



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	ASA Stocks (Private) Limited	Removal of Restriction	29-Jun-18	Consequent to restoration of trading terminals by PSX as notified vide notice no. PSX/N-3946 dated June 29, 2018.	15.6.2
2	Sakarwala Capital Securities (Pvt) Ltd.	Censure Letter	27-Jun-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
3	High Land Securities (Pvt) Limited	Censure Letter	27-Jun-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A.1
4	128 SECURITIES (Pvt.) LIMITED	Censure Letter	27-Jun-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 6.2A.1 & 8.2.1
5	KP Securities (Private) Limited	Removal of Restriction	27-Jun-18	Consequent to restoration of trading terminals by PSX as notified vide notice no. PSX/N-3897 dated June 27, 2018.	15.6.2
6	Fairtrade Capital Securities (Private) Limited	Restricted	25-Jun-18	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-3828 dated June 22, 2018 in respect of the opening of new Sub-Account.	15.2.1(a)
7	R.T. Securities (Pvt) Limited - LSI	Censure Letter	21-Jun-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
8	Gulrez Securities (Private) Limited	Censure Letter	21-Jun-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 6.2A.1
9	Summit Capital (Private) Limited	Censure Letter	21-Jun-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 & 8.6.1 (e)
10	KP Securities (Private) Limited	Restricted	20-Jun-18	Consequent to switching-off the trading terminals by PSX as notified vide notice no. PSX/N-3783 dated June 20, 2018.	15.2.1(a)
11	ASA Stocks (Private) Limited	Restricted	20-Jun-18	Consequent to switching-off the trading terminals by PSX vide notice no. PSX/N-3783 dated June 20, 2018.	15.2.1(a)
12	AMCAP Securities (Private) Limited	Modified Restrictions	19-Jun-18	Consequent to removal of suspension NCCPL as notified vide notice no. NCCPL/CRO/79/18 dated June 19, 2018. However, Restriction in respect of	15.6.2
13	AMCAP Securities (Private) Limited	Suspended	19-Jun-18	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/78/18 dated June 19, 2018.	15.2.1(b)
14	Adeel Zafar Securities (Private) Limited	Terminated	1-Jun-18	Voluntary Termination	15.10.1
15	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
16	First Zeiva (Private) Limited	Terminated	29-May-18	Voluntary Termination	15.10.1
17	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)
18	Pearl Brokerage Private Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
19	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
20	Continental Capital Management (Pvt) Ltd	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
21	Rahat Securities Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
22	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
23	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
24	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)
25	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)
26	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
27	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
28	Hamza Farhad Securities (Pvt.) Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	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
29	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
30	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
31	Punjab Capital Securities (Pvt.) Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	6.2.2A
32	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
33	Share Centre (Private) Limited	Clean Report	7-May-18	Non-Compliance of CDC Regulations	
34	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)
35	Dosslanis Securities (Pvt) Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
36	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)
37	First National Equities Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
38	Pace Investment & Securities (Private) Limited	Terminated	16-Apr-18	Voluntarily termination	15.10.1
39	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)
40	Mannoo Capital (Pvt.) Limited	Censure Letter	13-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
41	Askari Securities Limited	Censure Letter	9-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
42	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)
43	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)
44	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)
45	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)
46	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)
47	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)
48	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)
49	KP Securities (Pvt.) Limited	Censure Letter	28-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b)
50	Eleven Stars (Pvt.) Limited	Clean Report	28-Mar-18	Non-Compliance of CDC Regulations	-
51	Kosmopolitan Securities (Private) Limited	Clean Report	28-Mar-18	Non-Compliance of CDC Regulations	-
52	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)
53	Galaxy Capital Securities (Pvt.) Limited	Clean Report	27-Mar-18	Non-Compliance of CDC Regulations	-
54	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)
55	Ali Husain Rajabali Limited	Terminated	22-Mar-18	Voluntary Termination	15.10.1
56	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)
57	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)
58	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)
59	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)
60	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)



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
61	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)
62	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)
63	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
64	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
65	Alfalsh Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
66	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)
67	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)
68	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)
69	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)
70	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)
71	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)
72	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)
73	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)
74	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)
75	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)
76	Wisdom Securities (Private) Limited	Terminated	22-Feb-18	Voluntary Termination	15.10.1
77	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)
78	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
79	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
80	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
81	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
82	ICON Capital Management (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
83	Fortune Securities Limited - LSI	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
84	Alfalsh Securities (Private) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
85	M.M. Securities (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 8.2.1
86	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)
87	New Peak Securities (Pvt.) Limited	Censure Letter	15-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
88	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



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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
89	M.A.N Securities (Pvt.) Limited	Terminated	14-Feb-18	Voluntary Termination	15.10.1
90	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)
91	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
92	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)
93	BlackStone Equities (Private) Limited	Terminated	26-Jan-18	Voluntary Termination	15.10.1
94	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)
95	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
96	XPRT Securities (Private) Limited	Removal of Restriction	19-Jan-18	Participant has complied with Regulation 6.8.2 of the CDC Regulations.	15.6.2
97	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)
98	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
99	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
100	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)
101	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)
102	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)
103	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
104	First Capital Equities Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
105	A. N. Equities (Pvt.) Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
106	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
107	Strongman Securities (Pvt.) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
108	Techno Fundamental Securities (Pvt) Ltd.	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
109	Maan Securities (Private) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
110	Sherman Securities (Private) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
111	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
112	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
113	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)
114	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
115	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
116	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
117	XPRT Securities (Private) Limited	Restricted	20-Dec-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2 of the CDC Regulation.	15.2.1(a)



