



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	FDM Capital Securities (Pvt.) Limited	Notice of Restriction & Censure	30-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
2	First Zeiva (Private) Limited	Terminated	29-May-18	Voluntary Termination	15.10.1
3	DJM Securities (Private) Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.2.1 (e)
4	Pearl Brokerage Private Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
5	Falki Capital (Private) Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
6	Continental Capital Management (Pvt) Ltd	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
7	Rahat Securities Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
8	Bismillah Securities (Pvt) Ltd.	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
9	Yasir Mahmood Securities (Pvt) Ltd.	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
10	Fair Deal Securities (Private) Limited	Restricted	16-May-18	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-3262 dated May 16, 2018.	15.2.1(a)
11	Standard Capital Securities Pvt Ltd.	Notice of Restriction & Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
12	Patel Securities (Pvt.) Limited	Notice of Restriction & Censure	7-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
13	Pasha Securities (Pvt.) Limited	Notice of Restriction	7-May-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
14	Hamza Farhad Securities (Pvt.) Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
15	Spinzer Equities (Pvt.) Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
16	JSK Securities Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
17	Punjab Capital Securities (Pvt.) Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	6.2.2A
18	Progressive Investment Management (Pvt.) Ltd	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2.2A
19	Share Centre (Private) Limited	Clean Report	7-May-18	Non-Compliance of CDC Regulations	
20	Iqbal Usman Kodvavi Securities (Pvt.) Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b) & 8.2.1(e)
21	Dossanis Securities (Pvt) Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
22	Seven Star Securities (Pvt.) Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6 (b)
23	First National Equities Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
24	Pace Investment & Securities (Private) Limited	Terminated	16-Apr-18	Voluntarily termination	15.10.1
25	Fortune Securities Limited	Notice of Restriction & Censure	13-Apr-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
26	Mannoo Capital (Pvt.) Limited	Censure Letter	13-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
27	Askari Securities Limited	Censure Letter	9-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
28	Abbasi Securities (Pvt.) Limited	Censure Letter	6-Apr-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6 (b)
29	S.D. Mirza Securities (Pvt.) Limited	Notice of Restriction & Censure	30-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
30	Brains Securities (Pvt.) Limited	Censure Letter	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
31	Adeel & Nadeem Securities (Pvt.) Limited	Notice of Restriction & Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
32	Amer Securities (Pvt.) Limited	Notice of Restriction & Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)



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
33	MND Investment (Pvt.) Limited	Notice of Restriction & Censure	29-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
34	Fair Deal Securities (Pvt.) Limited	Censure Letter	28-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b)
35	KP Securities (Pvt.) Limited	Censure Letter	28-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b)
36	Eleven Stars (Pvt.) Limited	Clean Report	28-Mar-18	Non-Compliance of CDC Regulations	-
37	Kosmopolitan Securities (Private) Limited	Clean Report	28-Mar-18	Non-Compliance of CDC Regulations	-
38	Al-Haq Securities (Pvt.) Limited	Notice of Restriction & Censure	27-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
39	Galaxy Capital Securities (Pvt.) Limited	Clean Report	27-Mar-18	Non-Compliance of CDC Regulations	-
40	Axis Global Limited	Notice of Restriction & Censure	27-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
41	Ali Husain Rajabali Limited	Terminated	22-Mar-18	Voluntary Termination	15.10.1
42	Adam Securities Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
43	Progressive Securities (Pvt.) Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
44	Rahat Securities Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
45	Equity Master Securities (Pvt.) Limited	Censure Letter	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
46	Jamshaid & Hasan Securities (Pvt.) Limited	Notice of Restriction & Censure	21-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
47	Shaffi Securities (Private) Limited	Restricted	19-Mar-18	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-1786 dated March 16, 2018.	15.2.1(a)
48	Maha Securities (Private) Limited	Restricted	19-Mar-18	Due to switching-off the trading terminals by PSX vide notice no. PSX/N-1787 dated March 16, 2018.	15.2.1(a)
49	Shaffi Securities (Private) Limited	Removal of Restriction	19-Mar-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-1802 dated March 19, 2018.	15.6.2
50	Naveed H. M. Idrees (Private) Limited	Terminated	12-Mar-18	Participant has ceased to be Trading Right Entitlement Certificate holder as communicated by PSX vide notice no. PSX/N-1586 dated March 06, 2018.	15.1.1(a)(i) read with 15.2.1
51	Alfalah Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
52	Saya Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 (b)
53	F.M. Securities (Private) Limited	Restricted	9-Mar-18	Consequent to the restriction on opening of new clients account by PSX as notified vide notice no. PSX/N-1671 dated March 09, 2018.	15.2.1(a)
54	128 Securities (Pvt.) Limited	Notice of Restriction & Penalty	8-Mar-18	Non-Compliance of CDC Regulations	6.2.2 6.7.3 (a) 6.2.2A, 6.2.4 6.2.5 6.2.6 (b)
55	Dosslani Securities (Pvt.) Ltd	Notice of Restriction & Penalty	8-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 (a), 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
56	Ismail Iqbal Securities (Pvt.) Limited	Notice of Restriction & Censure	2-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)
57	Aba Ali Habib Securities (Pvt.) Limited	Notice of Restriction & Censure	2-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5, 6.2.6 (b)



