



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	CAMCO (Pvt) Limited	Removal of Restriction	12-Oct-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-6007 dated October 11, 2018.	15.6.2
2	Fairtrade Capital Securities (Pvt) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
3	Unex Securities (Pvt) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 6.2A.1
4	Optimus Capital Management (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
5	EFG Hermes Pakistan Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 and 6.2.6(b)
6	FDM Capital Securities (Pvt) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.2.1(e)
7	Cassim Investments (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.2.1(e)
8	Market 786 (Private) Limited	Notice of Restriction & Censure	9-Oct-18	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5, 6.2.6(b) and 8.2.1(e)
9	First Capital Equities Limited	Suspended	9-Oct-18	Consequent to the suspension by NCCPL as notified vide notice no. NCCPL/CRO/175/18 dated October 09, 2018.	15.2.1(b)
10	First Capital Equities Limited	Removal of Suspension	9-Oct-18	Consequent to removal of suspension by NCCPL as notified vide notice no. NCCPL/CRO/176/18 dated October 09, 2018.	15.6.2
11	INA Securities (Pvt) Limited	Removal of Restriction	9-Oct-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-5917 dated October 09, 2018.	15.6.2
12	Summit Bank Limited - Summit Custodial Services	Censure Letter	5-Oct-18	Non-Compliance of CDC Regulations	6.2.2A, 6.2.3, 6.2A.1, 6.2.4, 6.2.5 & 6.2.6(b)
13	MGM Securities (Private) Limited	Censure Letter	2-Oct-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6(b) and 6.2A.1
14	Fair Deal Securities (Pvt) Ltd.	Censure Letter	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.6.1 (e)
15	Riaz Ahmed Securities (Pvt) Ltd.	Censure Letter	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
16	Arif Latif Securities (Pvt) Ltd.	Censure Letter	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 and 6.2.6(b)
17	Trust Securities & Brokerage Limited	Censure Letter	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 6.2A.1
18	ASDA Securities (Pvt.) Ltd.	Notice of Restriction & Censure	2-Oct-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6(b) and 8.2.1 (e)
19	Zahid Latif Khan Securities (Pvt.) Limited	Notice of Restriction & Censure	25-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.6(b)
20	CMA Securities (Pvt.) Limited	Restricted	19-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5351 dated September 18, 2018.	15.2.1(a)
21	SMAC Investments (Private) Limited	Restricted	19-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5351 dated September 18, 2018.	15.2.1(a)
22	CAMCO (Pvt.) Limited	Restricted	19-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5351 dated September 18, 2018.	15.2.1(a)
23	Apex Capital Securities (Private) Limited	Removal of Restriction	19-Sep-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-5344 dated September 18, 2018.	15.6.2
24	MSD Capital Equities (Pvt.) Limited	Removal of Restriction	19-Sep-18	Consequent to restoration of trading terminals of Participant by PSX as notified by PSX vide notice no. PSX/N-5344 dated September 18, 2018.	15.6.2
25	Apex Capital Securities (Private) Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)
26	INA Securities (Pvt) Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)



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27	MSD Capital Equities (Pvt.) Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)
28	Xpert Securities Limited	Restricted	18-Sep-18	Consequent to switching-off of the trading terminals of Participant as notified by PSX vide notice no. PSX/N-5310 dated September 18, 2018.	15.2.1(a)
29	Progressive Investment Management (Pvt.) Ltd	Removal of Restriction	18-Sep-18	Participant has removed causes of Restrictions	15.6.2
30	Next Capital Limited	Notice of Restriction & Censure	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
31	Horizon Securities Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b), 6.2.2A & 6.7.3
32	Salim Sozer Securities (Pvt.) Limited	Clean Report	18-Sep-18	Non-Compliance of CDC Regulations	-
33	WE Financial Services Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, & 6.7.3(a)
34	Elixir Securities Pakistan (Pvt.) Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, & 6.7.3(a)
35	First Capital Equities Limited	Notice of Restriction & Censure	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 and 6.2.6(b)
36	Darson Securities (Pvt.) Limited	Notice of Restriction & Penalty	18-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.2A, & 6.7.3(a)
37	Invest Forum (Private) Limited	Terminated	17-Sep-18	Voluntary Termination	15.10.1
38	Progressive Investment Management (Pvt.) Ltd	Restricted	14-Sep-18	Due to contravention of Section 24 of CD Act 1997 read with Regulation 6.7 of the CDC Regulations.	15.2.1(a)
39	AMCAP Securities (Private) Limited	Further revised Restriction	13-Sep-18	Due to the Prohibitory Order by SECP vide Order dated September 13, 2018.	15.2.1(a)
40	First National Equities Limited	Notice of Restriction & Censure	12-Sep-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6(b) & 6.2.2A
41	AMCAP Securities (Private) Limited	Revised Restriction	10-Sep-18	Consequent to suspension of the trading terminals of Participant by PSX vide notice no. PSX/N-5144 dated September 10, 2018.	15.2.1(a)
42	Networth Securities Limited	Clean Report	7-Sep-18	Non-Compliance of CDC Regulations	-
43	Nayyer Shiekh Securities (Pvt.) Limited	Clean Report	7-Sep-18	Non-Compliance of CDC Regulations	-
44	Habib Ullah Sheikh (Pvt.) Ltd	Clean Report	7-Sep-18	Non-Compliance of CDC Regulations	-
45	Fairtrade Capital Securities (Private) Limited	Removal of Restriction	31-Aug-18	Consequent to removal of restriction by PSX as notified by PSX vide notice no. PSX/N-4985 dated August 30, 2018 for opening of new clients account.	15.6.2
46	Saima Qaiser Securities (Private) Limited	Removal of suspension	20-Aug-18	Consequent to restoration of trading terminals by PSX as notified by PSX vide notice no. PSX/N-4832 dated August 20, 2018.	15.6.2
47	Saima Qaiser Securities (Private) Limited	Restricted	17-Aug-18	Consequent to switching-off of the trading terminals by PSX vide notice no. PSX/N-4761 dated August 16, 2018.	15.2.1(a)
48	Venus Securities (Private) Limited	Removal of suspension	15-Aug-18	Consequent to restoration of trading terminals by PSX as notified by PSX vide notice no. PSX/N-4702 dated August 13, 2018 and in view of letter No. 2(33)SE/SMD/18 dated May 16, 2018 of the SECP.	15.6.2
49	Pearl Securities Limited	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
50	Summit Capital (Pvt.) Limited - Lhr	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
51	Topline Securities Limited	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
52	Zafar Securities (Pvt.) Limited	Notice of Restriction & Censure	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
53	HMC Stocks (SMC-Pvt.) Limited	Notice of Restriction & Penalty	8-Aug-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5, 6.2.6(b), 6.2A.1 & 6.7.3(a)
54	Javed Zakaria Gulabi Securities (Pvt.) Limited	Terminated	1-Aug-18	Voluntary Termination	15.10.1