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118	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
119	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)
120	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)
121	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)
122	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)
123	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)
124	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)
125	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)
126	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)
127	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)
128	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
129	Topline Securities Limited	Censure Letter	29-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.7.1
130	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
131	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
132	Din Capital Limited	Revised Notice of Restriction	23-Nov-17	Consequent to the restoration of trading terminals by PSX vide notice dated PSX/N-7369 dated November 23, 2017 however opening of new sub-Account is restricted.	15.6.2
133	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
134	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
135	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
136	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
137	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)
138	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
139	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
140	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
141	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



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
142	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)
143	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
144	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
145	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
146	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
147	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
148	Din Capital Limited	Revised Notice of Restriction	8-Nov-17	Due to advise of PSX vide email dated November 07, 2017	15.6.2
149	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
150	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)
151	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)
152	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)
153	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)
154	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)
155	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)
156	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)
157	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)
158	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)
159	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)
160	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)
161	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
162	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
163	Earth Securities (Private) Limited	Terminated	16-Oct-17	Voluntary Termination	15.10.1
164	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
165	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
166	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)



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
167	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
168	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
169	Security Investment Bank Limited	Terminated	29-Sep-17	Voluntary Termination	15.10.1
170	Kausar Securities (Private) Limited	Terminated	27-Sep-17	Voluntary Termination	15.10.1
171	Abbasi Securities (Pvt.) Limited	Censure & Restriction Letter	27-Sep-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2.2A
172	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
173	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
174	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)
175	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)
176	Global Securities Pakistan Limited	Terminated	21-Sep-17	Voluntary Termination	15.10.1
177	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)
178	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)
179	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
180	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
181	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
182	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
183	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
184	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
185	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
186	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
187	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
188	Adeel Zafar Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6.
189	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
190	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
191	AAA Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
192	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
193	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
194	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
195	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
196	Amanah Investments Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6.
197	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



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
198	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
199	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
200	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
201	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
202	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
203	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
204	UNEX Securities (Pvt) Limited	Censure Letter	4-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
205	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
206	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)
207	NIB Bank Limited	Terminated	1-Aug-17	Voluntary Termination	15.10.1
208	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
209	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
210	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)
211	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
212	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)
213	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)
214	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)
215	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
216	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
217	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
218	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)
219	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
220	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
221	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)
222	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)
223	Allied Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
224	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)
225	Interactive Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
226	Chippa Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
227	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)
228	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)
229	MAN Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
230	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)
231	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)
232	MAC Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
233	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)
234	Motiwala Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
235	MY Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
236	AAU Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
237	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)
238	Ahsam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
239	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)
240	BMS Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
241	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)
242	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)
243	Fort Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
244	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)
245	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)
246	Khayyam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
247	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)
248	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)
249	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)
250	Schon Capital Markets Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
251	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)
252	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)
253	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)
254	Union Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
255	Venus Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
256	ZM Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
257	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)
258	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)
259	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)
260	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
261	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)
262	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
263	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
264	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
265	ASA STOCKS (PVT.) LIMITED	Censure Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
266	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
267	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)
268	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
269	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
270	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
271	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
272	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
273	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
274	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
275	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
276	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
277	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
278	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
279	Networth Securities Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
280	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
281	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
282	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)
283	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	-
284	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)
285	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
286	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
287	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
288	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
289	TARIQ VOHRA SECURITIES (PVT) LIMITED	Censure Notice	30-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
290	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
291	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
292	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



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
293	H.H.K. Securities (Pvt.) Limited	Notice of Restriction & Penalty	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
294	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
295	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
296	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
297	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)
298	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)
299	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
300	First Equity Modaraba	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
301	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
302	Surmawala Securities (Private) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
303	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
304	IQBAL USMAN KODVAI SECURITIES (PVT) LTD	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4 & 6.2.6
305	MULTILINE SECURITIES (PVT.) LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
306	Dattoo Securities (Pvt.) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
307	SECURITY INVESTMENT BANK LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.6 & 6.2.6
308	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)
309	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)
310	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)
311	ESCORTS CAPITAL LIMITED	Restricted	6-Mar-17	Participant has not complied with Regulation 6.8.1 of the CDC Regulations,	15.2.1(a)
312	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)
313	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)
314	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)
315	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)
316	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)
317	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)
318	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)
319	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)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
320	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)
321	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)
322	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)
323	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)
324	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)
325	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)
326	Universal Equities (Private) Limited	Terminated	2-Mar-17	Voluntary Termination	15.10.1
327	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
328	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
329	MAM Securities (Private) Limited	Suspended	20-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
330	Sunrise Capital (Private) Limited	Suspended	17-Feb-17	Due to non-compliances of regulatory provisions	15.2.1(b)
331	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.
332	M. R. Securities (SMC-PVT.) Limited	Intention of further Suspension	6-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
333	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)
334	AWJ Securities (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
335	Sunrise Capital (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
336	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)
337	Zafar Securities (Private) Limited	Removal of Restriction	30-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
338	Sonia Shahzad Securities (Private) Limited	Terminated	24-Jan-17	Voluntary Termination	15.10.1
339	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
340	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
341	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)
342	AM Chaudhry Securities (Private) Limited	Removal of Restriction	13-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
343	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
344	Mashhadi Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
345	SIS Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
346	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)



