	Voluntary Termination	15.10.1
409	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)
410	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
411	Uzma Shabbir Securities (Private) Limited	Terminated	12-Apr-16	Voluntary Termination	15.10.1
412	H.R. Securities & Brokerage (Private) Limited	Terminated	7-Apr-16	Voluntary Termination	15.10.1
413	Al Asar Securities (Private) Limited	Terminated	6-Apr-16	Voluntary Termination	15.10.1
414	Akd Analytics (Private) Limited	Removal of Suspension	5-Apr-16	Participant has complied with the Regulation 6.8.2	15.6.2
415	Samba Bank Limited	Terminated	25-Mar-16	Voluntary Termination	15.10.1
416	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
417	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)
418	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
419	A.H.K.D. Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
420	Ab Equities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
421	Akd Analytics (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
422	Pak United Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
423	Invisor Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
424	QF Securities (Pvt) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
425	Khoja'S Capital Management (Pvt.) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
426	Al-Mal Securities & Services Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
427	Mohammed Hanif Moosa	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
428	Investec Securities Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
429	Javed Omer Vohra & Company Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
430	Yousuf Ebrahim	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
431	Shahid Hassan Awan	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
432	Mohammad Tanveer Malik	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
433	Islamabad Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
434	Orion Investments (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
435	Tariq Sayeed Securities (Private) Limited	Removal of Restriction	1-Mar-16	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
436	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)
437	Elixir Securities Pakistan (Pvt.) Limited	Removal of Restriction	24-Feb-16	Participant has complied with the Regulation 6.8.1	15.6.2
438	Fincap Investments (Private) Limited	Notice in respect of Participant	3-Feb-16	Participant has complied with the Regulation 6.8.2	15.6.2
439	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
440	Trust Capital (Private) Limited	Suspended	25-Jan-16	on the completion of 60 days of Restriction.	15.3.7(b)
441	Saima Qaiser Securities (Pvt) Limited	Removal of Restriction	22-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
442	Safe Securities (Pvt.) Limited	Terminated	18-Jan-16	Voluntary Termination	15.10.1
443	JCR Capital Securities (Private) Limited	Removal of Restriction	13-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
444	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
445	SMB Securities (Private) Limited	Removal of Restriction	30-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
446	Kayzone Capital Markets (SMC-Private) Limited	Restricted	23-Dec-15	Duet to switching off of all trading terminals by the LSE vide notice no.6621 Dated December 22, 2015 received by CDC on December 23, 2015.	15.2.1(a)
447	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
448	Faith Securities (Private) Limited	Removal of Restriction	18-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
449	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)
450	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)
451	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)
452	Aziz Fidahusseini & 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)
453	Shaukat Shaffi Securities (Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
454	First Fidelity Leasing Modaraba	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
455	Sohail Raza Moosani (Smc-Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
456	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)
457	Saima Qaiser 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)
458	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)
459	A.H.K.D. Securities (Private) Limited	Restricted	3-Dec-15	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.3.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
460	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)
461	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)
462	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)
463	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)
464	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)
465	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)
466	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)
467	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)
468	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)
469	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)
470	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)
471	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)
472	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)
473	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)
474	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)
475	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)



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
476	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)
477	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)
478	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)
479	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)
480	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)
481	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)
482	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)
483	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)
484	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)