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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
55	Value Stock and Commodities (Private) Limited	Removal of Restriction	1-Aug-18	Consequent to removal of restriction by PSX as notified by PSX vide notice no. PSX/N-4532 dated August 01, 2018 for opening of new clients account.	15.6.2
56	Omni Capital Management (Private) Limited	Removal of Suspension	26-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4384 dated July 24, 2018	15.6.2
57	Ahsam Securities (Pvt.) Limited	Removal of Suspension	24-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4376 dated July 24, 2018	15.6.2
58	R.F.J. Equity (Private) Limited	Removal of Suspension	24-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4388 dated July 24, 2018	15.6.2
59	HK Securities (Pvt.) Limited	Terminated	20-Jul-18	Voluntary Termintaion	15.10.1
60	SMAC Investments (Private) Limited	Removal of Suspension	19-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no.PSX/N-4269 dated July 18, 2018	15.6.2
61	Interactive Securities (Private) Limited	Removal of Suspension	17-Jul-18	Consequent to restoration of trading terminals by PSX vide notice no. PSX/N-4225 dated July 13, 2018	15.6.2
62	First Dawood Investment Bank Limited	Terminated	13-Jul-18	Voluntary Termintaion	15.10.1
63	Darson Securities (Private) Limited	Terminated	9-Jul-18	Voluntary Termintaion	15.10.1
64	Darson Securities (Pvt) Limited - LSI	Censure Letter	6-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6(b)
65	Javed Iqbal Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
66	Fair Edge Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
67	General Invest. & Securities (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
68	Msmaniar Financial (Pvt.) Limited	Notice of Restriction & Censure	5-Jul-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.2A, 6.2.4, 6.2.5 & 6.2.6(b)
69	Safe Securities (Private) Limited	Terminated	4-Jul-18	Voluntary Termintaion	15.10.1
70	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
71	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
72	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
73	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
74	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
75	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)
76	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
77	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
78	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)
79	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)
80	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)
81	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 the opening of new Sub-Account not yet removed.	15.6.2
82	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)
83	Adeel Zafar Securities (Private) Limited	Terminated	1-Jun-18	Voluntary Termintaion	15.10.1
84	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 & 6.2A



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S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
85	First Zeiva (Private) Limited	Terminated	29-May-18	Voluntary Termintaion	15.10.1
86	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)
87	Pearl Brokerage Private Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
88	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
89	Continental Capital Management (Pvt) Ltd	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
90	Rahat Securities Limited	Censure Letter	28-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
91	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
92	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
93	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)
94	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)
95	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
96	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
97	Hamza Farhad Securities (Pvt) Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
98	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
99	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
100	Punjab Capital Securities (Pvt.) Limited	Censure Letter	7-May-18	Non-Compliance of CDC Regulations	6.2.2A
101	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
102	Share Centre (Private) Limited	Clean Report	7-May-18	Non-Compliance of CDC Regulations	-
103	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)
104	Dosslanis Securities (Pvt) Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
105	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)
106	First National Equities Limited	Censure Letter	25-Apr-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
107	Pace Investment & Securities (Private) Limited	Terminated	16-Apr-18	Voluntarily termination	15.10.1
108	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)
109	Mannoo Capital (Pvt.) Limited	Censure Letter	13-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
110	Askari Securities Limited	Censure Letter	9-Apr-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6 (b)
111	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)
112	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)
113	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)
114	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)
115	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)
116	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)
117	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)
118	KP Securities (Pvt.) Limited	Censure Letter	28-Mar-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.6 (b)
119	Eleven Stars (Pvt.) Limited	Clean Report	28-Mar-18	Non-Compliance of CDC Regulations	-
120	Kosmopolitan Securities (Private) Limited	Clean Report	28-Mar-18	Non-Compliance of CDC Regulations	-
121	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)
122	Galaxy Capital Securities (Pvt.) Limited	Clean Report	27-Mar-18	Non-Compliance of CDC Regulations	-
123	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)
124	Ali Husain Rajabali Limited	Terminated	22-Mar-18	Voluntary Termintaion	15.10.1
125	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)
126	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)
127	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)
128	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)
129	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)



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130	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)
131	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)
132	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
133	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
134	Alfalah Securities (Pvt.) Limited	Notice of Restriction & Censure	9-Mar-18	Non-Compliance of CDC Regulations	6.2.2, 6.2.2A, 6.2.3, 6.2.4, 6.2.5, 6.2.6 (b)
135	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)
136	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)
137	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)
138	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)
139	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)
140	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)
141	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)
142	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)
143	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)
144	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)
145	Wisdom Securities (Private) Limited	Terminated	22-Feb-18	Voluntary Termination	15.10.1
146	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)
147	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
148	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
149	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
150	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
151	ICON Capital Management (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
152	Fortune Securities Limited - LSI	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
153	Alfalah Securities (Private) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4 & 6.2.5
154	M.M. Securities (Pvt.) Limited	Censure Letter	19-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 8.2.1
155	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)
156	New Peak Securities (Pvt.) Limited	Censure Letter	15-Feb-18	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
157	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
158	M.A.N Securities (Pvt.) Limited	Terminated	14-Feb-18	Voluntary Termination	15.10.1
159	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)
160	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
161	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)
162	BlackStone Equities (Private) Limited	Terminated	26-Jan-18	Voluntary Termination	15.10.1
163	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)
164	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
165	XPERT Securities (Private) Limited	Removal of Restriction	19-Jan-18	Participant has complied with Regulation 6.8.2 of the CDC Regulations.	15.6.2



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
166	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)
167	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
168	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
169	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)
170	Asad Mustafa Securities (SMC-Pvt.) Ltd	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.3, 6.2.4, 6.2.5 & 6.2.6(b)
171	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)
172	Fair Edge Securities (Pvt.) Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2.A.1 & 8.2.1e
173	First Capital Equities Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
174	A. N. Equities (Pvt.) Limited	Censure Letter	22-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
175	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
176	Strongman Securities (Pvt.) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
177	Techno Fundamental Securities (Pvt) Ltd.	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
178	Maan Securities (Private) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
179	Sherman Securities (Private) Limited	Censure Letter	21-Dec-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5
180	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
181	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
182	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)
183	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
184	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
185	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
186	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)
187	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
188	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)
189	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)
190	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)
191	Invest Forum (SMC-Private) Limited	Restricted	13-Dec-17	Due to the cancellation of licence by SECP as a securities broker vide order dated December 13, 2017.	15.2.1(a)
192	HK Securities (Private) Limited	Restricted	13-Dec-17	Due to the cancellation of licence by SECP as a securities broker vide order dated December 13, 2017.	15.2.1(a)
193	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)
194	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)
195	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)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
196	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)
197	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
198	Topline Securities Limited	Censure Letter	29-Nov-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.7.1
199	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
200	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
201	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
202	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
203	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
204	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
205	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
206	Din Capital Limited	Restricted	17-Nov-17	Consequent to the suspension of licence by SECP as a securities broker vide order dated November 08, 2017	15.2.1(a)
207	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
208	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
209	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
210	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
211	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)
212	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
213	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
214	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
215	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
216	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
217	Din Capital Limited	Revised Notice of Restriction	8-Nov-17	Due to advise of PSX vide email dated November 07, 2017	15.6.2
218	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
219	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)
220	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)
221	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)
222	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)
223	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)
224	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)



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
225	Sakarwala Capital Securities (Pvt.) Limited	Notice of Restriction & Penalty	26-Oct-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
226	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)
227	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)
228	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)
229	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)
230	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)
231	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
232	Earth Securities (Private) Limited	Terminated	16-Oct-17	Voluntary Termintaion	15.10.1
233	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
234	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
235	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)
236	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
237	Security Investment Bank Limited	Terminated	29-Sep-17	Voluntary Termintaion	15.10.1
238	Kausar Securities (Private) Limited	Terminated	27-Sep-17	Voluntary Termintaion	15.10.1
239	Abbasi Securities (Pvt) Limited	Censure & Restriction Letter	27-Sep-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6 & 6.2A
240	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
241	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
242	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)
243	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)
244	Global Securities Pakistan Limited	Terminated	21-Sep-17	Voluntary Termintaion	15.10.1
245	Progressive Investment Management (Pvt.) Ltd	Notice of imposition of Penalty	21-Sep-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.2.1e & 6.2A.1
246	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)
247	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)
248	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
249	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
250	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
251	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
252	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
253	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



