Liquid Capital Statement

for the month of 28-FEB-17

of M/s. 128 Securities (Pvt) Ltd

Submission Date 15-MAR-2017 16:10:22

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| market value of any securities deposited as collateral after applying VaR based halicut. i. Lower of net balance sheet value or value determined through adjustments. ii. Incase receivables are against margin trading, 5% of the net balance sheet value. iii. Incase receivables are against securities borrowings under SLB, the amount paid to NCCPL as collateral upon entering into contract, iii. Net amount after deducting halicut iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. v. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market value of securities purchased for customers and held in sub-accounts after applying VAR based haircuts, (ii) cash deposited as collateral by the respective customer and (iii) the market value of securities held as collateral after applying VaR based haircuts, vi. 100% haircut in the case of amount receivable form related parties. 1.18 Cash and Bank balances i. Bank Balance-proprietory accounts 2.5,299,487 ii. Cash in hand 2.6,189,057 0 2 | | | | | |
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| iii. Incase receivalbes are against securities borrowings under SLB, the amount paid to NCCPL as collateral upon entering into contract, iii. Net amount after deducting haricut iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. iv. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market 12,704,075 1,701,783 value of securities purchased for customers and held in sub-accounts after applying VAR based haircuts, (ii) cash deposited as collateral by the respective customer and (iii) the market value of securities held as collateral after applying VAR based haircuts, iv. 100% haircut in the case of amount receivable form related parties. 1.18 Cash and Bank balances i. Bank Balance-proprietory accounts 5,299,487 0 5,299,487 ii. Bank balance-customer accounts 5 26,189,057 0 26,189,057 iii. Cash in hand 425,294 0 425,294 0 425,294 1.19 Total Assets 69,180,968 16,744,228 43,136,231 2 Liabilities 2.1 Trade Payables i. Payable to exchanges and clearing house 889,381 0 889,381 iii. Payable to customers 40,068,011 0 40,068,011 2 Current Liabilities i. Statutory and regulatory dues | | ii. Incase receivables are against margin trading, 5% of the net balance sheet value. | | | |
| collateral upon entering into contract, iii. Net amount after deducting haricut iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market value of securities purchased for customers and held in sub-accounts after applying VAR based haircuts, (ii) cash deposited as collateral by the respective customer and (iii) the market value of securities held as collateral after applying VAR based haircuts. vi. 100% haircut in the case of amount receivable form related parties. 1.18 Cash and Bank balances i. Bank Balance-proprietory accounts iii. Cash in hand 26,189,057 0 26,189,057 0 26,189,057 1 0 425,294 1.19 Total Assets 69,180,968 16,744,228 43,136,231 2 Liabilities 1. Payable to exchanges and clearing house iii. Payable to exchanges and clearing house iii. Payable to customers 40,068,011 0 40,068,011 0 40,068,011 0 40,068,011 0 40,068,011 0 Current Liabilities i. Statutory and regulatory dues | | | | | |
| Iii. Net amount after deducting haricut vi. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. 1,306,251 0 1,306,251 vi. Balance sheet value vi. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market value of securities purchased for customers and held in sub-accounts after applying VAR based haircuts, (ii) cash deposited as collateral by the respective customer and (iii) the market value of securities held as collateral after applying VAR based haircuts, vi. 100% haircut in the case of amount receivable form related parties. Cash and Bank balances | | | | | |
| Iv. Balance sheet value V. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market value of securities processed for customers and held in sub-accounts after applying VAR based haircuts, (ii) cash deposited as collateral by the respective customer and (iii) the market value of securities held as collateral after applying VAR based haircuts. vi. 100% haircut in the case of amount receivable form related parties. 1.18 | | | | | |
| v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market value of securities purchased for customers and held in sub-accounts after applying VAR based haircuts, (ii) cash deposited as collateral by the respective customer and (iii) the market value of securities held as collateral after applying VAR based haircuts. vi. 100% haircut in the case of amount receivable form related parties. 1.18 Cash and Bank balances i. Bank Balance-proprietory accounts ii. Bank balance-customer accounts iii. Cash in hand 26,189,057 26,189,057 30 26,189,057 30 26,189,057 30 26,189,057 30 425,294 | | iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. | 1,306,251 | 0 | 1,306,251 |
| value of securities purchased for customers and held in sub-accounts after applying VAR based haircuts, (ii) cash deposited as collateral by the respective customer and (iii) the market value of securities held as collateral after applying VAR based haircuts. vi. 100% haircut in the case of amount receivable form related parties. 1.18 | | | 10.704.075 | 4 704 700 | 4 704 700 |
| haircuts, (ii) cash deposited as collateral by the respective customer and (iii) the market value of securities held as collateral after applying VaR based haircuts. vi. 100% haircut in the case of amount receivable form related parties. 1.18 Cash and Bank balances i. Bank Balance-proprietory accounts ii. Bank balance-customer accounts 26,189,057 0 26,189,057 iii. Cash in hand 425,294 0 425,294 1.19 Total Assets 69,180,968 16,744,228 43,136,231 2 Liabilities 2.1 Trade Payables i. Payable to exchanges and clearing house ii. Payable against leveraged market products iii. Payable to customers 40,068,011 2.2 Current Liabilities i. Statutory and regulatory dues | | | 12,704,075 | 1,701,783 | 1,701,783 |
| Securities held as collateral after applying VaR based haircuts. vi. 100% haircut in the case of amount receivable form related parties. | | | | | |
| 1.18 Cash and Bank balances i. Bank Balance-proprietory accounts 5,299,487 0 5,299,487 ii. Bank balance-customer accounts 26,189,057 0 26,189,057 iii. Cash in hand 425,294 0 425,294 1.19 Total Assets 69,180,968 16,744,228 43,136,231 2 Liabilities 2 2.1 Trade Payables 889,381 0 889,381 ii. Payable to exchanges and clearing house 889,381 0 889,381 iii. Payable to customers 40,068,011 0 40,068,011 2.2 Current Liabilities i. Statutory and regulatory dues | | securities held as collateral after applying VaR based haircuts. | | | |
| i. Bank Balance-proprietory accounts ii. Bank balance-customer accounts iii. Bank balance-customer accounts iii. Cash in hand 26,189,057 0 26,189,057 0 26,189,057 iii. Cash in hand 425,294 0 425,294 1.19 Total Assets 69,180,968 16,744,228 43,136,231 2 Liabilities 2.1 Trade Payables i. Payable to exchanges and clearing house ii. Payable against leveraged market products iii. Payable to customers 40,068,011 0 40,068,011 2.2 Current Liabilities i. Statutory and regulatory dues | | | | | |
| ii. Bank balance-customer accounts 26,189,057 0 26,189,057 iii. Cash in hand 425,294 0 425,294 1.19 Total Assets 69,180,968 16,744,228 43,136,231 2 | 1.18 | | | | |
| Iii. Cash in hand | | | | | |
| 1.19 Total Assets 69,180,968 16,744,228 43,136,231 2 | | | | | |
| 2 Liabilities | 1.19 | | | | |
| 2.1 Trade Payables i. Payable to exchanges and clearing house ii. Payable against leveraged market products iii. Payable to customers 40,068,011 2.2 Current Liabilities i. Statutory and regulatory dues | | | 12,122,200 | -,,-20 | |
| i. Payable to exchanges and clearing house ii. Payable against leveraged market products iii. Payable to customers 40,068,011 Current Liabilities i. Statutory and regulatory dues | | | | | |
| ii. Payable against leveraged market products iii. Payable to customers 40,068,011 Current Liabilities i. Statutory and regulatory dues | | | 880 381 | 0 | 880 381 |
| iii. Payable to customers 40,068,011 0 40,068,011 Current Liabilities i. Statutory and regulatory dues | | | 003,301 | 0 | 009,301 |
| i. Statutory and regulatory dues | | iii. Payable to customers | 40,068,011 | 0 | 40,068,011 |
| | 2.2 | | | | |
| ii. Accruals and other payables 855,201 0 855,201 | | | | | |
| | | ii. Accruals and other payables | 855,201 | 0 | 855,201 |