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Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
58	Summit Capital (Pvt.) Limited	Notice of Restriction & Censure	2-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
59	Aba Ali Habib Securities (Pvt) Limited	Censure Letter	1-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.7.2, 6.2A.1 & 8.2.1(e)
60	128 Securities (Private) Limited	Restricted	1-Mar-18	Consequent to the restriction on opening of new clients account by PSX as notified vide notice no. PSX/N-1502 dated March 01, 2018.	15.2.1(a)
61	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)
62	Wisdom Securities (Private) Limited	Terminated	22-Feb-18	Voluntary Termination	15.10.1
63	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)
64	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
65	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
66	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
67	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
68	ICON Capital Management (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
69	Fortune Securities Limited - LSI	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
70	Alfalah Securities (Private) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
71	M.M. Securities (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 8.2.1
72	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)
73	New Peak Securities (Pvt.) Limited	Censure Letter	15-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
74	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
75	M.A.N Securities (Pvt.) Limited	Terminated	14-Feb-18	Voluntary Termination	15.10.1
76	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)
77	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
78	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)
79	BlackStone Equities (Private) Limited	Terminated	26-Jan-18	Voluntary Termination	15.10.1
80	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)
81	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
82	XPERT Securities (Private) Limited	Removal of Restriction	19-Jan-18	Participant has complied with Regulation 6.8.2 of the CDC Regulations.	15.6.2
83	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)
84	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
85	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



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
86	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)
87	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)
88	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)
89	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
90	First Capital Equities Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
91	A. N. Equities (Pvt.) Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
92	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
93	Strongman Securities (Pvt.) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
94	Techno Fundamental Securities (Pvt) Ltd.	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
95	Maan Securities (Private) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
96	Sherman Securities (Private) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
97	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
98	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
99	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)
100	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
101	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
102	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
103	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)
104	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
105	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)
106	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)
107	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)
108	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)
109	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)
110	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)
111	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)



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Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
112	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)
113	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)
114	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
115	Topline Securities Limited	Censure Letter	29-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.7.1
116	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
117	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
118	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
119	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
120	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
121	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
122	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)
123	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
124	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
125	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
126	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
127	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)
128	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
129	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
130	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
131	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
132	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
133	Din Capital Limited	Revised Notice of Restriction	8-Nov-17	Due to advise of PSX vide email dated November 07, 2017	15.6.2
134	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



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
135	Millennium Securities & Investments (Private) Limited	Restricted	6-Nov-17	Consequent FS as of June 30, 2017 submitted by Participant under Regulation 6.8.2 of the CDC Regulations discloses negative Capital Adequacy Level	15.3.1(a)
136	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)
137	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)
138	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)
139	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)
140	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)
141	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)
142	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)
143	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)
144	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)
145	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)
146	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
147	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
148	Earth Securities (Private) Limited	Terminated	16-Oct-17	Voluntary Termintaion	15.10.1
149	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
150	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
151	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)
152	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
153	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
154	Security Investment Bank Limited	Terminated	29-Sep-17	Voluntary Termintaion	15.10.1
155	Kausar Securities (Private) Limited	Terminated	27-Sep-17	Voluntary Termintaion	15.10.1
156	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 & 6.2A
157	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



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
158	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
159	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)
160	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)
161	Global Securities Pakistan Limited	Terminated	21-Sep-17	Voluntary Termination	15.10.1
162	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)
163	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)
164	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
165	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
166	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
167	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
168	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
169	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
170	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
171	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
172	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
173	Adeel Zafar Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6.
174	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
175	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
176	AAA Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
177	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
178	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



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
179	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
180	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
181	Amanah Investments Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6.
182	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
183	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
184	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
185	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
186	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
187	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
188	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
189	UNEX Securities (Pvt) Limited	Censure Letter	4-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
190	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
191	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)
192	NIB Bank Limited	Terminated	1-Aug-17	Voluntary Termination	15.10.1
193	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
194	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
195	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)
196	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
197	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)
198	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)
199	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)
200	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
201	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



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
202	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
203	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)
204	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
205	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
206	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)
207	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)
208	Allied Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
209	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)
210	Interactive Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
211	Chippa Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
212	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)
213	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)
214	MAN Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
215	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)
216	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)
217	MAC Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
218	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)
219	Motiwala Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
220	MY Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
221	AAU Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
222	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)
223	Ahsam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
224	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)
225	BMS Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
226	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)
227	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)
228	Fort Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
229	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)
230	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)
231	Khayyam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
232	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)
233	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)
234	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)
235	Schon Capital Markets Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
236	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)
237	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)
238	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)
239	Union Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
240	Venus Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
241	ZM Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
242	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)
243	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)
244	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)
245	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)



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
246	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)
247	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
248	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
249	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
250	ASA STOCKS (PVT.) LIMITED	Censure Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
251	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
252	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)
253	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
254	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
255	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
256	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
257	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
258	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
259	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
260	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
261	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
262	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
263	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
264	Network Securities Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
265	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
266	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
267	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)
268	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	-
269	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)
270	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
271	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
272	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
273	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



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
274	TARIQ VOHRA SECURITIES (PVT) LIMITED	Censure Notice	30-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
275	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
276	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
277	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
278	H.H.K. Securities (Pvt.) Limited	Notice of Restriction & Penalty	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
279	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
280	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
281	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
282	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)
283	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)
284	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
285	First Equity Modaraba	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
286	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
287	Surmawala Securities (Private) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
288	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
289	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
290	MULTILINE SECURITIES (PVT.) LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
291	Dattoo Securities (Pvt) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
292	SECURITY INVESTMENT BANK LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.6 & 6.2.6
293	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)
294	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)
295	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)
296	ESCORTS CAPITAL LIMITED	Restricted	6-Mar-17	Participant has not complied with Regulation 6.8.1 of the CDC Regulations.	15.2.1(a)
297	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)
298	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)
299	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)