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
254	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
255	Riaz Ahmed Securities (Pvt) Ltd.	Censure Letter	21-Aug-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5 & 6.2.6
256	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
257	Adeel Zafar Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6.
258	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
259	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
260	AAA Securities (Pvt.) Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6
261	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
262	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
263	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
264	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
265	Amanah Investments Limited	Censure Letter	11-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, & 6.2.6.
266	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
267	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
268	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
269	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
270	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
271	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
272	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
273	UNEX Securities (Pvt) Limited	Censure Letter	4-Aug-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
274	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
275	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)
276	NIB Bank Limited	Terminated	1-Aug-17	Voluntary Termination	15.10.1
277	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
278	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
279	Jamshaid & Hasan Securities (Pvt) Ltd	Notice of imposition of Penalty	22-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
280	Zafar Securities (Private) Limited	Notice of imposition of Penalty	22-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6
281	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)
282	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
283	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)
284	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)
285	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)
286	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
287	Habib Metropolitan Financial Services Limited	Censure Letter	13-Jun-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5 & 6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
288	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
289	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)
290	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
291	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
292	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)
293	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)
294	Allied Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
295	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)
296	Interactive Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
297	Chippa Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
298	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)
299	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)
300	MAN Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
301	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)
302	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)
303	MAC Securities (Private) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
304	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)
305	Motiwala Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
306	MY Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
307	AAU Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
308	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)
309	Ahsam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
310	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)



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
311	BMS Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
312	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)
313	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)
314	Fort Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
315	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)
316	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)
317	Khayyam Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
318	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)
319	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)
320	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)
321	Schon Capital Markets Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
322	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)
323	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)
324	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)
325	Union Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
326	Venus Securities (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
327	ZM Capital (Pvt.) Limited	Suspended	29-May-17	Pursuant to directive issued by SECP vide order dated May 26, 2017	15.2.1(b)
328	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)
329	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)
330	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)
331	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)
332	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)
333	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
334	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
335	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



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
336	ASA STOCKS (PVT.) LIMITED	Censure Letter	18-May-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
337	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
338	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)
339	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
340	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
341	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
342	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
343	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
344	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
345	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
346	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
347	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
348	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
349	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
350	Networth Securities Limited	Notice of Restriction	28-Apr-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
351	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
352	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
353	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)
354	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	-
355	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)
356	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
357	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
358	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
359	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
360	TARIQ VOHRA SECURITIES (PVT) LIMITED	Censure Notice	30-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5 & 6.2.6
361	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
362	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
363	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
364	H.H.K. Securities (Pvt) Limited	Notice of Restriction & Penalty	30-Mar-17	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
365	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
366	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
367	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
368	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)
369	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)
370	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
371	First Equity Modaraba	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
372	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
373	Surmawala Securities (Private) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
374	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
375	IQBAL USMAN KODVAVI SECURITIES (PVT) LTD	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4 & 6.2.6
376	MULTILINE SECURITIES (PVT.) LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
377	Dattoo Securities (Pvt.) Limited	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4 & 6.2.6
378	SECURITY INVESTMENT BANK LIMITED	Notice of Restriction	14-Mar-17	Non-Compliance of CDC Regulations	6.2.6 & 6.2.6
379	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)
380	KSR Stock Brokerage (Pvt.) Ltd	Notice of Imposition of Penalty	13-Mar-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 8.3A.1 & 6.2A.1
381	Progressive Securities (Private) Limited	Notice of Imposition of Penalty	13-Mar-17	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 6.7.4 & 6.2A.1
382	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)
383	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)
384	ESCORTS CAPITAL LIMITED	Restricted	6-Mar-17	Participant has not complied with Regulation 6.8.1 of the CDC Regulations.	15.2.1(a)
385	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)
386	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)
387	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)
388	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)
389	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)
390	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)
391	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)
392	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)
393	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)
394	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)
395	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)
396	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)
397	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)
398	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)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
399	Universal Equities (Private) Limited	Terminated	2-Mar-17	Voluntary Termination	15.10.1
400	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
401	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
402	MAM Securities (Private) Limited	Suspended	20-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
403	Sunrise Capital (Private) Limited	Suspended	17-Feb-17	Due to non-compliances of regulatory provisions	15.2.1(b)
404	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.
405	MAM Securities (Private) Limited	Notice of Imposition of Penalty	8-Feb-17	Non-Compliance of CDC Regulations	6.2.4, 6.2.5, 6.2A.1 & 8.2.1e
406	M. R. Securities (SMC-PVT.) Limited	Intention of further Suspension	6-Feb-17	Due to non-compliances of CDC Regulations.	15.2.1(b)
407	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)
408	AWJ Securities (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
409	Sunrise Capital (Private) Limited	Suspended	30-Jan-17	Participant has breached the provisions of the CDC Regulations	15.2.1.(b)
410	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)
411	Zafar Securities (Private) Limited	Removal of Restriction	30-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
412	Sonia Shahzad Securities (Private) Limited	Terminated	24-Jan-17	Voluntary Termination	15.10.1
413	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
414	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
415	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)
416	AM Chaudhry Securities (Private) Limited	Removal of Restriction	13-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
417	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
418	Mashhadi Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
419	SIS Securities (Private) Limited	Terminated	13-Jan-17	Voluntary Termination	15.10.1
420	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)
421	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)
422	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)
423	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
424	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)
425	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
426	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
427	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



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
428	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
429	Malik Securities (Private) Limited	Terminated	6-Jan-17	Voluntary Termination	15.10.1
430	S A Securities (Pvt) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
431	SIS Securities (Private) Limited	Removal of Restriction	6-Jan-17	Participant has complied with the Regulation 6.8.2	15.6.2
432	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)
433	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)
434	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)
435	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)
436	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)
437	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)
438	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)
439	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)
440	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)
441	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)
442	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)
443	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)
444	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)
445	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)



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
446	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)
447	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)
448	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)
449	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)
450	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)
451	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)
452	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)
453	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)
454	Allied Bank Limited- KSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
455	Allied Bank Limited - LSE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
456	Allied Bank Limited- ISE Branch	Notice of Intention to Suspend	23-Dec-16	Failure to settle the CDC outstanding dues.	15.9.1(e)
457	Allied Bank Limited- KSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
458	Allied Bank Limited - LSE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
459	Allied Bank Limited- ISE Branch	Notice of Regulatory Action	23-Dec-16	Failure to settle the CDC outstanding dues.	Clause 13 of Agreement
460	Sunrise Capital (Private) Limited	Restricted	21-Dec-16	Due to contravention of provisions of the CDC Regulations	15.2.1(a)
461	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
462	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
463	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
464	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
465	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
466	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
467	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
468	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
469	M H Securities (Pvt.) Limited	Censure Notice	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6
470	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
471	Vector Securities (Pvt.) Ltd.	Censure Notice	19-Dec-16	Non-Compliance of CDC Regulations	6.2.4, 6.25, 6.2.6, 3.7
472	Z.A. Ghaffar Securities (Private) Ltd.	Notice of Restriction	19-Dec-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.25, 6.2.6
473	Ghory's Securities (Pvt.) Limited	Terminated	9-Dec-16	Voluntary Termination	15.10.1
474	Paramount Securities (SMC-Private) Limited	Terminated	8-Dec-16	Voluntary Termination	15.10.1
475	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