485	A.H.K.D. Securities (Private) Limited	Notice Removal of Intention to Suspend	24-Nov-15	Participant has settled the CDC outstanding dues.	15.9.1 (e)
486	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
487	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)
488	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)
489	A.H.K.D. Securities (Private) Limited	Notice of Extension of Intention to Suspend	30-Oct-15	Failure to settle the CDC outstanding dues.	15.9.1 (e)
490	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)
491	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)
492	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
493	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



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
494	BMS Capital (Private) Limited	Removal of Restrictions	28-Sep-15	Consequent to restoration of trading terminals by LSE vide notice no. 4848 dated September 28, 2015	15.6.2
495	Allied Securities (Private) Limited	Removal of Restrictions	21-Sep-15	Consequent to restoration of trading terminals by LSE vide notice no. 4810 dated September 21, 2015	15.6.2
496	Hatim Investments & Securities (Pvt.) Limited	Terminated	18-Sep-15	Voluntary Termination	15.10.1
497	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
498	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	31-Aug-15	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
499	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)
500	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
501	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)
502	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
503	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
504	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
505	WE Financial Services Limited	Notice of Imposition of Penalty	24-Jul-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
506	Live Securities Limited	Restricted for 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)
507	Darson Securities (Private) Limited	Restricted for 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)
508	Aziz Fidhusein & Company (Private) Limited	Restricted	22-Jul-15	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by KSE vide notice no.no. KSE/N-3626 dated July 16, 2015	15.2.1(a)
509	AZEE Securities (Private) Limited	Restricted for 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)
510	Aziz Fidhusein & Company (Private) Limited	Restricted	14-Jul-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
511	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
512	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)
513	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



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
514	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)
515	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)
516	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
517	Investforum (Smc-Pvt) Limited	Notice of Imposition of Penalty	19-Jun-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
518	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
519	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)
520	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)
521	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)
522	MAK Securities (Private) Limited	Terminated	30-Apr-15	Voluntary Termination	15.10.1
523	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)
524	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
525	Alfa Adhi Securities (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
526	Ali Husain Rajabali Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
527	AWJ Securities (Private) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
528	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
529	Prime Securities (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
530	AZEE Securities (Private) Limited	Notice of Imposition of Penalty	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
531	Alfalah Securities (Private) Limited	Notice of Imposition of Penalty	14-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
532	Aziz Fidhusein & 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
533	KASB Securities Limited	Removal of Restrictions	14-Apr-15	Pursuant to directive issued vide letter no. SMD/SE/2(20)2014 dated April 13, 2015 of the SECP.	-
534	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
535	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
536	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
537	Moosani Securities (Pvt.) Limited	Terminated	6-Mar-15	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
538	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
539	A.H.K.D. Securities (Private) Limited	Removal of Restrictions	3-Mar-15	Consequent to restoration of trading terminals by the Karachi Stock Exchange Limited vide notice no. 1188 dated March 03, 2015	15.6.2
540	Capital Vision Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Feb-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
541	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
542	Universal Equities (Private) Limited	Removal of Restrictions	16-Feb-15	Consequent to Restoration of Trading terminals of participant by Lahore Stock Exchange as notified by LSE vide notice no. 0643 dated February 13, 2015.	15.6.2
543	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
544	H. H. K. Securities (Private) 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
545	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
546	Aazeb Securities (Private) Limited	Terminated	24-Dec-14	Voluntary Termination	15.10.1
547	Dosslanis Securities (Pvt.) Limited	Censure Notice	12-Dec-14	Non-Compliance of CDC Regulations	6.2.6
548	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.	-
549	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.	-
550	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)
551	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)