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
347	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)
348	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)
349	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
350	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)
351	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
352	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
353	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
354	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
355	Malik Securities (Private) Limited	Terminated	6-Jan-17	Voluntary Termination	15.10.1
356	S A Securities (Pvt) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
357	SIS Securities (Private) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
358	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)
359	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)
360	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)
361	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)
362	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)
363	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)
364	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)
365	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)
366	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)
367	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)
368	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)
369	Malik Securities (Private) Limited	Restricted	2-Jan-17	Failure to submission of Financial Statement or Auditor Certificate as required under Regulation 6.8.2.of the CDC Regulation.	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
370	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)
371	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)
372	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)
373	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)
374	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)
375	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)
376	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)
377	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)
378	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)
379	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)
380	Allied Bank Limited- KSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
381	Allied Bank Limited - LSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
382	Allied Bank Limited- ISE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
383	Allied Bank Limited- KSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
384	Allied Bank Limited - LSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
385	Allied Bank Limited- ISE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
386	Sunrise Capital (Private) Limited	Restricted	21-Dec-16	Due to contravention of provisions of the CDC Regulations	15.2.1(a)
387	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
388	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
389	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
390	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
391	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
392	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
393	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
394	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
395	M H Securities (Pvt.) Limited	Censure Notice	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6
396	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
397	Vector Securities (Pvt.) Ltd.	Censure Notice	19-Dec-16	Non-Compliance of CDC Regulations	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
398	Z.A. Ghaffar Securities (Private) Ltd.	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6
399	Ghory's Securities (Pvt.) Limited	Terminated	9-Dec-16	Voluntary Termination	15.10.1
400	Paramount Securities (SMC-Private) Limited	Terminated	8-Dec-16	Voluntary Termination	15.10.1
401	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
402	Y.S. Stocks (Private) Limited	Terminated	2-Dec-16	Voluntary Termination	15.10.1
403	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)
404	AHM Securities (Pvt.) Limited	Notice of Restriction	22-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 3.7
405	Moonaco Securities (Pvt.) Ltd	Notice of Restriction	22-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
406	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
407	First Punjab Modaraba	Terminated	14-Nov-16	Voluntary Termination	15.10.1
408	MYM Equities (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
409	Fort Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
410	Abid Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
411	Shajar Capital Pakistan (Pvt.) Limited	Notice of Restriction	4-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 3.7
412	Friendly Securities (Pvt.) Limited	Notice of Restriction	4-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 3.7
413	Al Habib Capital Markets (Pvt.) Limited	Notice of Restriction	1-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
414	Icon Capital Management (Private) Limited	Censure Notice	1-Nov-16	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6, 3.7
415	Sunrise Capital (Private) Limited	Censure Notice	1-Nov-16	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6, 3.7
416	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)
417	DJM Securities (Pvt.) Limited	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
418	Muhammad Salim Kasmani Securities	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
419	Prime Securities (Pvt.) Limited	Notice of Restriction	28-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
420	Q. Ain Khanani Securities (Pvt.) Limited	Notice of Restriction	27-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
421	SAAO Capital (Pvt.) Limited	Notice of Restriction	27-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
422	Akbani Securities (SMC-PVT) Limited	Terminated	25-Oct-16	Voluntary Termination	15.10.1
423	Cassim Investments (Pvt.) Limited	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
424	Ample Securities (Private) Limited	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
425	Gmi Capital Securities (Pvt) Ltd.	Notice of Restriction	19-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
426	Al-Hoqani Securities & Investment Corporation (Pvt.) Ltd	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
427	Dalal Securities (Pvt.) Limited	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
428	Investment Managers Securities (Pvt.) Ltd	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
429	Zillion Capital Securities (Pvt.) Limited	Notice of Restriction	18-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
430	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
431	Prosperity Securities (Private) Limited	Terminated	18-Oct-16	Voluntary Termination	15.10.1
432	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