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
476	Y.S. Stocks (Private) Limited	Terminated	2-Dec-16	Voluntary Termination	15.10.1
477	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)
478	A.H.M Securities (Pvt.) Limited	Notice of Restriction	22-Nov-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 3.7
479	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
480	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
481	First Punjab Modaraba	Terminated	14-Nov-16	Voluntary Termination	15.10.1
482	MYM Equities (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
483	Fort Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
484	Abid Investments (Private) Limited	Terminated	10-Nov-16	Voluntary Termination	15.10.1
485	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
486	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
487	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
488	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
489	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
490	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)
491	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
492	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
493	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
494	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
495	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
496	Akbani Securities (SMC-PVT) Limited	Terminated	25-Oct-16	Voluntary Termination	15.10.1
497	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
498	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
499	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
500	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
501	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
502	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
503	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
504	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
505	Prosperity Securities (Private) Limited	Terminated	18-Oct-16	Voluntary Termination	15.10.1
506	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
507	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)
508	Growth Securities (Pvt) Limited	Notice of Restriction	10-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
509	TS Securities (Pvt.) Ltd	Notice of Restriction	10-Oct-16	Non-Compliance of CDC Regulations	6.2.2, 6.2.4, 6.2.5, 6.2.6, 3.7
510	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)
511	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)



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
512	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)
513	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)
514	Star Securities (Private) Limited	Terminated	10-Oct-16	Voluntary Termination	15.10.1
515	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)
516	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
517	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
518	MBJ Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
519	Taha Securities (Private) Limited	Terminated	29-Sep-16	Voluntary Termination	15.10.1
520	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)
521	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)
522	Smart Investments Capital Management (Pvt.) Limited	Terminated	8-Sep-16	Voluntary Termination	15.10.1
523	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
524	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)
525	Nizam Securities (Private) Limited	Terminated	1-Sep-16	Voluntary Termination	15.10.1
526	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)
527	AB Equities (Private) Limited	Removal of Suspension	26-Aug-16	Participant has complied with the Regulation 6.8.2	15.6.2
528	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)
529	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)
530	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)
531	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)
532	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)
533	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)
534	H.M.Y. Securities (Private) Limited	Terminated	19-Aug-16	Voluntary Termination	15.10.1
535	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)
536	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
537	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
538	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)



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
539	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
540	Alpha Beta Capital Markets (Private) Limited	Terminated	27-Jul-16	Voluntary Termination	15.10.1
541	Amin Tai Securities (Private) Limited	Terminated	20-Jul-16	Voluntary Termination	15.10.1
542	Concept Securities (Private) Limited	Terminated	13-Jul-16	Voluntary Termination	15.10.1
543	Malik Securities (Private) Limited	Restricted	11-Jul-16	Consequent to imposing restriction by PSX vide notice no. PSX/N-4021 dated July 11, 2016	15.2.1(a)
544	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)
545	Platinum Capital Management (Private) Limited	Terminated	24-Jun-16	Voluntary Termination	15.10.1
546	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)
547	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
548	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
549	Dugan Securities (Private) Limited	Terminated	6-Jun-16	Voluntary Termination	15.10.1
550	Shehzad Chamdia Securities (Pvt.) Limited	Terminated	3-Jun-16	Voluntary Termination	15.10.1
551	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
552	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)
553	Mikon Securities (Pvt.) Limited	Terminated	27-May-16	Voluntary Termination	15.10.1
554	Sohail Raza Moosani (SMC-Pvt) Limited	Terminated	25-May-16	Voluntary Termination	15.10.1
555	Main Muhammad Akram Securities (Pvt.) Limited	Terminated	18-May-16	Voluntary Termination	15.10.1
556	Muhammad Bashir Kasmani Securities (Pvt.) Limited	Terminated	17-May-16	Voluntary Termination	15.10.1
557	Munaf Sattar Securities (Pvt.) Limited	Terminated	9-May-16	Voluntary Termination	15.10.1
558	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)
559	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
560	Uzma Shabbir Securities (Private) Limited	Terminated	12-Apr-16	Voluntary Termination	15.10.1
561	H.R. Securities & Brokerage (Private) Limited	Terminated	7-Apr-16	Voluntary Termination	15.10.1
562	Al Asar Securities (Private) Limited	Terminated	6-Apr-16	Voluntary Termination	15.10.1
563	Akd Analytics (Private) Limited	Removal of Suspension	5-Apr-16	Participant has complied with the Regulation 6.8.2	15.6.2
564	Samba Bank Limited	Terminated	25-Mar-16	Voluntary Termination	15.10.1
565	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
566	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)
567	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
568	A.H.K.D. Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
569	Ab Equities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
570	Akd Analytics (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
571	Pak United Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
572	Invisor Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
573	QF Securities (Pvt) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
574	Khoja'S Capital Management (Pvt) Ltd.	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
575	Al-Mal Securities & Services Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
576	Mohammed Hanif Moosa	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
577	Investec Securities Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
578	Javed Omer Vohra & Company Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
579	Yousuf Ebrahim	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
580	Shahid Hassan Awan	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
581	Mohammad Tanveer Malik	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
582	Islamabad Securities (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
583	Orion Investments (Private) Limited	Suspended	1-Mar-16	on the completion of 60 days of Restriction.	15.4.1
584	Tariq Sayeed Securities (Private) Limited	Removal of Restriction	1-Mar-16	Participant has complied with the Regulation 6.8.2	15.6.2
585	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)
586	Elixir Securities Pakistan (Pvt.) Limited	Removal of Restriction	24-Feb-16	Participant has complied with the Regulation 6.8.1	15.6.2
587	Fincap Investments (Private) Limited	Notice in respect of Participant	3-Feb-16	Participant has complied with the Regulation 6.8.2	15.6.2
588	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
589	Trust Capital (Private) Limited	Suspended	25-Jan-16	on the completion of 60 days of Restriction.	15.3.7(b)
590	Saima Qaiser Securities (Pvt) Limited	Removal of Restriction	22-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
591	Safe Securities (Pvt.) Limited	Terminated	18-Jan-16	Voluntary Termination	15.10.1
592	JCR Capital Securities (Private) Limited	Removal of Restriction	13-Jan-16	Participant has complied with the Regulation 6.8.2	15.6.2
593	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
594	SMB Securities (Private) Limited	Removal of Restriction	30-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
595	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)
596	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
597	Faith Securities (Private) Limited	Removal of Restriction	18-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
598	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)
599	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)
600	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)
601	Aziz Fidahusseini & Company (Pvt.) Limited	Suspended	11-Dec-15	Consequent to suspension of Participant by KSE vide notice no. KSE/N-6454 dated December 10, 2015	15.2.1(b)
602	Shaukat Shaffi Securities (Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
603	First Fidelity Leasing Modaraba	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2
604	Sohail Raza Moosani (Smc-Private) Limited	Removal of Restriction	7-Dec-15	Participant has complied with the Regulation 6.8.2	15.6.2



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
605	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)
606	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)
607	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)
608	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)
609	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)
610	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)
611	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)
612	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)
613	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)
614	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)
615	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)
616	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)
617	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)
618	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)
619	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
620	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)
621	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)
622	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)
623	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)
624	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)
625	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)
626	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)
627	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)
628	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)
629	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)
630	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)
631	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)
632	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)
633	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)
634	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)
635	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