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
300	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)
301	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)
302	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)
303	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)
304	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)
305	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)
306	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)
307	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)
308	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)
309	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)
310	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)
311	Universal Equities (Private) Limited	Terminated	2-Mar-17	Voluntary Termination	15.10.1
312	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
313	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
314	MAM Securities (Private) Limited	Suspended	20-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
315	Sunrise Capital (Private) Limited	Suspended	17-Feb-17	Due to non-compliances of regulatory provisions	15.2.1(b)
316	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.
317	M. R. Securities (SMC-PVT.) Limited	Intention of further Suspension	6-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
318	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)
319	AWJ Securities (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
320	Sunrise Capital (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
321	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)
322	Zafar Securities (Private) Limited	Removal of Restriction	30-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
323	Sonia Shahzad Securities (Private) Limited	Terminated	24-Jan-17	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
324	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
325	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
326	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)
327	AM Chaudhry Securities (Private) Limited	Removal of Restriction	13-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
328	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
329	Mashhadi Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
330	SIS Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
331	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)
332	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)
333	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)
334	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
335	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)
336	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
337	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
338	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
339	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
340	Malik Securities (Private) Limited	Terminated	6-Jan-17	Voluntary Termination	15.10.1
341	S A Securities (Pvt) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
342	SIS Securities (Private) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
343	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)
344	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)
345	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)



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
346	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)
347	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)
348	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)
349	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)
350	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)
351	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)
352	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)
353	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)
354	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)
355	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)
356	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)
357	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)
358	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)
359	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)
360	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)



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
361	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)
362	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)
363	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)
364	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)
365	Allied Bank Limited- KSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
366	Allied Bank Limited - LSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
367	Allied Bank Limited- ISE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
368	Allied Bank Limited- KSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
369	Allied Bank Limited - LSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
370	Allied Bank Limited- ISE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
371	Sunrise Capital (Private) Limited	Restricted	21-Dec-16	Due to contravention of provisions of the CDC Regulations	15.2.1(a)
372	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
373	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
374	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
375	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
376	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
377	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
378	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
379	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
380	M H Securities (Pvt.) Limited	Censure Notice	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6
381	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
382	Vector Securities (Pvt) Ltd.	Censure Notice	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6, 3.7
383	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
384	Ghory's Securities (Pvt.) Limited	Terminated	9-Dec-16	Voluntary Termination	15.10.1
385	Paramount Securities (SMC-Private) Limited	Terminated	8-Dec-16	Voluntary Termination	15.10.1
386	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
387	Y.S. Stocks (Private) Limited	Terminated	2-Dec-16	Voluntary Termination	15.10.1
388	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)
389	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
390	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



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
391	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
392	First Punjab Modaraba	Terminated	14-Nov-16	Voluntary Termination	15.10.1
393	MYM Equities (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
394	Fort Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
395	Abid Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
396	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
397	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
398	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
399	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
400	Sunrise Capital (Private) Limited	Censure Notice	1-Nov-16	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.25, 6.2.6, 3.7
401	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)
402	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
403	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
404	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
405	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
406	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
407	Akbani Securities (SMC-PVT) Limited	Terminated	25-Oct-16	Voluntary Termination	15.10.1
408	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
409	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
410	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
411	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
412	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
413	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
414	Zillion Capital Securities (Pvt.) Limited	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
415	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
416	Prosperity Securities (Private) Limited	Terminated	18-Oct-16	Voluntary Termination	15.10.1
417	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
418	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)
419	Growth Securities (Pvt) Limited	Notice of Restriction	10-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
420	TS Securities (Pvt) Ltd	Notice of Restriction	10-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
421	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)



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
422	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)
423	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)
424	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)
425	Star Securities (Private) Limited	Terminated	10-Oct-16	Voluntary Termination	15.10.1
426	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)
427	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
428	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
429	MBJ Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
430	Taha Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
431	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)
432	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)
433	Smart Investments Capital Management (Pvt.) Limited	Terminated	8-Sep-16	Voluntary Termination	15.10.1
434	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
435	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)
436	Nizam Securities (Private) Limited	Terminated	1-Sep-16	Voluntary Termination	15.10.1
437	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)
438	AB Equities (Private) Limited	Removal of Suspension	26-Aug-16	Participant has complied with the Regulation 6.8.2	15.6.2
439	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)
440	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)
441	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)
442	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)
443	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)



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
444	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)
445	H.M.Y. Securities (Private) Limited	Terminated	19-Aug-16	Voluntary Termination	15.10.1
446	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)
447	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
448	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
449	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)
450	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
451	Alpha Beta Capital Markets (Private) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
452	Amin Tai Securities (Private) Limited	Terminated	20-Jul-16	Voluntary Termination	15.10.1
453	Concept Securities (Private) Limited	Terminated	13-Jul-16	Voluntary Termination	15.10.1
454	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)
455	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)
456	Platinum Capital Management (Private) Limited	Terminated	24-Jun-16	Voluntary Termination	15.10.1
457	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)
458	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
459	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
460	Dugan Securities (Private) Limited	Terminated	6-Jun-16	Voluntary Termination	15.10.1
461	Shehzad Chamdia Securities (Pvt.) Limited	Terminated	3-Jun-16	Voluntary Termination	15.10.1
462	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
463	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)
464	Mikon Securities (Pvt.) Limited	Terminated	27-May-16	Voluntary Termination	15.10.1
465	Sohail Raza Moosani (SMC-Pvt) Limited	Terminated	25-May-16	Voluntary Termination	15.10.1
466	Main Muhammad Akram Securities (Pvt.) Limited	Terminated	18-May-16	Voluntary Termination	15.10.1
467	Muhammad Bashir Kasmani Securities (Pvt.) Limited	Terminated	17-May-16	Voluntary Termination	15.10.1
468	Munaf Sattar Securities (Pvt.) Limited	Terminated	9-May-16	Voluntary Termination	15.10.1
469	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)