552	AFIC Securities (Private) Limited	Terminated	4-Sep-14	Voluntary Termination	15.10.1
553	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)
554	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
555	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
556	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



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
557	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)
558	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
559	Ghory's Securities (Private) Limited	Suspended	11-Jun-14	Consequent to completion of 60 Business Day of Restriction	15.3.7(b)
560	Invest Capital Markets Limited	Notice of Imposition of Penalty	10-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
561	High Land Securities (Pvt.) Limited	Censure Notice	5-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
562	Din Capital (Pvt.) Limited	Censure Notice	8-May-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
563	Ayub Chaudhry Investments (Pvt.) Limited	Censure Notice	24-Apr-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
564	Muhammad Tariq Moti Securities (Pvt.) Limited	Censure Notice	10-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
565	SAAO Capital (Pvt.) Limited	Censure Notice	9-Apr-14	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
566	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	9-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
567	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
568	Islamabad Securities (Private) Limited	Suspended	7-Apr-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE	15.2.1(b)
569	Aziz Fidhusein & Company (Pvt.) Limited	Censure Notice	26-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
570	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
571	SNM Securities (Private) Limited	Removal of Restrictions	25-Mar-14	Consequent to change of status of participant as an active TRE Certificates holder of Karachi Stock Holder as notified by KSE vide notice no. KSE/N-1624 dated March 24, 2014.	15.2.1(b)
572	Alfalah Securities (Private) Limited	Censure Notice	21-Mar-14	Non-Compliance of CDC Regulations	6.2.6
573	Excel Securities (Pvt.) Limited	Suspended	21-Mar-14	Pursuant to directive dated February 20, 2014 of the SECP.	15.2.1(b)
574	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)
575	Multiline Securities (Pvt.) Limited	Censure Notice	13-Mar-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
576	Apex Capital Securities (Private) Limited	Censure Notice	4-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
577	Pearl Brokerage (Pvt.) Limited	Notice of Imposition of Penalty	4-Mar-14	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
578	Maximus Securities (Private) Limited	Terminated	4-Mar-14	Voluntary Termination	15.10.1
579	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)
580	Highlink Capital (Private) Limited	Suspended	20-Feb-14	Pursuant to order dated February 20, 2014 of the SECP.	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
581	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)
582	Capital Vision Securities (Pvt.) Limited	Censure Notice	14-Feb-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
583	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
584	Nasir Ali Shah Bukhari	Terminated	41684	Voluntary Termination	15.10.1
585	Prime Securities (Pvt.) Limited	Censure Notice	13-Feb-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
586	Escorts Capital Limited	Notice of Imposition of Penalty	31-Jan-14	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
587	G. R. Securities (SMC-Pvt.) Limited	Terminated	30-Jan-14	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE	15.3.7
588	Maximus Securities (Pvt.) Limited	Restricted	29-Jan-14	Consequent to expiry of broker registration as notified by LSE.	15.2.1(a)
589	G. R. Securities (SMC-Pvt.) Limited	Suspension	13-Jan-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE	15.1.1(a) (ii) to (iv)
590	Diyanah Islamic Financial Services (Pvt.) Limited	Restricted	31-Dec-13	Consequent to switching off of all trading terminals by the ISB and Cancellation of its registration as a Broker by SECP.	15.1.1(a) (ii) to (iv)
591	SNM Securities (Private) Limited	Restricted	26-Dec-13	Consequent to deactivation of all trading terminals by the KSE	15.1.1(a)
592	M. J. Memon Securities (Pvt.) Limited	Censure Notice	18-Dec-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
593	Maha Securities (Pvt.) Limited	Censure Notice	9-Dec-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
594	Highlink Capital (Private) Limited	Restricted	29-Nov-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
595	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
596	Hameed Mukhtar Chaudhry	Terminated	27-Nov-13	Voluntary Termination	15.10.1
597	Excel Securities (Pvt.) Limited	Censure Notice	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
598	Mian Muhammad Akram Securities (Pvt.) Limited	Censure Notice	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
599	MTM Securities (Private) Limited	Terminated	20-Nov-13	Voluntary Termination	15.10.1
600	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Nov-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
601	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)
602	Trade-In-Securities (Pvt.) Limited	Censure Notice	7-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
603	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	6-Nov-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
604	MCFSL - Trustee MCFSL Trustee Atlas Fund of Funds	Terminated	6-Nov-13	Voluntary Termination	15.10.1
605	Jamshaid & Hasan Securities (Pvt.) Limited	Notice of Imposition of Penalty	5-Nov-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
606	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



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
607	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
608	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)