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
636	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)
637	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)
638	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)
639	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)
640	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)
641	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
642	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
643	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
644	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
645	Hatim Investments & Securities (Pvt.) Limited	Terminated	18-Sep-15	Voluntary Termination	15.10.1
646	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
647	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	31-Aug-15	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
648	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)
649	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
650	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)
651	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
652	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
653	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
654	WE Financial Services Limited	Notice of Imposition of Penalty	24-Jul-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
655	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)
656	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)
657	Aziz Fidhusein & Company (Private) Limited	Restricted	22-Jul-15	Consequent to the forfeiture of Trading Right Entitlement Certificate of the Participant by KSE vide notice no. KSE/N-3626 dated July 16, 2015	15.2.1(a)



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
658	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)
659	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
660	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
661	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)
662	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
663	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)
664	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)
665	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
666	Investforum (Smc-Pvt) Limited	Notice of Imposition of Penalty	19-Jun-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
667	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
668	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)
669	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)
670	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)
671	MAK Securities (Private) Limited	Terminated	30-Apr-15	Voluntary Termination	15.10.1
672	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)
673	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
674	Alfa Adhi Securities (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
675	Ali Husain Rajabali Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
676	AWJ Securities (Private) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
677	Jan Muhammad A. Latif Nini & Sons (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
678	Prime Securities (Pvt.) Limited	Censure Notice	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6
679	AZEE Securities (Private) Limited	Notice of Imposition of Penalty	17-Apr-15	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
680	Alfalah Securities (Private) Limited	Notice of Imposition of Penalty	14-Apr-15	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
681	Aziz Fidahusein & Company (Pvt.) Limited	Notice of Imposition of Penalty	14-Apr-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
682	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.	-
683	First National Equities Limited	Notice of Imposition of Penalty	2-Apr-15	Non-Compliance of CDC Regulations	6.2.2, 6.2.6 & 6.7.3



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
684	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
685	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
686	Moosani Securities (Pvt.) Limited	Terminated	6-Mar-15	Voluntary Termination	15.10.1
687	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
688	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
689	Capital Vision Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Feb-15	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
690	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
691	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
692	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
693	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
694	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
695	Aazeb Securities (Private) Limited	Terminated	24-Dec-14	Voluntary Termination	15.10.1
696	Dosslanis Securities (Pvt.) Limited	Censure Notice	12-Dec-14	Non-Compliance of CDC Regulations	6.2.6
697	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.	-
698	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.	-
699	Harvest Smarttrend 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)
700	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)
701	AFIC Securities (Private) Limited	Terminated	4-Sep-14	Voluntary Termination	15.10.1
702	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)
703	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
704	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
705	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
706	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)



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
707	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
708	Ghory's Securities (Private) Limited	Suspended	11-Jun-14	Consequent to completion of 60 Business Day of Restriction	15.3.7(b)
709	Invest Capital Markets Limited	Notice of Imposition of Penalty	10-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
710	High Land Securities (Pvt.) Limited	Censure Notice	5-Jun-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
711	Din Capital (Pvt.) Limited	Censure Notice	8-May-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
712	Ayub Chaudhry Investments (Pvt.) Limited	Censure Notice	24-Apr-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
713	Muhammad Tariq Moti Securities (Pvt.) Limited	Censure Notice	10-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
714	SAAO Capital (Pvt.) Limited	Censure Notice	9-Apr-14	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
715	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	9-Apr-14	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
716	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
717	Islamabad Securities (Private) Limited	Suspended	7-Apr-14	Consequent to suspension of Trading Rights Entitlement Certificate by ISE	15.2.1(b)
718	Aziz Fidahusein & Company (Pvt.) Limited	Censure Notice	26-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 6.2A.1
719	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
720	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)
721	Alfalsh Securities (Private) Limited	Censure Notice	21-Mar-14	Non-Compliance of CDC Regulations	6.2.6
722	Excel Securities (Pvt.) Limited	Suspended	21-Mar-14	Pursuant to directive dated February 20, 2014 of the SECP.	15.2.1(b)
723	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)
724	Multiline Securities (Pvt.) Limited	Censure Notice	13-Mar-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
725	Apex Capital Securities (Private) Limited	Censure Notice	4-Mar-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
726	Pearl Brokerage (Pvt.) Limited	Notice of Imposition of Penalty	4-Mar-14	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
727	Maximus Securities (Private) Limited	Terminated	4-Mar-14	Voluntary Termination	15.10.1
728	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)
729	Highlink Capital (Private) Limited	Suspended	20-Feb-14	Pursuant to order dated February 20, 2014 of the SECP.	15.2.1(b)
730	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)
731	Capital Vision Securities (Pvt.) Limited	Censure Notice	14-Feb-14	Non-Compliance of CDC Regulations	6.2.3, 6.2.6
732	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
733	Nasir Ali Shah Bukhari	Terminated	41684	Voluntary Termination	15.10.1
734	Prime Securities (Pvt.) Limited	Censure Notice	13-Feb-14	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
735	Escorts Capital Limited	Notice of Imposition of Penalty	31-Jan-14	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
736	G. R. Securities (SMC-Pvt.) Limited	Terminated	30-Jan-14	Consequent to forfeiture of Trading Rights Entitlement Certificate by ISE	15.3.7
737	Maximus Securities (Pvt.) Limited	Restricted	29-Jan-14	Consequent to expiry of broker registration as notified by LSE.	15.2.1(a)
738	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)
739	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)