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
433	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)
434	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
435	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
436	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)
437	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)
438	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)
439	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)
440	Star Securities (Private) Limited	Terminated	10-Oct-16	Voluntary Termination	15.10.1
441	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)
442	Asian Securities Limited	Notice of Restriction	29-Sep-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
443	Mayari Securities (Private) Limited	Notice of Restriction	29-Sep-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6, 3.7
444	MBJ Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
445	Taha Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
446	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)
447	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)
448	Smart Investments Capital Management (Pvt.) Limited	Terminated	8-Sep-16	Voluntary Termination	15.10.1
449	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
450	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)
451	Nizam Securities (Private) Limited	Terminated	1-Sep-16	Voluntary Termination	15.10.1
452	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)
453	AB Equities (Private) Limited	Removal of Suspension	26-Aug-16	Participant has complied with the Regulation 6.8.2	15.6.2
454	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)
455	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)
456	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)
457	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)
458	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)
459	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)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
460	H.M.Y. Securities (Private) Limited	Terminated	19-Aug-16	Voluntary Termination	15.10.1
461	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)
462	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
463	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
464	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)
465	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
466	Alpha Beta Capital Markets (Private) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
467	Amin Tai Securities (Private) Limited	Terminated	20-Jul-16	Voluntary Termination	15.10.1
468	Concept Securities (Private) Limited	Terminated	13-Jul-16	Voluntary Termination	15.10.1
469	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)
470	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)
471	Platinum Capital Management (Private) Limited	Terminated	24-Jun-16	Voluntary Termination	15.10.1
472	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)
473	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
474	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
475	Dugan Securities (Private) Limited	Terminated	6-Jun-16	Voluntary Termination	15.10.1
476	Shehzad Chamdia Securities (Pvt.) Limited	Terminated	3-Jun-16	Voluntary Termination	15.10.1
477	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
478	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)
479	Mikon Securities (Pvt.) Limited	Terminated	27-May-16	Voluntary Termination	15.10.1
480	Sohail Raza Moosani (SMC-Pvt) Limited	Terminated	25-May-16	Voluntary Termination	15.10.1
481	Main Muhammad Akram Securities (Pvt.) Limited	Terminated	18-May-16	Voluntary Termination	15.10.1
482	Muhammad Bashir Kasmani Securities (Pvt.) Limited	Terminated	17-May-16	Voluntary Termination	15.10.1
483	Munaf Sattar Securities (Pvt.) Limited	Terminated	9-May-16	Voluntary Termination	15.10.1
484	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)
485	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
486	Uzma Shabbir Securities (Private) Limited	Terminated	12-Apr-16	Voluntary Termination	15.10.1
487	H.R. Securities & Brokerage (Private) Limited	Terminated	7-Apr-16	Voluntary Termination	15.10.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
488	Al Asar Securities (Private) Limited	Terminated	6-Apr-16	Voluntary Termination	15.10.1
489	Akd Analytics (Private) Limited	Removal of Suspension	5-Apr-16	Participant has complied with the Regulation 6.8.2	15.6.2
490	Samba Bank Limited	Terminated	25-Mar-16	Voluntary Termination	15.10.1
491	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
492	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)
493	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
494	A.H.K.D. Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
495	Ab Equities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
496	Akd Analytics (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
497	Pak United Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
498	Invisor Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
499	QF Securities (Pvt) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
500	Khoja'S Capital Management (Pvt). Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
501	Al-Mal Securities & Services Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
502	Mohammed Hanif Moosa	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
503	Investec Securities Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
504	Javed Omer Vohra & Company Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
505	Yousuf Ebrahim	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
506	Shahid Hassan Awan	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
507	Mohammad Tanveer Malik	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
508	Islamabad Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
509	Orion Investments (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
510	Tariq Sayeed Securities (Private) Limited	Removal of Restriction	1-Mar-16	Participant has complied with the Regulation 6.8.2	15.6.2
511	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)
512	Elixir Securities Pakistan (Pvt.) Limited	Removal of Restriction	24-Feb-16	Participant has complied with the Regulation 6.8.1	15.6.2
513	Fincap Investments (Private) Limited	Notice in respect of Participant	3-Feb-16	Participant has complied with the Regulation 6.8.2	15.6.2
514	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
515	Trust Capital (Private) Limited	Suspended	25-Jan-16	on the completion of 60 days of Restriction.	15.3.7(b)
516	Saima Qaiser Securities (Pvt) Limited	Removal of Restriction	22-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
517	Safe Securities (Pvt.) Limited	Terminated	18-Jan-16	Voluntary Termination	15.10.1
518	JCR Capital Securities (Private) Limited	Removal of Restriction	13-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
519	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
520	SMB Securities (Private) Limited	Removal of Restriction	30-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
521	Kayzone Capital Markets (SMC-Private) Limited	Restricted	23-Dec-15	Duet to switching off of all trading terminals by the LSE vide notice no.6621 Dated December 22, 2015 received by CDC on December 23, 2015.	15.2.1(a)



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
522	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
523	Faith Securities (Private) Limited	Removal of Restriction	18-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
524	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)
525	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)
526	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)
527	Aziz Fidahusein & 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)
528	Shaukat Shaffi Securities (Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
529	First Fidelity Leasing Modaraba	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
530	Sohail Raza Moosani (Smc-Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
531	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)
532	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)
533	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)
534	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)
535	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)
536	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)
537	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)
538	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)
539	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)
540	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)
541	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)
542	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)
543	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)
544	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)
545	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)



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
546	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)
547	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)
548	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)
549	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)
550	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)
551	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)
552	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)
553	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)
554	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)
555	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)
556	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)
557	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)
558	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)
559	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)
560	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)
561	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
562	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)
563	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)
564	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)
565	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)
566	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)
567	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
568	Invest Capital Markets Limited	Revised Notice of Restriction	28-Sep-15	Due to contravention of provision of Regulation 13.1.1 of the CDC Regulations	15.2.1



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
569	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
570	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
571	Hatim Investments & Securities (Pvt.) Limited	Terminated	18-Sep-15	Voluntary Termination	15.10.1
572	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
573	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	31-Aug-15	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
574	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)
575	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
576	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)
577	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
578	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
579	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
580	WE Financial Services Limited	Notice of Imposition of Penalty	24-Jul-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
581	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)
582	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)
583	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)
584	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)
585	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
586	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
587	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)
588	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
589	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
590	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)
591	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
592	Investforum (Smc-Pvt) Limited	Notice of Imposition of Penalty	19-Jun-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
593	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
594	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)
595	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)
596	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)
597	MAK Securities (Private) Limited	Terminated	30-Apr-15	Voluntary Termination	15.10.1
598	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)
599	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
600	Alfa Adhi Securities (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
601	Ali Husain Rajabali Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
602	AWJ Securities (Private) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
603	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
604	Prime Securities (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
605	AZEE Securities (Private) Limited	Notice of Imposition of Penalty	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
606	Alfalah Securities (Private) Limited	Notice of Imposition of Penalty	14-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
607	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
608	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.	-
609	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
610	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
611	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
612	Moosani Securities (Pvt.) Limited	Terminated	6-Mar-15	Voluntary Termination	15.10.1
613	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
614	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