609	Fair Edge Securities (Pvt.) Limited	Censure Notice	24-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
610	AZEE Securities (Private) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
611	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
612	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)
613	Dosslanis Securities (Pvt.) Limited	Notice of Imposition of Penalty	2-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
614	Gul Dhami Securities (Pvt.) Limited	Censure Notice	30-Sep-13	Non-Compliance of CDC Regulations	6.2.6
615	AMCAP Securities (Private) Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
616	First Pakistan Securities Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
617	Dattoo Securities (Pvt.) Limited	Censure Notice	27-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
618	Intermarket Securities Limited	Censure Notice	26-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
619	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)
620	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
621	Oriental Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
622	Standard Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
623	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
624	SNM Securities (Private) Limited	Censure Notice	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
625	Axis Global Limited	Notice of Imposition of Penalty	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
626	Sakarwala Capital Securities (Pvt.) Limited	Censure Notice	20-Aug-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
627	Akhai Securities (Pvt.) Limited	Notice of Imposition of Penalty	31-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
628	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
629	DJM Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-Jul-13	Non-Compliance of CDC Regulations	6.7.2 & 6.2A.1
630	Live Securities Limited	Notice of Imposition of Penalty	19-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
631	Invest Capital Markets Limited	Notice of Imposition of Penalty	11-Jul-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
632	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
633	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
634	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
635	Arif Majid Chaudhary	Terminated	26-Jun-13	Voluntary Termination	15.10.1
636	Continental Capital Management (Pvt.) Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
637	Irfan Mazhar Securities (Pvt.) Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
638	KASB Securities Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
639	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
640	Mian Nusrat-Ud-Din	Notice of Imposition of Penalty	21-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
641	Darson Securities (Private) Limited	Censure Notice	19-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
642	M.R.A. Securities (Pvt.) Limited	Censure Notice	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
643	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
644	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
645	Live Securities Limited	Extension of Restricted Period	10-Jun-13	Due to non-resolution of investor's complaint against the Participant	15.3.1
646	Alfalsh Securities (Private) Limited	Notice of Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.7.3
647	Progressive Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.6
648	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
649	Ghani Osman Securities (Pvt.) Limited	Censure Notice	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
650	Multiline Securities (Pvt.) Limited	Censure Notice	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6
651	Moonaco Securities (Pvt.) Limited	Censure Notice	3-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
652	Bawa Securities (Pvt.) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
653	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
654	Alfa Adhi Securities (Pvt.) Limited	Censure Notice	24-May-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
655	Adeel & Nadeem Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
656	Aziz Fidhusein & Company (Pvt.) Limited	Notice of Imposition of Penalty	22-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
657	Hameed Mukhtar Chaudhry	Removal of Restriction	21-May-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
658	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
659	ZHV Securities (Private) Limited	Terminated	15-May-13	Consequent to Forfeiture of TRE Certificate by KSE	15.3.7
660	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Suspension	15-May-13	Consequent to suspension of TRE Certificate by KSE	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
661	Saliha Haroon	Terminated	15-May-13	Voluntary Termination	15.10.1
662	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
663	We Financial Services Limited	Notice of Imposition of Penalty	14-May-13	Non-Compliance of CDC Regulations	6.2.2 and 6.7.3
664	Zahid Ali Habib	Terminated	14-May-13	Voluntary Termination	15.10.1
665	SAZ Capital Securities (Pvt.) Limited	Censure Notice	9-May-13	Non-Compliance of CDC Regulations	6.2.6
666	Arif Latif	Terminated	9-May-13	Voluntary Termination	15.10.1
667	Mian Nusrat-Ud-Din	Terminated	9-May-13	Voluntary Termination	15.10.1
668	Mohammad Amer Riaz	Terminated	9-May-13	Voluntary Termination	15.10.1
669	M. Ayub Ch.	Terminated	9-May-13	Voluntary Termination	15.10.1
670	Sajid Masood	Terminated	9-May-13	Voluntary Termination	15.10.1
671	Saima Qaiser	Terminated	9-May-13	Voluntary Termination	15.10.1
672	First Fidelity Leasing Modaraba	Restricted	8-May-13	Consequent to Switching off trading terminals by the ISE	15.2.1(a)
673	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 & 6.2A1
674	Seven Star Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
675	Arif Latif	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