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
740	SNM Securities (Private) Limited	Restricted	26-Dec-13	Consequent to deactivation of all trading terminals by the KSE	15.1.1(a)
741	M. J. Memon Securities (Pvt.) Limited	Censure Notice	18-Dec-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
742	Maha Securities (Pvt.) Limited	Censure Notice	9-Dec-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
743	Highlink Capital (Private) Limited	Restricted	29-Nov-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
744	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
745	Hameed Mukhtar Chaudhry	Terminated	27-Nov-13	Voluntary Termination	15.10.1
746	Excel Securities (Pvt.) Limited	Censure Notice	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
747	Mian Muhammad Akram Securities (Pvt.) Limited	Censure Notice	25-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
748	MTM Securities (Private) Limited	Terminated	20-Nov-13	Voluntary Termination	15.10.1
749	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Nov-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
750	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)
751	Trade-In-Securities (Pvt.) Limited	Censure Notice	7-Nov-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
752	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	6-Nov-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
753	MCFSL - Trustee MCFSL Trustee Atlas Fund of Funds	Terminated	6-Nov-13	Voluntary Termination	15.10.1
754	Jamshaid & Hasan Securities (Pvt.) Limited	Notice of Imposition of Penalty	5-Nov-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
755	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
756	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
757	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)
758	Fair Edge Securities (Pvt.) Limited	Censure Notice	24-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
759	AZEE Securities (Private) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
760	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	10-Oct-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
761	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)
762	Dossanis Securities (Pvt.) Limited	Notice of Imposition of Penalty	2-Oct-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
763	Gul Dhami Securities (Pvt.) Limited	Censure Notice	30-Sep-13	Non-Compliance of CDC Regulations	6.2.6
764	AMCAP Securities (Private) Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
765	First Pakistan Securities Limited	Notice of Imposition of Penalty	30-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
766	Dattoo Securities (Pvt.) Limited	Censure Notice	27-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
767	Intermarket Securities Limited	Censure Notice	26-Sep-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
768	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)
769	FDM Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
770	Oriental Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
771	Standard Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
772	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
773	SNM Securities (Private) Limited	Censure Notice	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
774	Axis Global Limited	Notice of Imposition of Penalty	27-Aug-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
775	Sakarwala Capital Securities (Pvt.) Limited	Censure Notice	20-Aug-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
776	Akhai Securities (Pvt.) Limited	Notice of Imposition of Penalty	31-Jul-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
777	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
778	DJM Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-Jul-13	Non-Compliance of CDC Regulations	6.7.2 & 6.2A.1
779	Live Securities Limited	Notice of Imposition of Penalty	19-Jul-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
780	Invest Capital Markets Limited	Notice of Imposition of Penalty	11-Jul-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.1
781	Diyannah Islamic Financial Services (Pvt.) Limited	Notice of Imposition of Penalty	10-Jul-13	Non-Compliance of CDC Regulations	6.2A.1 & 6.2.6
782	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
783	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
784	Arif Majid Chaudhary	Terminated	26-Jun-13	Voluntary Termination	15.10.1
785	Continental Capital Management (Pvt.) Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
786	Irfan Mazhar Securities (Pvt.) Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
787	KASB Securities Limited	Censure Notice	21-Jun-13	Non-Compliance of CDC Regulations	6.2A.1, 6.2.6
788	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
789	Mian Nusrat-Ud-Din	Notice of Imposition of Penalty	21-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
790	Darson Securities (Private) Limited	Censure Notice	19-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
791	M.R.A. Securities (Pvt.) Limited	Censure Notice	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
792	MSMANIAR Financials (Pvt.) Limited	Notice of Imposition of Penalty	17-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.7.3
793	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
794	Live Securities Limited	Extension of Restricted Period	10-Jun-13	Due to non-resolution of investor's complaint against the Participant	15.3.1
795	Alfalah Securities (Private) Limited	Notice of Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.2, 6.2A.1 and 6.7.3
796	Progressive Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-Jun-13	Non-Compliance of CDC Regulations	6.2.6
797	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
798	Ghani Osman Securities (Pvt.) Limited	Censure Notice	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
799	Multiline Securities (Pvt.) Limited	Censure Notice	4-Jun-13	Non-Compliance of CDC Regulations	6.2.6
800	Moonaco Securities (Pvt.) Limited	Censure Notice	3-Jun-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
801	Bawa Securities (Pvt.) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
802	S. Z. Securities (Pvt.) Limited	Notice of Imposition of Penalty	3-Jun-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2A.1
803	Alfa Adhi Securities (Pvt.) Limited	Censure Notice	24-May-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1
804	Adeel & Nadeem Securities (Pvt.) Limited	Notice of Imposition of Penalty	24-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
805	Aziz Fidahusein & Company (Pvt.) Limited	Notice of Imposition of Penalty	22-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
806	Hameed Mukhtar Chaudhry	Removal of Restriction	21-May-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
807	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
808	ZHV Securities (Private) Limited	Terminated	15-May-13	Consequent to Forfeiture of TRE Certificate by KSE	15.3.7
809	Moosa, Noor Mohammad, Shahzada & Company (Private) Limited	Suspension	15-May-13	Consequent to suspension of TRE Certificate by KSE	15.2.1(b)
810	Salih Haroon	Terminated	15-May-13	Voluntary Termination	15.10.1
811	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
812	We Financial Services Limited	Notice of Imposition of Penalty	14-May-13	Non-Compliance of CDC Regulations	6.2.2 and 6.7.3
813	Zahid Ali Habib	Terminated	14-May-13	Voluntary Termination	15.10.1
814	SAZ Capital Securities (Pvt.) Limited	Censure Notice	9-May-13	Non-Compliance of CDC Regulations	6.2.6



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
815	Arif Latif	Terminated	9-May-13	Voluntary Termination	15.10.1
816	Mian Nusrat-Ud-Din	Terminated	9-May-13	Voluntary Termination	15.10.1
817	Mohammad Amer Riaz	Terminated	9-May-13	Voluntary Termination	15.10.1
818	M. Ayub Ch.	Terminated	9-May-13	Voluntary Termination	15.10.1
819	Sajid Masood	Terminated	9-May-13	Voluntary Termination	15.10.1
820	Saima Qaiser	Terminated	9-May-13	Voluntary Termination	15.10.1
821	First Fidelity Leasing Modaraba	Restricted	8-May-13	Consequent to Switching off trading terminals by the ISE	15.2.1(a)
822	Investforum (Smc-Pvt) Limited	Notice of Imposition of Penalty	7-May-13	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.6 & 6.2A1
823	Seven Star Securities (Pvt.) Limited	Notice of Imposition of Penalty	7-May-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
824	Arif Latif	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
825	Mian Nusrat-Ud-Din	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
826	Mohammad Amer Riaz	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
827	Zahid Ali Habib	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
828	Arif Majid Chaudhary	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
829	Saliha Haroon	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
830	M. Ayub Ch.	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
831	Hameed Mukhtar Ch.	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
832	Nasir Ali Shah Bukhari	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
833	Sajid Masood	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
834	Saima Qaiser	Restricted	7-May-13	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
835	H. M. Idrees H. Adam	Terminated	6-May-13	Voluntary Termination	15.10.1
836	Tewfiq Mohammad Amin Fikree	Terminated	6-May-13	Voluntary Termination	15.10.1
837	Muhammad Tariq Moti	Terminated	6-May-13	Voluntary Termination	15.10.1
838	Raymund J.H.P Byramji	Terminated	6-May-13	Voluntary Termination	15.10.1
839	Dawood Mohammad	Terminated	6-May-13	Voluntary Termination	15.10.1
840	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
841	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
842	A. I. Securities (Pvt.) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
843	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
844	Sajid Masood	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
845	Stock Street (Private) Limited	Notice of Imposition of Penalty	12-Apr-13	Non-Compliance of CDC Regulations	6.2A.1 & 9.1.1
846	ZHV Securities (Private) Limited	Notice of Suspension	11-Apr-13	Consequent to suspension of TRE Certificate by the KSE	15.2.1(b)
847	Dalia Securities (Pvt.) Limited	Censure Notice	9-Apr-13	Non-Compliance of CDC Regulations	6.2.6
848	Pearl Brokerage (Pvt.) Limited	Censure Notice	9-Apr-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
849	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)
850	Blackstone Equities (Pvt.) Limited	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
851	Creative Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	4-Apr-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
852	Prosperity Securities (SMC-Pvt.) Limited	Notice of Suspension	3-Apr-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
853	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
854	Techno Fundamental Securities (Pvt.) Limited	Censure Notice	27-Mar-13	Non-Compliance of CDC Regulations	6.2.3 & 6.2.6
855	Fair Deal Securities (Pvt.) Limited	Notice of Imposition of Penalty	27-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
856	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
857	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
858	Ms. Saliha Haroon	Notice of Imposition of Penalty	26-Mar-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2A.1