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
470	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
471	Uzma Shabbir Securities (Private) Limited	Terminated	12-Apr-16	Voluntary Termination	15.10.1
472	H.R. Securities & Brokerage (Private) Limited	Terminated	7-Apr-16	Voluntary Termination	15.10.1
473	Al Asar Securities (Private) Limited	Terminated	6-Apr-16	Voluntary Termination	15.10.1
474	Akd Analytics (Private) Limited	Removal of Suspension	5-Apr-16	Participant has complied with the Regulation 6.8.2	15.6.2
475	Samba Bank Limited	Terminated	25-Mar-16	Voluntary Termination	15.10.1
476	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
477	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)
478	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
479	A.H.K.D. Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
480	Ab Equities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
481	Akd Analytics (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
482	Pak United Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
483	Invisor Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
484	QF Securities (Pvt) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
485	Khoja'S Capital Management (Pvt.) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
486	Al-Mal Securities & Services Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
487	Mohammed Hanif Moosa	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
488	Investec Securities Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
489	Javed Omer Vohra & Company Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
490	Yousuf Ebrahim	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
491	Shahid Hassan Awan	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
492	Mohammad Tanveer Malik	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
493	Islamabad Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
494	Orion Investments (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
495	Tariq Sayeed Securities (Private) Limited	Removal of Restriction	1-Mar-16	Participant has complied with the Regulation 6.8.2	15.6.2
496	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)
497	Elixir Securities Pakistan (Pvt.) Limited	Removal of Restriction	24-Feb-16	Participant has complied with the Regulation 6.8.1	15.6.2
498	Fincap Investments (Private) Limited	Notice in respect of Participant	3-Feb-16	Participant has complied with the Regulation 6.8.2	15.6.2
499	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
500	Trust Capital (Private) Limited	Suspended	25-Jan-16	on the completion of 60 days of Restriction.	15.3.7(b)
501	Saima Qaiser Securities (Pvt) Limited	Removal of Restriction	22-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
502	Safe Securities (Pvt.) Limited	Terminated	18-Jan-16	Voluntary Termination	15.10.1
503	JCR Capital Securities (Private) Limited	Removal of Restriction	13-Jan-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
504	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
505	SMB Securities (Private) Limited	Removal of Restriction	30-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
506	Kayzone Capital Markets (SMC-Private) Limited	Restricted	23-Dec-15	Due to switching off of all trading terminals by the LSE vide notice no.6621 Dated December 22, 2015 received by CDC on December 23, 2015.	15.2.1(a)
507	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
508	Faith Securities (Private) Limited	Removal of Restriction	18-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
509	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)
510	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)
511	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)
512	Aziz Fidahussein & 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)
513	Shaukat Shaffi Securities (Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
514	First Fidelity Leasing Modaraba	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
515	Sohail Raza Moosani (Smc-Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
516	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)
517	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)
518	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)
519	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)
520	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)
521	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)
522	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)



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
523	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)
524	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)
525	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)
526	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)
527	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)
528	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)
529	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)
530	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)
531	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)
532	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)
533	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)
534	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)
535	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)
536	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)
537	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)



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	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)
539	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)
540	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)
541	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)
542	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)
543	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)
544	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)
545	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)
546	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
547	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)
548	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)
549	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)
550	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)
551	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)
552	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
553	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
554	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
555	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
556	Hatim Investments & Securities (Pvt.) Limited	Terminated	18-Sep-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
557	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
558	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	31-Aug-15	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
559	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)
560	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
561	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)
562	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
563	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
564	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
565	WE Financial Services Limited	Notice of Imposition of Penalty	24-Jul-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
566	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)
567	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)
568	Aziz Fidahusein & Company (Private) Limited	Restricted	22-Jul-15	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by KSE vide notice no. KSE/N-3626 dated July 16, 2015	15.2.1(a)
569	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)
570	Aziz Fidahusein & Company (Private) Limited	Restricted	14-Jul-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1
571	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
572	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)
573	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
574	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)



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
575	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)
576	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
577	Investforum (Smc-Pvt) Limited	Notice of Imposition of Penalty	19-Jun-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
578	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
579	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)
580	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)
581	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)
582	MAK Securities (Private) Limited	Terminated	30-Apr-15	Voluntary Termination	15.10.1
583	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)
584	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
585	Alfa Adhi Securities (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
586	Ali Husain Rajabali Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
587	AWJ Securities (Private) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
588	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
589	Prime Securities (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
590	AZEE Securities (Private) Limited	Notice of Imposition of Penalty	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
591	Alfalah Securities (Private) Limited	Notice of Imposition of Penalty	14-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
592	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
593	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.	-
594	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
595	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
596	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
597	Moosani Securities (Pvt.) Limited	Terminated	6-Mar-15	Voluntary Termination	15.10.1
598	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