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
615	Capital Vision Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Feb-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
616	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
617	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
618	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
619	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
620	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
621	Aazeb Securities (Private) Limited	Terminated	24-Dec-14	Voluntary Termination	15.10.1
622	Dosslanis Securities (Pvt.) Limited	Censure Notice	12-Dec-14	Non-Compliance of CDC Regulations	6.2.6
623	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.	-
624	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.	-
625	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)
626	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)
627	AFIC Securities (Private) Limited	Terminated	4-Sep-14	Voluntary Termination	15.10.1
628	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)
629	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
630	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
631	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
632	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)
633	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
634	Ghory's Securities (Private) Limited	Suspended	11-Jun-14	Consequent to completion of 60 Business Day of Restriction	15.3.7(b)
635	Invest Capital Markets Limited	Notice of Imposition of Penalty	10-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
636	High Land Securities (Pvt.) Limited	Censure Notice	5-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
637	Din Capital (Pvt.) Limited	Censure Notice	8-May-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
638	Ayub Chaudhry Investments (Pvt.) Limited	Censure Notice	24-Apr-14	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
639	Muhammad Tariq Moti Securities (Pvt.) Limited	Censure Notice	10-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
640	SAAO Capital (Pvt.) Limited	Censure Notice	9-Apr-14	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
641	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	9-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
642	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
643	Islamabad Securities (Private) Limited	Suspended	7-Apr-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE	15.2.1(b)
644	Aziz Fidahusein & Company (Pvt.) Limited	Censure Notice	26-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
645	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
646	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)
647	Alfalsh Securities (Private) Limited	Censure Notice	21-Mar-14	Non-Compliance of CDC Regulations	6.2.6
648	Excel Securities (Pvt.) Limited	Suspended	21-Mar-14	Pursuant to directive dated February 20, 2014 of the SECP.	15.2.1(b)
649	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)
650	Multiline Securities (Pvt.) Limited	Censure Notice	13-Mar-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
651	Apex Capital Securities (Private) Limited	Censure Notice	4-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
652	Pearl Brokerage (Pvt.) Limited	Notice of Imposition of Penalty	4-Mar-14	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
653	Maximus Securities (Private) Limited	Terminated	4-Mar-14	Voluntary Termination	15.10.1
654	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)
655	Highlink Capital (Private) Limited	Suspended	20-Feb-14	Pursuant to order dated February 20, 2014 of the SECP.	15.2.1(b)
656	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)
657	Capital Vision Securities (Pvt.) Limited	Censure Notice	14-Feb-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
658	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
659	Nasir Ali Shah Bukhari	Terminated	41684	Voluntary Termination	15.10.1
660	Prime Securities (Pvt.) Limited	Censure Notice	13-Feb-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
661	Escorts Capital Limited	Notice of Imposition of Penalty	31-Jan-14	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
662	G. R. Securities (SMC-Pvt.) Limited	Terminated	30-Jan-14	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE	15.3.7
663	Maximus Securities (Pvt.) Limited	Restricted	29-Jan-14	Consequent to expiry of broker registration as notified by LSE.	15.2.1(a)
664	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)
665	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)
666	SNM Securities (Private) Limited	Restricted	26-Dec-13	Consequent to deactivation of all trading terminals by the KSE	15.1.1(a)
667	M. J. Memon Securities (Pvt.) Limited	Censure Notice	18-Dec-13	Non-Compliance of CDC Regulations	6.2A.1, 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
668	Maha Securities (Pvt.) Limited	Censure Notice	9-Dec-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
669	Highlink Capital (Private) Limited	Restricted	29-Nov-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
670	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
671	Hameed Mukhtar Chaudhry	Terminated	27-Nov-13	Voluntary Termination	15.10.1
672	Excel Securities (Pvt.) Limited	Censure Notice	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
673	Mian Muhammad Akram Securities (Pvt.) Limited	Censure Notice	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
674	MTM Securities (Private) Limited	Terminated	20-Nov-13	Voluntary Termination	15.10.1
675	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Nov-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
676	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)
677	Trade-In-Securities (Pvt.) Limited	Censure Notice	7-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
678	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	6-Nov-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
679	MCFSL - Trustee MCFSL Trustee Atlas Fund of Funds	Terminated	6-Nov-13	Voluntary Termination	15.10.1
680	Jamshaid & Hasan Securities (Pvt.) Limited	Notice of Imposition of Penalty	5-Nov-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
681	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
682	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
683	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)
684	Fair Edge Securities (Pvt.) Limited	Censure Notice	24-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
685	AZEE Securities (Private) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
686	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
687	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)
688	Dosslanis Securities (Pvt.) Limited	Notice of Imposition of Penalty	2-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
689	Gul Dhami Securities (Pvt.) Limited	Censure Notice	30-Sep-13	Non-Compliance of CDC Regulations	6.2.6
690	AMCAP Securities (Private) Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
691	First Pakistan Securities Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
692	Dattoo Securities (Pvt.) Limited	Censure Notice	27-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
693	Intermarket Securities Limited	Censure Notice	26-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
694	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)



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
695	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
696	Oriental Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
697	Standard Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
698	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
699	SNM Securities (Private) Limited	Censure Notice	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
700	Axis Global Limited	Notice of Imposition of Penalty	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
701	Sakarwala Capital Securities (Pvt.) Limited	Censure Notice	20-Aug-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
702	Akhai Securities (Pvt.) Limited	Notice of Imposition of Penalty	31-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
703	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
704	DJM Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-Jul-13	Non-Compliance of CDC Regulations	6.7.2 & 6.2A.1
705	Live Securities Limited	Notice of Imposition of Penalty	19-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
706	Invest Capital Markets Limited	Notice of Imposition of Penalty	11-Jul-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.1
707	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
708	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
709	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
710	Arif Majid Chaudhary	Terminated	26-Jun-13	Voluntary Termination	15.10.1
711	Continental Capital Management (Pvt.) Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
712	Irfan Mazhar Securities (Pvt.) Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
713	KASB Securities Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
714	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
715	Mian Nusrat-Ud-Din	Notice of Imposition of Penalty	21-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
716	Darson Securities (Private) Limited	Censure Notice	19-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
717	M.R.A. Securities (Pvt.) Limited	Censure Notice	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
718	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
719	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
720	Live Securities Limited	Extension of Restricted Period	10-Jun-13	Due to non-resolution of investor's complaint against the Participant	15.3.1