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
859	Alfalsh Securities (Private) Limited	Removal of Restriction	25-Mar-13	Consequent to restoration of trading right entitlement certificate by the KSE	15.6.2
860	First National Equities Limited	Removal of Intention to Suspend	18-Mar-13	Participant has settled the fine imposed by CDC	15.9.1(e)
861	Switch Securities (Private) Limited	Censure Notice	15-Mar-13	Non-Compliance of CDC Regulations	6.2.6
862	Alfalsh Securities (Private) Limited	Restricted	15-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
863	ZHV Securities (Private) Limited	Restricted	13-Mar-13	Consequent to Switching off trading terminals by the KSE	15.2.1(a)
864	Friendly Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
865	Khanani Securities (Pvt.) Limited	Notice of Imposition of Penalty	8-Mar-13	Non-Compliance of CDC Regulations	6.2.A.1
866	Harvest Smartrend Securities (Pvt.) Limited	Notice of Imposition of Penalty	4-Mar-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.A.1 & 9.1.1
867	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)
868	M. J. Memon Securities (Pvt.) Limited	Censure Notice	27-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 6.2.A.1
869	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)
870	Sherman Securities (Pvt.) Limited	Notice of Imposition of Penalty	20-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
871	GMI Capital Securities (Pvt.) Limited	Notice of Imposition of Penalty	19-Feb-13	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
872	KSR Stock Brokerage (Pvt.) Limited	Censure Notice	15-Feb-13	Non-Compliance of CDC Regulations	6.7.3, 6.2.6 & 9.1.1
873	Arif Majid Chaudhry	Restricted	15-Feb-13	SECP directive pursuant to Rule 7 of Central Depository Companies (Establishment and Regulation) Rules, 1996	-
874	Baba Equities (Pvt.) Limited	Censure Notice	12-Feb-13	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
875	MCBFSL - Trustee AH Dow Jones Pak Titans 15 Index Fund	Terminated	12-Feb-13	Voluntary Termination	15.10.1
876	Safe Securities (Pvt.) Limited	Censure Notice	11-Feb-13	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
877	SAAO Capital (Pvt.) Limited	Notice of Imposition of Penalty	11-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.A.1 & 6.7.3
878	Arif Majid Chaudhry	Removal of Suspension	11-Feb-13	Consequent to restoration of trading right entitlement certificate by the LSE	15.6.2
879	First National Equities Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.7.3, 9.1.1 & 6.2.A.1
880	Habib Metropolitan Financial Services Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
881	Infinite Securities Limited	Notice of Imposition of Penalty	7-Feb-13	Non-Compliance of CDC Regulations	6.2.2, 6.2.6
882	Muhammad Ayub Chaudhry	Notice of Imposition of Penalty	28-Jan-13	Non-Compliance of CDC Regulations	6.2.2 & 9.1.1
883	Jahanzaib Gondal	Terminated	24-Jan-13	Voluntary Termination	15.10.1
884	A. S. Securities (Private) Limited	Suspended	11-Jan-13	Consequent to completion of 60BD of Restriction	15.3.7(b)
885	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)
886	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)
887	AWJ Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
888	Excel Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
889	Zafar Securities (Private) Limited	Notice of Imposition of Penalty	26-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
890	Imperial Investments (Private) Limited	Terminated	24-Dec-12	Consequent to expulsion of Participant by the KSE.	15.3.7
891	ACE Securities (Private) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
892	Maha Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3, 6.2.A.1 & 9.1.1
893	Time Securities (Pvt.) Limited	Notice of Imposition of Penalty	18-Dec-12	Non-Compliance of CDC Regulations	6.2.3, 6.2.6, 6.2.A.1 & 6.7.3
894	Ahmad Shoaib Akram	Terminated	18-Dec-12	Voluntary Termination	15.10.1
895	Arif Majid Chaudhry	Suspended	17-Dec-12	Consequent to suspension of trading right entitlement certificate by the LSE	15.2.1(b)
896	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)



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
897	Arif Majid Chaudhry	Restricted	14-Dec-12	Consequent to Switching off trading terminals by the LSE	15.2.1(a)
898	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)
899	Arif Majid Chaudhry	Intention to Suspend	30-Nov-12	Due to failure to pay CDC dues	15.9.1(e)
900	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
901	Imperial Investments (Private) Limited	Suspended	13-Nov-12	Consequent to suspension of trading right entitlement certificate by the ISE	15.2.1(b)
902	Highlink Capital (Private) Limited	Notice of Imposition of Penalty	30-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
903	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
904	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)
905	Value Stock Securities (Pvt.) Limited	Notice of Imposition of Penalty	19-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
906	Pearl Securities Limited	Notice of Imposition of Penalty	18-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
907	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)
908	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)
909	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)
910	Dattoo Securities (Pvt) Limited	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
911	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
912	Rayomund J.H.P. Byramji	Notice of Imposition of Penalty	8-Oct-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
913	Pearl Capital Management (Private) Limited	Terminated	4-Oct-12	Membership suspended by the KSE.	15.3.7
914	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
915	TS Securities (Pvt.) Limited	Notice of Imposition of Penalty	28-Sep-12	Non-Compliance of CDC Regulations	6.2 & 6.2.6
916	Gul Dhami Securities (Pvt.) Limited	Notice of Imposition of Penalty	26-Sep-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
917	F.M. Securities (Pvt.) Limited	Notice of Imposition of Penalty	14-Sep-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
918	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
919	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
920	Jahangir Siddiqui & Company Limited	Terminated	11-Sep-12	Voluntary Termination	15.10.1
921	Dosslanis Securities (Pvt.) Limited	Notice of Imposition of Penalty	30-Aug-12	Non-Compliance of CDC Regulations	6.2.2 & 6.7.3
922	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)
923	Pearl Capital Management (Private) Limited	Suspended	24-Aug-12	Membership suspended by the KSE.	15.2.1(b)
924	NBP Trustee - NI(U)T (LOC) Fund	Terminated	15-Aug-12	Voluntary Termination	15.10.1
925	First Pakistan Securities Limited	Notice of Imposition of Penalty	9-Aug-12	Non-Compliance of CDC Regulations	9.1.1, 6.2.6
926	Switch Securities (Private) Limited	Removal of Intention	8/3/2012	Participant has settled the CDC outstanding dues	15.9.1(e)
927	Unex Securities (Pvt.) Limited	Censure Notice	1-Aug-12	Non-Compliance of CDC Regulations	6.2.6 & 9.1.1
928	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
929	Arif Majid Chaudhry	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
930	Live Securities Limited	Notice of Imposition of Penalty	27-Jul-12	Non-Compliance of CDC Regulations	6.7.3, 6.2.6
931	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
932	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
933	Salma	Terminated	20-Jul-12	Voluntary Termination	15.10.1
934	YKD Securities (Pvt.) Limited	Terminated	19-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
935	Al-Hamd Investment and Securities (Private) Ltd.	Terminated	19-Jul-12	Voluntary Termination	15.10.1
936	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
937	Darson Securities (Private) Limited	Removal of Restriction	28-Jun-12	Participant has removed causes of Restrictions	15.6.2
938	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
939	Al-Hamd Investment and Securities (Private) Ltd.	Suspended	25-Jun-12	Consequent to completion of 60 Business Days of Restrictions	15.3.7(b)
940	Salman Capital Investments (Private) Limited	Terminated	22-Jun-12	Voluntary Termination	15.10.1
941	Invisor Securities (Private) Limited	Removal of Restriction	18-Jun-12	Consequent to change of status as an Active Member by KSE	15.6.2
942	Dawoodi Alibhoy Morkas	Terminated	14-Jun-12	Voluntary Termination	15.10.1
943	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Terminated	13-Jun-12	Consequent to cancellation of the membership by the ISE	15.3.7
944	Beaming Investment and Securities (Private) Limited	Suspended	8-Jun-12	Consequent to Suspension of Membership by the ISE.	15.2.1(b)
945	United Capital Securities (Private) Limited	Terminated	6/3/2012	Consequent to expulsion of Participant by the KSE.	15.3.7
946	H. H. K. Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
947	Khoja's Capital Management (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
948	Mr. Haroon Suleman	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
949	MAK Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
950	Motiwala Securities (Private) Limited	Restricted	3-Jun-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
951	Naveed H. M. Idrees	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
952	Latif Suleman Securities (Private) Limited	Restricted	6/3/2012	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
953	H. H. K. Securities (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
954	Motiwala Securities (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
955	Khoja's Capital Management (Private) Limited	Suspended	31-May-12	Consequent to completion of 60 business days of restrictions	15.3.7(b)
956	Khawaja Securities (Pvt.) Limited	Removal of Suspension	30-May-12	Consequent to restoration of trading terminals	15.6.2
957	Muhammad Ahmed Nadeem Securities (SMC-Pvt) Limited	Suspended	28-May-12	Consequent to Suspension of membership by the ISE.	15.2.1(b)
958	Beaming Investment and Securities (Private) Limited	Restricted	28-May-12	Consequent to Switching off trading terminals by the ISE.	15.2.1(a)
959	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
960	SAL Securities (Pvt.) Limited	Censure Notice	25-May-12	Non-Compliance of CDC Regulations	6.2.6 & A041
961	A.H.K.D. Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)
962	Invisor Securities (Private) Limited	Restricted	24-May-12	Consequent to Switching off trading terminals by the KSE.	15.2.1(a)
963	Arif Habib Securities Limited	Terminated	23-May-12	Voluntary Termination	15.10.1
964	Escorts Investment Bank Limited	Terminated	22-May-12	Voluntary Termination	15.10.1
965	MCFSL - Trustee UBL Capital Protected Fund-II	Terminated	22-May-12	Voluntary Termination	15.10.1
966	Stock Master Securities (Private) Limited	Terminated	16-May-12	Consequent to Expulsion of the membership by the LSE	15.3.7
967	Latif Suleman Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
968	Aqeel Karim Dhedhi Securities (Pvt.) Ltd.	Terminated	8-May-12	Voluntary Termination	15.10.1
969	Hum Securities Limited	Terminated	8-May-12	Voluntary Termination	15.10.1
970	Khoja's Capital Management (Private) Limited	Intention to Suspend	30-Apr-12	Due to failure to pay CDC dues	15.9.1(e)
971	Naveed H. M. Idrees	Terminated	30-Apr-12	Voluntary Termination	15.10.1
972	Beaming Investment and Securities (Private) Limited	Restricted	27-Apr-12	Consequent to Switching off of trading terminals by the ISE.	15.2.1(a)
973	Y. S. Securities & Services (Private) Limited	Terminated	24-Apr-12	Consequent to Expulsion by the LSE	15.3.7