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
599	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
600	Capital Vision Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Feb-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
601	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
602	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
603	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
604	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
605	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
606	Aazeb Securities (Private) Limited	Terminated	24-Dec-14	Voluntary Termination	15.10.1
607	Dosslanis Securities (Pvt.) Limited	Censure Notice	12-Dec-14	Non-Compliance of CDC Regulations	6.2.6
608	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.	-
609	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.	-
610	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)
611	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)
612	AFIC Securities (Private) Limited	Terminated	4-Sep-14	Voluntary Termination	15.10.1
613	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)
614	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
615	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
616	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
617	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)
618	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
619	Ghory's Securities (Private) Limited	Suspended	11-Jun-14	Consequent to completion of 60 Business Day of Restriction	15.3.7(b)
620	Invest Capital Markets Limited	Notice of Imposition of Penalty	10-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
621	High Land Securities (Pvt.) Limited	Censure Notice	5-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
622	Din Capital (Pvt.) Limited	Censure Notice	8-May-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
623	Ayub Chaudhry Investments (Pvt.) Limited	Censure Notice	24-Apr-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
624	Muhammad Tariq Moti Securities (Pvt.) Limited	Censure Notice	10-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
625	SAAO Capital (Pvt.) Limited	Censure Notice	9-Apr-14	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
626	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	9-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
627	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
628	Islamabad Securities (Private) Limited	Suspended	7-Apr-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE	15.2.1(b)
629	Aziz Fidahusein & Company (Pvt.) Limited	Censure Notice	26-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
630	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
631	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)
632	Alfalah Securities (Private) Limited	Censure Notice	21-Mar-14	Non-Compliance of CDC Regulations	6.2.6
633	Excel Securities (Pvt.) Limited	Suspended	21-Mar-14	Pursuant to directive dated February 20, 2014 of the SECP.	15.2.1(b)
634	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)
635	Multiline Securities (Pvt.) Limited	Censure Notice	13-Mar-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
636	Apex Capital Securities (Private) Limited	Censure Notice	4-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
637	Pearl Brokerage (Pvt.) Limited	Notice of Imposition of Penalty	4-Mar-14	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
638	Maximus Securities (Private) Limited	Terminated	4-Mar-14	Voluntary Termination	15.10.1
639	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)
640	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
641	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)
642	Capital Vision Securities (Pvt.) Limited	Censure Notice	14-Feb-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
643	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
644	Nasir Ali Shah Bukhari	Terminated	41684	Voluntary Termination	15.10.1
645	Prime Securities (Pvt.) Limited	Censure Notice	13-Feb-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
646	Escorts Capital Limited	Notice of Imposition of Penalty	31-Jan-14	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
647	G. R. Securities (SMC-Pvt.) Limited	Terminated	30-Jan-14	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE	15.3.7
648	Maximus Securities (Pvt.) Limited	Restricted	29-Jan-14	Consequent to expiry of broker registration as notified by LSE.	15.2.1(a)
649	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)
650	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)
651	SNM Securities (Private) Limited	Restricted	26-Dec-13	Consequent to deactivation of all trading terminals by the KSE	15.1.1(a)
652	M. J. Memon Securities (Pvt.) Limited	Censure Notice	18-Dec-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
653	Maha Securities (Pvt.) Limited	Censure Notice	9-Dec-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
654	Highlink Capital (Private) Limited	Restricted	29-Nov-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
655	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
656	Hameed Mukhtar Chaudhry	Terminated	27-Nov-13	Voluntary Termination	15.10.1
657	Excel Securities (Pvt.) Limited	Censure Notice	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
658	Mian Muhammad Akram Securities (Pvt.) Limited	Censure Notice	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
659	MTM Securities (Private) Limited	Terminated	20-Nov-13	Voluntary Termination	15.10.1
660	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Nov-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
661	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)
662	Trade-In-Securities (Pvt.) Limited	Censure Notice	7-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
663	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	6-Nov-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
664	MCFSL - Trustee MCFSL Trustee Atlas Fund of Funds	Terminated	6-Nov-13	Voluntary Termination	15.10.1
665	Jamshaid & Hasan Securities (Pvt.) Limited	Notice of Imposition of Penalty	5-Nov-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
666	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
667	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
668	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)
669	Fair Edge Securities (Pvt.) Limited	Censure Notice	24-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
670	AZEE Securities (Private) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
671	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
672	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)
673	Dosslanis Securities (Pvt.) Limited	Notice of Imposition of Penalty	2-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
674	Gul Dhami Securities (Pvt.) Limited	Censure Notice	30-Sep-13	Non-Compliance of CDC Regulations	6.2.6
675	AMCAP Securities (Private) Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
676	First Pakistan Securities Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
677	Dattoo Securities (Pvt.) Limited	Censure Notice	27-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
678	Intermarket Securities Limited	Censure Notice	26-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
679	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)
680	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
681	Oriental Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
682	Standard Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
683	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
684	SNM Securities (Private) Limited	Censure Notice	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
685	Axis Global Limited	Notice of Imposition of Penalty	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
686	Sakarwala Capital Securities (Pvt.) Limited	Censure Notice	20-Aug-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
687	Akhai Securities (Pvt.) Limited	Notice of Imposition of Penalty	31-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
688	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
689	DJM Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-Jul-13	Non-Compliance of CDC Regulations	6.7.2 & 6.2A.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
690	Live Securities Limited	Notice of Imposition of Penalty	19-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
691	Invest Capital Markets Limited	Notice of Imposition of Penalty	11-Jul-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.1
692	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
693	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
694	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
695	Arif Majid Chaudhary	Terminated	26-Jun-13	Voluntary Termination	15.10.1
696	Continental Capital Management (Pvt.) Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
697	Irfan Mazhar Securities (Pvt.) Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
698	KASB Securities Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
699	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
700	Mian Nusrat-Ud-Din	Notice of Imposition of Penalty	21-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
701	Darson Securities (Private) Limited	Censure Notice	19-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
702	M.R.A. Securities (Pvt.) Limited	Censure Notice	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
703	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
704	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
705	Live Securities Limited	Extension of Restricted Period	10-Jun-13	Due to non-resolution of investor's complaint against the Participant	15.3.1
706	Alfalah Securities (Private) Limited	Notice of Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.7.3
707	Progressive Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.6
708	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
709	Ghani Osman Securities (Pvt.) Limited	Censure Notice	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
710	Multiline Securities (Pvt.) Limited	Censure Notice	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6
711	Moonaco Securities (Pvt.) Limited	Censure Notice	3-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
712	Bawa Securities (Pvt.) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
713	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
714	Alfa Adhi Securities (Pvt.) Limited	Censure Notice	24-May-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
715	Adeel & Nadeem Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
716	Aziz Fidhusein & Company (Pvt.) Limited	Notice of Imposition of Penalty	22-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
717	Hameed Mukhtar Chaudhry	Removal of Restriction	21-May-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
718	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
719	ZHV Securities (Private) Limited	Terminated	15-May-13	Consequent to Forfeiture of TRE Certificate by KSE	15.3.7
720	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Suspension	15-May-13	Consequent to suspension of TRE Certificate by KSE	15.2.1(b)
721	Saliha Haroon	Terminated	15-May-13	Voluntary Termination	15.10.1
722	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
723	We Financial Services Limited	Notice of Imposition of Penalty	14-May-13	Non-Compliance of CDC Regulations	6.2.2 and 6.7.3
724	Zahid Ali Habib	Terminated	14-May-13	Voluntary Termination	15.10.1
725	SAZ Capital Securities (Pvt.) Limited	Censure Notice	9-May-13	Non-Compliance of CDC Regulations	6.2.6
726	Arif Latif	Terminated	9-May-13	Voluntary Termination	15.10.1
727	Mian Nusrat-Ud-Din	Terminated	9-May-13	Voluntary Termination	15.10.1
728	Mohammad Amer Riaz	Terminated	9-May-13	Voluntary Termination	15.10.1
729	M. Ayub Ch.	Terminated	9-May-13	Voluntary Termination	15.10.1
730	Sajid Masood	Terminated	9-May-13	Voluntary Termination	15.10.1
731	Saima Qaiser	Terminated	9-May-13	Voluntary Termination	15.10.1
732	First Fidelity Leasing Modaraba	Restricted	8-May-13	Consequent to Switching off trading terminals by the ISE	15.2.1(a)
733	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
734	Seven Star Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
735	Arif Latif	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
736	Mian Nusrat-Ud-Din	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
737	Mohammad Amer Riaz	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
738	Zahid Ali Habib	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
739	Arif Majid Chaudhary	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
740	Saliha Haroon	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
741	M. Ayub Ch.	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
742	Hameed Mukhtar Ch.	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
743	Nasir Ali Shah Bukhari	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
744	Sajid Masood	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
745	Saima Qaiser	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
746	H. M. Idrees H. Adam	Terminated	6-May-13	Voluntary Termination	15.10.1
747	Tewfiq Mohammad Amin Fikree	Terminated	6-May-13	Voluntary Termination	15.10.1
748	Muhammad Tariq Moti	Terminated	6-May-13	Voluntary Termination	15.10.1
749	Rayomund J.H.P Byramji	Terminated	6-May-13	Voluntary Termination	15.10.1
750	Dawood Mohammad	Terminated	6-May-13	Voluntary Termination	15.10.1
751	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
752	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
753	A. I. Securities (Pvt.) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
754	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
755	Sajid Masood	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
756	Stock Street (Private) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.2A.1 & 9.1.1
757	ZHV Securities (Private) Limited	Notice of Suspension	11-Apr-13	Consequent to suspension of TRE Certificate by the KSE	15.2.1(b)
758	Dalia Securities (Pvt.) Limited	Censure Notice	9-Apr-13	Non-Compliance of CDC Regulations	6.2.6
759	Pearl Brokerage (Pvt.) Limited	Censure Notice	9-Apr-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
760	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)
761	Blackstone Equities (Pvt.) Limited	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
762	Creative Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
763	Prosperity Securities (SMC-Pvt.) Limited	Notice of Suspension	3-Apr-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
764	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
765	Techno Fundamental Securities (Pvt.) Limited	Censure Notice	27-Mar-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
766	Fair Deal Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
767	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
768	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
769	Ms. Saliha Haroon	Notice of Imposition of Penalty	26-Mar-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
770	Alfalah Securities (Private) Limited	Removal of Restriction	25-Mar-13	Consequent to restoration of trading right entitlement certificate by the KSE	15.6.2
771	First National Equities Limited	Removal of Intention to Suspend	18-Mar-13	Participant has settled the fine imposed by CDC	15.9.1(e)
772	Switch Securities (Private) Limited	Censure Notice	15-Mar-13	Non-Compliance of CDC Regulations	6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
773	Alfalah Securities (Private) Limited	Restricted	15-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
774	ZHV Securities (Private) Limited	Restricted	13-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
775	Friendly Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
776	Khanani Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.2A.1
777	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
778	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)
779	M. J. Memon Securities (Pvt.) Limited	Censure Notice	27-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
780	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)
781	Sherman Securities (Pvt.) Limited	Notice of Imposition of Penalty	20-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
782	GMI Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	19-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
783	KSR Stock Brokerage (Pvt.) Limited	Censure Notice	15-Feb-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 9.1.1
784	Arif Majid Chaudhry	Restricted	15-Feb-13	SECP directive pursuant to Rule 7 of Central Depository Companies (Establishment and Regulation) Rules, 1996	-
785	Baba Equities (Pvt.) Limited	Censure Notice	12-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
786	MCBFSL - Trustee AH Dow Jones Pak Titans 15 Index Fund	Terminated	12-Feb-13	Voluntary Termination	15.10.1
787	Safe Securities (Pvt.) Limited	Censure Notice	11-Feb-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
788	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
789	Arif Majid Chaudhry	Removal of Suspension	11-Feb-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
790	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
791	Habib Metropolitan Financial Services Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
792	Infinite Securities Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
793	Muhammad Ayub Chaudhry	Notice of Imposition of Penalty	28-Jan-13	Non-Compliance of CDC Regulations	6.2.2 & 9.1.1
794	Jahanzaib Gondal	Terminated	24-Jan-13	Voluntary Termination	15.10.1
795	A. S. Securities (Private) Limited	Suspended	11-Jan-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
796	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)
797	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)