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
721	Alfalsh Securities (Private) Limited	Notice of Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.7.3
722	Progressive Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.6
723	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
724	Ghani Osman Securities (Pvt.) Limited	Censure Notice	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
725	Multiline Securities (Pvt.) Limited	Censure Notice	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6
726	Moonaco Securities (Pvt.) Limited	Censure Notice	3-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
727	Bawa Securities (Pvt.) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
728	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
729	Alfa Adhi Securities (Pvt.) Limited	Censure Notice	24-May-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
730	Adeel & Nadeem Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
731	Aziz Fidhusein & Company (Pvt.) Limited	Notice of Imposition of Penalty	22-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
732	Hameed Mukhtar Chaudhry	Removal of Restriction	21-May-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
733	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
734	ZHV Securities (Private) Limited	Terminated	15-May-13	Consequent to Forfeiture of TRE Certificate by KSE	15.3.7
735	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Suspension	15-May-13	Consequent to suspension of TRE Certificate by KSE	15.2.1(b)
736	Saliha Haroon	Terminated	15-May-13	Voluntary Termination	15.10.1
737	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
738	We Financial Services Limited	Notice of Imposition of Penalty	14-May-13	Non-Compliance of CDC Regulations	6.2.2 and 6.7.3
739	Zahid Ali Habib	Terminated	14-May-13	Voluntary Termination	15.10.1
740	SAZ Capital Securities (Pvt.) Limited	Censure Notice	9-May-13	Non-Compliance of CDC Regulations	6.2.6
741	Arif Latif	Terminated	9-May-13	Voluntary Termination	15.10.1
742	Mian Nusrat-Ud-Din	Terminated	9-May-13	Voluntary Termination	15.10.1
743	Mohammad Amer Riaz	Terminated	9-May-13	Voluntary Termination	15.10.1
744	M. Ayub Ch.	Terminated	9-May-13	Voluntary Termination	15.10.1
745	Sajid Masood	Terminated	9-May-13	Voluntary Termination	15.10.1
746	Saima Qaiser	Terminated	9-May-13	Voluntary Termination	15.10.1
747	First Fidelity Leasing Modaraba	Restricted	8-May-13	Consequent to Switching off trading terminals by the ISE	15.2.1(a)
748	Investforum (Smc-Pvt) Limited	Notice of Imposition of Penalty	7-May-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.6 & 6.2A.1
749	Seven Star Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
750	Arif Latif	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
751	Mian Nusrat-Ud-Din	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
752	Mohammad Amer Riaz	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
753	Zahid Ali Habib	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
754	Arif Majid Chaudhary	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
755	Saliha Haroon	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
756	M. Ayub Ch.	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
757	Hameed Mukhtar Ch.	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
758	Nasir Ali Shah Bukhari	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
759	Sajid Masood	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
760	Saima Qaiser	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
761	H. M. Idrees H. Adam	Terminated	6-May-13	Voluntary Termination	15.10.1
762	Tewfiq Mohammad Amin Fikree	Terminated	6-May-13	Voluntary Termination	15.10.1
763	Muhammad Tariq Moti	Terminated	6-May-13	Voluntary Termination	15.10.1
764	Rayomund J.H.P Byramji	Terminated	6-May-13	Voluntary Termination	15.10.1
765	Dawood Mohammad	Terminated	6-May-13	Voluntary Termination	15.10.1
766	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
767	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
768	A. I. Securities (Pvt.) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
769	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
770	Sajid Masood	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
771	Stock Street (Private) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.2A.1 & 9.1.1
772	ZHV Securities (Private) Limited	Notice of Suspension	11-Apr-13	Consequent to suspension of TRE Certificate by the KSE	15.2.1(b)
773	Dalia Securities (Pvt.) Limited	Censure Notice	9-Apr-13	Non-Compliance of CDC Regulations	6.2.6
774	Pearl Brokerage (Pvt.) Limited	Censure Notice	9-Apr-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
775	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)
776	Blackstone Equities (Pvt.) Limited	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
777	Creative Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
778	Prosperity Securities (SMC-Pvt.) Limited	Notice of Suspension	3-Apr-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
779	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
780	Techno Fundamental Securities (Pvt.) Limited	Censure Notice	27-Mar-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
781	Fair Deal Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
782	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
783	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
784	Ms. Saliha Haroon	Notice of Imposition of Penalty	26-Mar-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
785	Alfalsh Securities (Private) Limited	Removal of Restriction	25-Mar-13	Consequent to restoration of trading right entitlement certificate by the KSE	15.6.2
786	First National Equities Limited	Removal of Intention to Suspend	18-Mar-13	Participant has settled the fine imposed by CDC	15.9.1(e)
787	Switch Securities (Private) Limited	Censure Notice	15-Mar-13	Non-Compliance of CDC Regulations	6.2.6
788	Alfalsh Securities (Private) Limited	Restricted	15-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
789	ZHV Securities (Private) Limited	Restricted	13-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
790	Friendly Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
791	Khanani Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.2A.1
792	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
793	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)
794	M. J. Memon Securities (Pvt.) Limited	Censure Notice	27-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
795	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)
796	Sherman Securities (Pvt.) Limited	Notice of Imposition of Penalty	20-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
797	GMI Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	19-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
798	KSR Stock Brokerage (Pvt.) Limited	Censure Notice	15-Feb-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 9.1.1
799	Arif Majid Chaudhry	Restricted	15-Feb-13	SECP directive pursuant to Rule 7 of Central Depository Companies (Establishment and Regulation) Rules, 1996	-
800	Baba Equities (Pvt.) Limited	Censure Notice	12-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
801	MCBFSL - Trustee AH Dow Jones Pak Titans 15 Index Fund	Terminated	12-Feb-13	Voluntary Termination	15.10.1
802	Safe Securities (Pvt.) Limited	Censure Notice	11-Feb-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
803	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
804	Arif Majid Chaudhry	Removal of Suspension	11-Feb-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
805	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
806	Habib Metropolitan Financial Services Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
807	Infinite Securities Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 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
808	Muhammad Ayub Chaudhry	Notice of Imposition of Penalty	28-Jan-13	Non-Compliance of CDC Regulations	6.2.2 & 9.1.1
809	Jahanzaib Gondal	Terminated	24-Jan-13	Voluntary Termination	15.10.1
810	A. S. Securities (Private) Limited	Suspended	11-Jan-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
811	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)
812	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)
813	AWJ Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
814	Excel Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
815	Zafar Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
816	Imperial Investments (Private) Limited	Terminated	24-Dec-12	Consequent to expulsion of Participant by the KSE.	15.3.7
817	ACE Securities (Private) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
818	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
819	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
820	Ahmad Shoaib Akram	Terminated	18-Dec-12	Voluntary Termination	15.10.1
821	Arif Majid Chaudhry	Suspended	17-Dec-12	Consequent to suspension of trading right entitlement certificate by the LSE	15.2.1(b)
822	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)
823	Arif Majid Chaudhry	Restricted	14-Dec-12	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
824	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)
825	Arif Majid Chaudhry	Intention to Suspend	30-Nov-12	Due to failure to pay CDC dues	15.9.1(e)
826	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
827	Imperial Investments (Private) Limited	Suspended	13-Nov-12	Consequent to suspension of trading right entitlement certificate by the ISE	15.2.1(b)
828	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	30-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
829	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
830	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)
831	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	19-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
832	Pearl Securities Limited	Notice of Imposition of Penalty	18-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
833	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)