Disciplinary Register - Participants
Under Regulation 14.6.1 of the CDC Regulations

S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
974	Trust Capital (Private) Limited	Restricted	18-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
975	Arif Majid Chaudhry	Removal of Intention to Suspend	18-Apr-12	Participant has settled the CDC outstanding dues	15.9.1(e)
976	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)
977	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)
978	Salman Capital Investments (Private) Limited	Restricted	12-Apr-12	Consequent to change of status as inactive member	15.2.1(a)
979	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)
980	Y. S. Securities & Services (Private) Limited	Suspended	10-Apr-12	Consequent to Suspension of membership by the LSE.	15.2.1(b)
981	Y. S. Securities & Services (Private) Limited	Restricted	9-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
982	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)
983	Dawoodi Alibhoy Morkas	Restricted	5-Apr-12	Consequent to Switching off trading terminals by the LSE.	15.2.1(a)
984	Al-Haq Securities (Pvt.) Limited	Censure Notice	30-Mar-12	Non-Compliance of CDC Regulations	6.7.3 & 6.2.6
985	Ms. Saliha Haroon	Censure Notice	30-Mar-12	Non-Compliance of CDC Regulations	6.2.2, 6.7.3 & 6.2.A.1
986	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)
987	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)
988	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)
989	Harvest Smartrend Sec. (Private) Limited	Removal of Intention	27-Mar-12	Participant has settled the CDC outstanding dues	15.9.1(e)
990	Universal Equities (Private) Limited	Restricted	26-Mar-12	Non-Renewal of Broker Registration Certificate	15.2.1(a)
991	MAK Securities (Private) Limited	Terminated	22-Mar-12	Voluntary Termination	15.10.1
992	Haroon Suleman	Terminated	22-Mar-12	Ceasing of as Member of KSE	15.2.1(c)
993	First National Equities Limited	Removal of Restriction	22-Mar-12	Participant complied with Regulatory requirements relating to transfer of securities	15.2.1(a)
994	Mr. Shahid Nauman Rana	Terminated	16-Mar-12	Due to declaration of the Participant as defaulter by the LSE	15.2.1(c)
995	Hum Securities Limited	Restricted	13-Mar-12	Consequent to Switching off of trading terminals by the KSE.	15.2.1(a)
996	Javed Iqbal Securities (Pvt.) Limited	Censure Notice	28-Feb-12	Non-Compliance of CDC Regulations	6.2.2 & 6.2.6
997	National Bank of Pakistan	Terminated	28-Feb-12	Voluntary Termination	15.10.1
998	AKY Securities (Pvt.) Limited	Terminated	27-Feb-12	Voluntary Termination	15.10.1
999	Value Stock Securities (Pvt.) Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1000	First Dawood Investment Bank Limited	Removal of Intention	27-Feb-12	Participant has settled the CDC outstanding dues	15.9.1(e)
1001	Pak United Securities (Private) Limited	Restricted	14-Feb-12	Consequent to non-renewable of broker registration certificate	15.2.1(a)
1002	Shehzad Chamdia Securities (Private) Limited	Terminated	2/3/2012	Voluntary Termination	15.10.1
1003	Trustee of AH-Pak Brunei Islamic Income Fund	Terminated	2/3/2012	Voluntary Termination	15.10.1
1004	Switch Securities (Private) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1005	Harvest Smartrend Securities (Pvt.) Ltd.	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1006	Mr. Arif Majid Chaudhry	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1007	Value Stock Securities (Pvt.) Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1008	First Dawood Investment Bank Limited	Intention to Suspend	3-Feb-12	Due to failure to pay CDC dues	15.9.1(e)
1009	United Capital Securities (Private) Limited	Suspended	1-Feb-12	Consequent to suspension of membership by the KSE.	15.2.1(b)
1010	United Capital Securities (Private) Limited	Restriction	31-Jan-12	Consequent of Switching off of trading terminals by the KSE.	15.2.1(a)
1011	First National Equities Limited	Notice of Imposition of Penalty	23-Jan-12	Non-Compliance of CDC Regulations	6.7.3 & 4.19
1012	AFIC Securities (Private) Limited	Censure Notice	18-Jan-12	Non-Compliance of CDC Regulations	6.2.6



Disciplinary Register - Participants					
Under Regulation 14.6.1 of the CDC Regulations					
S. No.	Name of Participant	Disciplinary Actions	Notice Date	Reason	Under CDC Regulation
1013	Standard Securities (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
1014	Elite Stock Services (Private) Limited	Terminated	5-Jan-12	Voluntary Termination	15.10.1
1015	United Capital Securities (Private) Limited	Revised Notice of Intention to suspend	3-Jan-12	Extending the period of Restriction.	9.1.1
1016	Zafar Moti Capital Securities (Private) Limited	Removal of Restriction	2-Jan-12	Pursuant to Court Order dated 30-12-2011.	Court Order