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	AWJ Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
799	Excel Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
800	Zafar Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
801	Imperial Investments (Private) Limited	Terminated	24-Dec-12	Consequent to expulsion of Participant by the KSE.	15.3.7
802	ACE Securities (Private) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
803	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
804	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
805	Ahmad Shoaib Akram	Terminated	18-Dec-12	Voluntary Termination	15.10.1
806	Arif Majid Chaudhry	Suspended	17-Dec-12	Consequent to suspension of trading right entitlement certificate by the LSE	15.2.1(b)
807	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)
808	Arif Majid Chaudhry	Restricted	14-Dec-12	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
809	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)
810	Arif Majid Chaudhry	Intention to Suspend	30-Nov-12	Due to failure to pay CDC dues	15.9.1(e)
811	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
812	Imperial Investments (Private) Limited	Suspended	13-Nov-12	Consequent to suspension of trading right entitlement certificate by the ISE	15.2.1(b)
813	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	30-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
814	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
815	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)
816	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	19-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
817	Pearl Securities Limited	Notice of Imposition of Penalty	18-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
818	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)
819	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)
820	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)
821	Dattoo Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Oct-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
822	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
823	Rayomund J.H.P. Byramji	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
824	Pearl Capital Management (Private) Limited	Terminated	4-Oct-12	Membership suspended by the KSE.	15.3.7
825	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
826	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	28-Sep-12	Non-Compliance of CDC Regulations	6.2 & 6.2.6
827	Gul Dhami Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Sep-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
828	F.M. Securities (Pvt.) Limited	Notice of Imposition of Penalty	14-Sep-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
829	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
830	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
831	Jahangir Siddiqui & Company Limited	Terminated	11-Sep-12	Voluntary Termination	15.10.1
832	Dosslanis Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
833	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)
834	Pearl Capital Management (Private) Limited	Suspended	24-Aug-12	Membership suspended by the KSE.	15.2.1(b)
835	NBP Trustee - NI(U)T (LOC) Fund	Terminated	15-Aug-12	Voluntary Termination	15.10.1
836	First Pakistan Securities Limited	Notice of Imposition of Penalty	9-Aug-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
837	Switch Securities (Private) Limited	Removal of Intention	8/3/2012	Participant has settled the CDC outstanding dues	15.9.1(e)
838	Unex Securities (Pvt.) Limited	Censure Notice	1-Aug-12	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
839	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
840	Arif Majid Chaudhry	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
841	Live Securities Limited	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
842	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
843	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
844	Salma	Terminated	20-Jul-12	Voluntary Termination	15.10.1
845	YKD Securities (Pvt.) Limited	Terminated	19-Jul-12	Voluntary Termination	15.10.1
846	Al-Hamd Investment and Securities (Private) Ltd.	Terminated	19-Jul-12	Voluntary Termination	15.10.1
847	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
848	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
849	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