676	Mian Nusrat-Ud-Din	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
677	Mohammad Amer Riaz	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
678	Zahid Ali Habib	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
679	Arif Majid Chaudhary	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
680	Saliha Haroon	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
681	M. Ayub Ch.	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
682	Hameed Mukhtar Ch.	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
683	Nasir Ali Shah Bukhari	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
684	Sajid Masood	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
685	Saima Qaiser	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
686	H. M. Idrees H. Adam	Terminated	6-May-13	Voluntary Termination	15.10.1
687	Tewfiq Mohammad Amin Fikree	Terminated	6-May-13	Voluntary Termination	15.10.1
688	Muhammad Tariq Moti	Terminated	6-May-13	Voluntary Termination	15.10.1
689	Rayomund J.H.P Byramji	Terminated	6-May-13	Voluntary Termination	15.10.1
690	Dawood Mohammad	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
691	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
692	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
693	A. I. Securities (Pvt.) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
694	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
695	Sajid Masood	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
696	Stock Street (Private) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.2A.1 & 9.1.1
697	ZHV Securities (Private) Limited	Notice of Suspension	11-Apr-13	Consequent to suspension of TRE Certificate by the KSE	15.2.1(b)
698	Dalia Securities (Pvt.) Limited	Censure Notice	9-Apr-13	Non-Compliance of CDC Regulations	6.2.6
699	Pearl Brokerage (Pvt.) Limited	Censure Notice	9-Apr-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
700	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Notice of Suspension	9-Apr-13	Consequent to suspension of clearing member account by the NCCPL	15.2.1(b)
701	Blackstone Equities (Pvt.) Limited	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
702	Creative Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
703	Prosperity Securities (SMC-Pvt.) Limited	Notice of Suspension	3-Apr-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
704	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
705	Techno Fundamental Securities (Pvt.) Limited	Censure Notice	27-Mar-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
706	Fair Deal Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
707	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
708	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
709	Ms. Saliha Haroon	Notice of Imposition of Penalty	26-Mar-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
710	Alfalah Securities (Private) Limited	Removal of Restriction	25-Mar-13	Consequent to restoration of trading right entitlement certificate by the KSE	15.6.2
711	First National Equities Limited	Removal of Intention to Suspend	18-Mar-13	Participant has settled the fine imposed by CDC	15.9.1(e)
712	Switch Securities (Private) Limited	Censure Notice	15-Mar-13	Non-Compliance of CDC Regulations	6.2.6
713	Alfalah Securities (Private) Limited	Restricted	15-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
714	ZHV Securities (Private) Limited	Restricted	13-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
715	Friendly Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
716	Khanani Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.2A.1
717	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
718	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)
719	M. J. Memon Securities (Pvt.) Limited	Censure Notice	27-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
720	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)
721	Sherman Securities (Pvt.) Limited	Notice of Imposition of Penalty	20-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
722	GMI Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	19-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
723	KSR Stock Brokerage (Pvt.) Limited	Censure Notice	15-Feb-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 9.1.1
724	Arif Majid Chaudhry	Restricted	15-Feb-13	SECP directive pursuant to Rule 7 of Central Depository Companies (Establishment and Regulation) Rules, 1996	-
725	Baba Equities (Pvt.) Limited	Censure Notice	12-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
726	MCBFSL - Trustee AH Dow Jones Pak Titans 15 Index Fund	Terminated	12-Feb-13	Voluntary Termination	15.10.1
727	Safe Securities (Pvt.) Limited	Censure Notice	11-Feb-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
728	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
729	Arif Majid Chaudhry	Removal of Suspension	11-Feb-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
730	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
731	Habib Metropolitan Financial Services Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
732	Infinite Securities Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
733	Muhammad Ayub Chaudhry	Notice of Imposition of Penalty	28-Jan-13	Non-Compliance of CDC Regulations	6.2.2 & 9.1.1
734	Jahanzaib Gondal	Terminated	24-Jan-13	Voluntary Termination	15.10.1
735	A. S. Securities (Private) Limited	Suspended	11-Jan-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
736	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)
737	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)
738	AWJ Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
739	Excel Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
740	Zafar Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
741	Imperial Investments (Private) Limited	Terminated	24-Dec-12	Consequent to expulsion of Participant by the KSE.	15.3.7
742	ACE Securities (Private) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
743	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