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
834	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)
835	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)
836	Dattoo Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
837	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
838	Rayomund J.H.P. Byramji	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
839	Pearl Capital Management (Private) Limited	Terminated	4-Oct-12	Membership suspended by the KSE.	15.3.7
840	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
841	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	28-Sep-12	Non-Compliance of CDC Regulations	6.2 & 6.2.6
842	Gul Dhami Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Sep-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
843	F.M. Securities (Pvt.) Limited	Notice of Imposition of Penalty	14-Sep-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
844	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
845	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
846	Jahangir Siddiqui & Company Limited	Terminated	11-Sep-12	Voluntary Termination	15.10.1
847	Dosslanis Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
848	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)
849	Pearl Capital Management (Private) Limited	Suspended	24-Aug-12	Membership suspended by the KSE.	15.2.1(b)
850	NBP Trustee - NI(U)T (LOC) Fund	Terminated	15-Aug-12	Voluntary Termination	15.10.1
851	First Pakistan Securities Limited	Notice of Imposition of Penalty	9-Aug-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
852	Switch Securities (Private) Limited	Removal of Intention	8/3/2012	Participant has settled the CDC outstanding dues	15.9.1(e)
853	Unex Securities (Pvt.) Limited	Censure Notice	1-Aug-12	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
854	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
855	Arif Majid Chaudhry	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
856	Live Securities Limited	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
857	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
858	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
859	Salma	Terminated	20-Jul-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
860	YKD Securities (Pvt.) Limited	Terminated	19-Jul-12	Voluntary Termination	15.10.1
861	Al-Hamd Investment and Securities (Private) Ltd.	Terminated	19-Jul-12	Voluntary Termination	15.10.1
862	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
863	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
864	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
865	Al-Hamd Investment and Securities (Private) Ltd.	Suspended	25-Jun-12	Consequent to completion of 60 Business Days of Restrictions	15.3.7(b)
866	Salman Capital Investments (Private) Limited	Terminated	22-Jun-12	Voluntary Termination	15.10.1
867	Invisor Securities (Private) Limited	Removal of Restriction	18-Jun-12	Consequent to change of status as an Active Member by KSE	15.6.2
868	Dawoodi Alibhoy Morkas	Terminated	14-Jun-12	Voluntary Termination	15.10.1
869	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Terminated	13-Jun-12	Consequent to cancellation of the membership by the ISE	15.3.7
870	Beaming Investment and Securities (Private) Limited	Suspended	8-Jun-12	Consequent to Suspension of Membership by the ISE.	15.2.1(b)
871	United Capital Securities (Private) Limited	Terminated	6/3/2012	Consequent to expulsion of Participant by the KSE.	15.3.7
872	H. H. K. Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
873	Khoja's Capital Management (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
874	Mr. Haroon Suleman	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
875	MAK Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
876	Motiwala Securities (Private) Limited	Restricted	3-Jun-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
877	Naveed H. M. Idrees	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
878	Latif Suleman Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
879	H. H. K. Securities (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
880	Motiwala Securities (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
881	Khoja's Capital Management (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
882	Khawaja Securities (Pvt.) Limited	Removal of Suspension	30-May-12	Consequent to restoration of trading terminals	15.6.2
883	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Suspended	28-May-12	Consequent to Suspension of membership by the ISE.	15.2.1(b)
884	Beaming Investment and Securities (Private) Limited	Restricted	28-May-12	Consequent to Switching off trading terminals by the ISE.	15.2.1(a)
885	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
886	SAL Securities (Pvt.) Limited	Censure Notice	25-May-12	Non-Compliance of CDC Regulations	6.2.6 & A041
887	A.H.K.D. Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)
888	Invisor Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)
889	Arif Habib Securities Limited	Terminated	23-May-12	Voluntary Termination	15.10.1
890	Escorts Investment Bank Limited	Terminated	22-May-12	Voluntary Termination	15.10.1
891	MCFSL - Trustee UBL Capital Protected Fund-II	Terminated	22-May-12	Voluntary Termination	15.10.1