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
850	Al-Hamd Investment and Securities (Private) Ltd.	Suspended	25-Jun-12	Consequent to completion of 60 Business Days of Restrictions	15.3.7(b)
851	Salman Capital Investments (Private) Limited	Terminated	22-Jun-12	Voluntary Termination	15.10.1
852	Invisor Securities (Private) Limited	Removal of Restriction	18-Jun-12	Consequent to change of status as an Active Member by KSE	15.6.2
853	Dawoodi Alibhoy Morkas	Terminated	14-Jun-12	Voluntary Termination	15.10.1
854	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Terminated	13-Jun-12	Consequent to cancellation of the membership by the ISE	15.3.7
855	Beaming Investment and Securities (Private) Limited	Suspended	8-Jun-12	Consequent to Suspension of Membership by the ISE.	15.2.1(b)
856	United Capital Securities (Private) Limited	Terminated	6/3/2012	Consequent to expulsion of Participant by the KSE.	15.3.7
857	H. H. K. Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
858	Khoja's Capital Management (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
859	Mr. Haroon Suleman	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
860	MAK Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
861	Motiwala Securities (Private) Limited	Restricted	3-Jun-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
862	Naveed H. M. Idrees	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
863	Latif Suleman Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
864	H. H. K. Securities (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
865	Motiwala Securities (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
866	Khoja's Capital Management (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
867	Khawaja Securities (Pvt) Limited	Removal of Suspension	30-May-12	Consequent to restoration of trading terminals	15.6.2
868	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Suspended	28-May-12	Consequent to Suspension of membership by the ISE.	15.2.1(b)
869	Beaming Investment and Securities (Private) Limited	Restricted	28-May-12	Consequent to Switching off trading terminals by the ISE.	15.2.1(a)
870	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
871	SAL Securities (Pvt.) Limited	Censure Notice	25-May-12	Non-Compliance of CDC Regulations	6.2.6 & A041
872	A.H.K.D. Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)
873	Invisor Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)
874	Arif Habib Securities Limited	Terminated	23-May-12	Voluntary Termination	15.10.1
875	Escorts Investment Bank Limited	Terminated	22-May-12	Voluntary Termination	15.10.1
876	MCFSL - Trustee UBL Capital Protected Fund-II	Terminated	22-May-12	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
877	Stock Master Securities (Private) Limited	Terminated	16-May-12	Consequent to Expulsion of the membership by the LSE	15.3.7
878	Latif Suleman Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
879	Aqeel Karim Dhedhi Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
880	Hum Securities Limited	Terminated	8-May-12	Voluntary Termination	15.10.1
881	Khoja's Capital Management (Private) Limited	Intention to Suspend	30-Apr-12	Due to failure to pay CDC dues	15.9.1(e)
882	Naveed H. M. Idrees	Terminated	30-Apr-12	Voluntary Termination	15.10.1
883	Beaming Investment and Securities (Private) Limited	Restricted	27-Apr-12	Consequent to Switching off of trading terminals by the ISE.	15.2.1(a)
884	Y. S. Securities & Services (Private) Limited	Terminated	24-Apr-12	Consequent to Expulsion by the LSE	15.3.7
885	Trust Capital (Private) Limited	Restricted	18-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
886	Arif Majid Chaudhry	Removal of Intention to Suspend	18-Apr-12	Participant has settled the CDC outstanding dues	15.9.1(e)
887	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)
888	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)
889	Salman Capital Investments (Private) Limited	Restricted	12-Apr-12	Consequent to change of status as inactive member	15.2.1(a)
890	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)
891	Y. S. Securities & Services (Private) Limited	Suspended	10-Apr-12	Consequent to Suspension of membership by the LSE.	15.2.1(b)
892	Y. S. Securities & Services (Private) Limited	Restricted	9-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
893	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)
894	Dawoodi Alibhoy Morkas	Restricted	5-Apr-12	Consequent to Switching off trading terminals by the ISE.	15.2.1(a)
895	Al-Haq Securities (Pvt.) Limited	Censure Notice	30-Mar-12	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
896	Ms. Saliha Haroon	Censure Notice	30-Mar-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
897	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)
898	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)
899	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)
900	Harvest Smarttrend Sec. (Private) Limited	Removal of Intention	27-Mar-12	Participant has settled the CDC outstanding dues	15.9.1(e)
901	Universal Equities (Private) Limited	Restricted	26-Mar-12	Non-Renewal of Broker Registration Certificate	15.2.1(a)
902	MAK Securities (Private) Limited	Terminated	22-Mar-12	Voluntary Termination	15.10.1
903	Haroon Suleman	Terminated	22-Mar-12	Ceasing of as Member of KSE	15.2.1(c)
904	First National Equities Limited	Removal of Restriction	22-Mar-12	Participant complied with Regulatory requirements relating to transfer of securities	15.2.1(a)
905	Mr. Shahid Nauman Rana	Terminated	16-Mar-12	Due to declaration of the Participant as defaulter by the LSE	15.2.1(c)