744	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
745	Ahmad Shoaib Akram	Terminated	18-Dec-12	Voluntary Termination	15.10.1
746	Arif Majid Chaudhry	Suspended	17-Dec-12	Consequent to suspension of trading right entitlement certificate by the LSE	15.2.1(b)
747	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)
748	Arif Majid Chaudhry	Restricted	14-Dec-12	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
749	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)
750	Arif Majid Chaudhry	Intention to Suspend	30-Nov-12	Due to failure to pay CDC dues	15.9.1(e)
751	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
752	Imperial Investments (Private) Limited	Suspended	13-Nov-12	Consequent to suspension of trading right entitlement certificate by the ISE	15.2.1(b)
753	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	30-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
754	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
755	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)
756	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	19-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
757	Pearl Securities Limited	Notice of Imposition of Penalty	18-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
758	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)
759	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)
760	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)
761	Dattoo Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
762	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
763	Rayomund J.H.P. Byramji	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
764	Pearl Capital Management (Private) Limited	Terminated	4-Oct-12	Membership suspended by the KSE.	15.3.7
765	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
766	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	28-Sep-12	Non-Compliance of CDC Regulations	6.2 & 6.2.6
767	Gul Dhami Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Sep-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
768	F.M. Securities (Pvt.) Limited	Notice of Imposition of Penalty	14-Sep-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
769	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
770	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
771	Jahangir Siddiqui & Company Limited	Terminated	11-Sep-12	Voluntary Termination	15.10.1
772	Dosslanis Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
773	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)
774	Pearl Capital Management (Private) Limited	Suspended	24-Aug-12	Membership suspended by the KSE.	15.2.1(b)
775	NBP Trustee - NI(UT) (LOC) Fund	Terminated	15-Aug-12	Voluntary Termination	15.10.1
776	First Pakistan Securities Limited	Notice of Imposition of Penalty	9-Aug-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
777	Switch Securities (Private) Limited	Removal of Intention	8/3/2012	Participant has settled the CDC outstanding dues	15.9.1(e)
778	Unex Securities (Pvt.) Limited	Censure Notice	1-Aug-12	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
779	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
780	Arif Majid Chaudhry	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
781	Live Securities Limited	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
782	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
783	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
784	Salma	Terminated	20-Jul-12	Voluntary Termination	15.10.1
785	YKD Securities (Pvt.) Limited	Terminated	19-Jul-12	Voluntary Termination	15.10.1
786	Al-Hamd Investment and Securities (Private) Ltd.	Terminated	19-Jul-12	Voluntary Termination	15.10.1
787	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
788	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
789	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
790	Al-Hamd Investment and Securities (Private) Ltd.	Suspended	25-Jun-12	Consequent to completion of 60 Business Days of Restrictions	15.3.7(b)
791	Salman Capital Investments (Private) Limited	Terminated	22-Jun-12	Voluntary Termination	15.10.1
792	Invisor Securities (Private) Limited	Removal of Restriction	18-Jun-12	Consequent to change of status as an Active Member by KSE	15.6.2
793	Dawoodi Alibhoy Morkas	Terminated	14-Jun-12	Voluntary Termination	15.10.1
794	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Terminated	13-Jun-12	Consequent to cancellation of the membership by the ISE	15.3.7
795	Beaming Investment and Securities (Private) Limited	Suspended	8-Jun-12	Consequent to Suspension of Membership by the ISE.	15.2.1(b)
796	United Capital Securities (Private) Limited	Terminated	6/3/2012	Consequent to expulsion of Participant by the KSE.	15.3.7
797	H. H. K. Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)





Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
798	Khoja's Capital Management (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
799	Mr. Haroon Suleman	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
800	MAK Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
801	Motiwala Securities (Private) Limited	Restricted	3-Jun-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
802	Naveed H. M. Idrees	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
803	Latif Suleman Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
804	H. H. K. Securities (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
805	Motiwala Securities (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
806	Khoja's Capital Management (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
807	Khawaja Securities (Pvt.) Limited	Removal of Suspension	30-May-12	Consequent to restoration of trading terminals	15.6.2
808	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Suspended	28-May-12	Consequent to Suspension of membership by the ISE.	15.2.1(b)
809	Beaming Investment and Securities (Private) Limited	Restricted	28-May-12	Consequent to Switching off trading terminals by the ISE.	15.2.1(a)