892	Stock Master Securities (Private) Limited	Terminated	16-May-12	Consequent to Expulsion of the membership by the LSE	15.3.7
893	Latif Suleman Securities (Pvt.) Ltd.	Terminated	8-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
894	Aqeel Karim Dhedhi Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
895	Hum Securities Limited	Terminated	8-May-12	Voluntary Termination	15.10.1
896	Khoja's Capital Management (Private) Limited	Intention to Suspend	30-Apr-12	Due to failure to pay CDC dues	15.9.1(e)
897	Naveed H. M. Idrees	Terminated	30-Apr-12	Voluntary Termination	15.10.1
898	Beaming Investment and Securities (Private) Limited	Restricted	27-Apr-12	Consequent to Switching off of trading terminals by the ISE.	15.2.1(a)
899	Y. S. Securities & Services (Private) Limited	Terminated	24-Apr-12	Consequent to Expulsion by the LSE	15.3.7
900	Trust Capital (Private) Limited	Restricted	18-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
901	Arif Majid Chaudhry	Removal of Intention to Suspend	18-Apr-12	Participant has settled the CDC outstanding dues	15.9.1(e)
902	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)
903	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)
904	Salman Capital Investments (Private) Limited	Restricted	12-Apr-12	Consequent to change of status as inactive member	15.2.1(a)
905	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)
906	Y. S. Securities & Services (Private) Limited	Suspended	10-Apr-12	Consequent to Suspension of membership by the LSE.	15.2.1(b)
907	Y. S. Securities & Services (Private) Limited	Restricted	9-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
908	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)
909	Dawoodi Alibhoy Morkas	Restricted	5-Apr-12	Consequent to Switching off trading terminals by the ISE.	15.2.1(a)
910	Al-Haq Securities (Pvt.) Limited	Censure Notice	30-Mar-12	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
911	Ms. Saliha Haroon	Censure Notice	30-Mar-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2A.1
912	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)
913	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)
914	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)
915	Harvest Smarttrend Sec. (Private) Limited	Removal of Intention	27-Mar-12	Participant has settled the CDC outstanding dues	15.9.1(e)
916	Universal Equities (Private) Limited	Restricted	26-Mar-12	Non-Renewal of Broker Registration Certificate	15.2.1(a)
917	MAK Securities (Private) Limited	Terminated	22-Mar-12	Voluntary Termination	15.10.1
918	Haroon Suleman	Terminated	22-Mar-12	Ceasing of as Member of KSE	15.2.1(c)
919	First National Equities Limited	Removal of Restriction	22-Mar-12	Participant complied with Regulatory requirements relating to transfer of securities	15.2.1(a)
920	Mr. Shahid Nauman Rana	Terminated	16-Mar-12	Due to declaration of the Participant as defaulter by the LSE	15.2.1(c)
921	Hum Securities Limited	Restricted	13-Mar-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
922	Javed Iqbal Securities (Pvt.) Limited	Censure Notice	28-Feb-12	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
923	National Bank of Pakistan	Terminated	28-Feb-12	Voluntary Termination	15.10.1
924	AKY Securities (Pvt.) Limited	Terminated	27-Feb-12	Voluntary Termination	15.10.1
925	Value Stock Securities (Pvt.) Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
926	First Dawood Investment Bank Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
927	Pak United Securities (Private) Limited	Restricted	14-Feb-12	Consequent to non-renewable of broker registration certificate	15.2.1(a)
928	Shehzad Chamdia Securities (Private) Limited	Terminated	2/3/2012	Voluntary Termination	15.10.1
929	Trustee of AH-Pak Brunei Islamic Income Fund	Terminated	2/3/2012	Voluntary Termination	15.10.1
930	Switch Securities (Private) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
931	Harvest Smartrend Securities (Pvt.) Ltd.	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
932	Mr. Arif Majid Chaudhry	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
933	Value Stock Securities (Pvt.) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
934	First Dawood Investment Bank Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
935	United Capital Securities (Private) Limited	Suspended	1-Feb-12	Consequent to suspension of membership by the KSE.	15.2.1(b)
936	United Capital Securities (Private) Limited	Restriction	31-Jan-12	Consequent of Switching off of trading terminals by the KSE.	15.2.1(a)
937	First National Equities Limited	Notice of Imposition of Penalty	23-Jan-12	Non-Compliance of CDC Regulations	6.7.3 & 4.19
938	AFIC Securities (Private) Limited	Censure Notice	18-Jan-12	Non-Compliance of CDC Regulations	6.2.6
939	Standard Securities (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
940	Elite Stock Services (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
941	United Capital Securities (Private) Limited	Revised Notice of Intention to suspend	3-Jan-12	Extending the period of Restriction.	9.1.1
942	Zafar Moti Capital Securities (Private) Limited	Removal of Restriction	2-Jan-12	Pursuant to Court Order dated 30-12-2011.	Court Order