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
906	Hum Securities Limited	Restricted	13-Mar-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
907	Javed Iqbal Securities (Pvt.) Limited	Censure Notice	28-Feb-12	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
908	National Bank of Pakistan	Terminated	28-Feb-12	Voluntary Termination	15.10.1
909	AKY Securities (Pvt.) Limited	Terminated	27-Feb-12	Voluntary Termination	15.10.1
910	Value Stock Securities (Pvt.) Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
911	First Dawood Investment Bank Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
912	Pak United Securities (Private) Limited	Restricted	14-Feb-12	Consequent to non-renewable of broker registration certificate	15.2.1(a)
913	Shehzad Chamdia Securities (Private) Limited	Terminated	2/3/2012	Voluntary Termination	15.10.1
914	Trustee of AH-Pak Brunei Islamic Income Fund	Terminated	2/3/2012	Voluntary Termination	15.10.1
915	Switch Securities (Private) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
916	Harvest Smartrend Securities (Pvt.) Ltd.	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
917	Mr. Arif Majid Chaudhry	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
918	Value Stock Securities (Pvt.) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
919	First Dawood Investment Bank Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
920	United Capital Securities (Private) Limited	Suspended	1-Feb-12	Consequent to suspension of membership by the KSE.	15.2.1(b)
921	United Capital Securities (Private) Limited	Restriction	31-Jan-12	Consequent of Switching off of trading terminals by the KSE.	15.2.1(a)
922	First National Equities Limited	Notice of Imposition of Penalty	23-Jan-12	Non-Compliance of CDC Regulations	6.7.3 & 4.19
923	AFIC Securities (Private) Limited	Censure Notice	18-Jan-12	Non-Compliance of CDC Regulations	6.2.6
924	Standard Securities (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
925	Elite Stock Services (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
926	United Capital Securities (Private) Limited	Revised Notice of Intention to suspend	3-Jan-12	Extending the period of Restriction.	9.1.1
927	Zafar Moti Capital Securities (Private) Limited	Removal of Restriction	2-Jan-12	Pursuant to Court Order dated 30-12-2011.	Court Order