810	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
811	SAL Securities (Pvt.) Limited	Censure Notice	25-May-12	Non-Compliance of CDC Regulations	6.2.6 & A041
812	A.H.K.D. Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)
813	Invisor Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)
814	Arif Habib Securities Limited	Terminated	23-May-12	Voluntary Termination	15.10.1
815	Escorts Investment Bank Limited	Terminated	22-May-12	Voluntary Termination	15.10.1
816	MCFSL - Trustee UBL Capital Protected Fund-II	Terminated	22-May-12	Voluntary Termination	15.10.1
817	Stock Master Securities (Private) Limited	Terminated	16-May-12	Consequent to Expulsion of the membership by the LSE	15.3.7
818	Latif Suleman Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
819	Aqeel Karim Dhedhi Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
820	Hum Securities Limited	Terminated	8-May-12	Voluntary Termination	15.10.1
821	Khoja's Capital Management (Private) Limited	Intention to Suspend	30-Apr-12	Due to failure to pay CDC dues	15.9.1(e)
822	Naveed H. M. Idrees	Terminated	30-Apr-12	Voluntary Termination	15.10.1
823	Beaming Investment and Securities (Private) Limited	Restricted	27-Apr-12	Consequent to Switching off of trading terminals by the ISE.	15.2.1(a)
824	Y. S. Securities & Services (Private) Limited	Terminated	24-Apr-12	Consequent to Expulsion by the LSE	15.3.7
825	Trust Capital (Private) Limited	Restricted	18-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
826	Arif Majid Chaudhry	Removal of Intention to Suspend	18-Apr-12	Participant has settled 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
827	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)
828	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)
829	Salman Capital Investments (Private) Limited	Restricted	12-Apr-12	Consequent to change of status as inactive member	15.2.1(a)
830	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)
831	Y. S. Securities & Services (Private) Limited	Suspended	10-Apr-12	Consequent to Suspension of membership by the LSE.	15.2.1(b)
832	Y. S. Securities & Services (Private) Limited	Restricted	9-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
833	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)
834	Dawoodi Alibhoy Morkas	Restricted	5-Apr-12	Consequent to Switching off trading terminals by the ISE.	15.2.1(a)
835	Al-Haq Securities (Pvt.) Limited	Censure Notice	30-Mar-12	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
836	Ms. Saliha Haroon	Censure Notice	30-Mar-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
837	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)
838	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)
839	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)
840	Harvest Smartrend Sec. (Private) Limited	Removal of Intention	27-Mar-12	Participant has settled the CDC outstanding dues	15.9.1(e)
841	Universal Equities (Private) Limited	Restricted	26-Mar-12	Non-Renewal of Broker Registration Certificate	15.2.1(a)
842	MAK Securities (Private) Limited	Terminated	22-Mar-12	Voluntary Termination	15.10.1
843	Haroon Suleman	Terminated	22-Mar-12	Ceasing of as Member of KSE	15.2.1(c)
844	First National Equities Limited	Removal of Restriction	22-Mar-12	Participant complied with Regulatory requirements relating to transfer of securities	15.2.1(a)
845	Mr. Shahid Nauman Rana	Terminated	16-Mar-12	Due to declaration of the Participant as defaulter by the LSE	15.2.1(c)
846	Hum Securities Limited	Restricted	13-Mar-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
847	Javed Iqbal Securities (Pvt.) Limited	Censure Notice	28-Feb-12	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
848	National Bank of Pakistan	Terminated	28-Feb-12	Voluntary Termination	15.10.1
849	AKY Securities (Pvt.) Limited	Terminated	27-Feb-12	Voluntary Termination	15.10.1
850	Value Stock Securities (Pvt.) Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
851	First Dawood Investment Bank Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
852	Pak United Securities (Private) Limited	Restricted	14-Feb-12	Consequent to non-renewable of broker registration certificate	15.2.1(a)
853	Shehzad Chamdia Securities (Private) Limited	Terminated	2/3/2012	Voluntary Termination	15.10.1
854	Trustee of AH-Pak Brunei Islamic Income Fund	Terminated	2/3/2012	Voluntary Termination	15.10.1
855	Switch Securities (Private) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
856	Harvest Smartrend Securities (Pvt.) Ltd.	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
857	Mr. Arif Majid Chaudhry	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
858	Value Stock Securities (Pvt.) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
859	First Dawood Investment Bank Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)



<b>Disciplinary Register - Participants</b>					
<b>Under Regulation 14.6.1 of the CDC Regulations</b>					
<b>S. No.</b>	<b>Name of Participant</b>	<b>Disciplinary Actions</b>	<b>Notice Date</b>	<b>Reason</b>	<b>Under CDC Regulation</b>
860	United Capital Securities (Private) Limited	Suspended	1-Feb-12	Consequent to suspension of membership by the KSE.	15.2.1(b)
861	United Capital Securities (Private) Limited	Restriction	31-Jan-12	Consequent of Switching off of trading terminals by the KSE.	15.2.1(a)
862	First National Equities Limited	Notice of Imposition of Penalty	23-Jan-12	Non-Compliance of CDC Regulations	6.7.3 & 4.19
863	AFIC Securities (Private) Limited	Censure Notice	18-Jan-12	Non-Compliance of CDC Regulations	6.2.6
864	Standard Securities (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
865	Elite Stock Services (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
866	United Capital Securities (Private) Limited	Revised Notice of Intention to suspend	3-Jan-12	Extending the period of Restriction.	9.1.1
867	Zafar Moti Capital Securities (Private) Limited	Removal of Restriction	2-Jan-12	Pursuant to Court Order dated 30-12-2011.	Court Order