Liquid Capital Statement

for the month of 28-FEB-17

of M/s. 128 Securities (Pvt) Ltd

Submission Date 15-MAR-2017 16:10:22

Page 2 Of 2

| S.No. | Head of Account | Value in | Hair Cut/ | Net Adjusted |
|-------|---|------------|-------------|--------------|
| | | Pak Rupee | Adjustments | Value |
| | iii Short torm barrowings | | | |
| | iii. Short-term borrowings iv. Current portion of subordinated loans | | | |
| | v. Current portion of long term liabilities | | | |
| | vi. Deferred Liabilities | | | |
| | vii. Provision for bad debts | | | |
| | viii. Provision for taxation ix. Other liabilities as per accounting principles and included in the financial statements | | | |
| 2.3 | Non-Current Liabilities | | | |
| | i. Long-Term financing | | | |
| | ii. Staff retirement benefits | | | |
| | iii. Other liabilities as per accounting principles and included in the financial statements | | | |
| 2.4 | Subordinated Loans | | | |
| | i.100% of Subordinated loans which fulfill the conditions specified by SECP are allowed to be deducted ii. Subordinated loans which do not fulfill the conditions specified by SECP | | | |
| 2.5 | Total Liabilites | 41,812,593 | 0 | 41,812,593 |
| 3 | Ranking Liabilities Relating to: | | | |
| 3.1 | Concentration in Margin Financing | | | |
| | The amount calculated client-to- client basis by which any amount receivable from any of the financees exceed 10% of the aggregate of amounts receivable from total financees. | | | |
| 3.2 | Concentration in securites lending and borrowing | | | |
| | The amount by which the aggregate of: | | | |
| | (i) Amount deposited by the borrower with NCCPL (li) Cash margins paid and | | | |
| | (iii) The market value of securities pledged as margins exceed the 110% of the market value of shares | | | |
| 2.0 | borrowed | | | |
| 3.3 | Net underwriting Commitments | | | |
| | (a) in the case of right issuse: if the market value of securites is less than or equal to the subscription | | | |
| | price; the aggregate of: | | | |
| | (i) the 50% of Haircut multiplied by the underwriting commitments and | | | |
| | (iii) the value by which the underwriting commitments exceeds the market price of the securities. | | | |
| | In the case of rights issuse where the market price of securities is greater than the subscription price, 5% of | | | |
| | the Haircut multiplied by the net underwriting | | | |
| 3.4 | (b) in any other case : 12.5% of the net underwriting commitments Negative equity of subsidiary | | | |
| 3.4 | The amount by which the total assets of the subsidiary (excluding any amount due from the subsidiary) | | | |
| | exceed the total liabilities of the subsidiary | | | |
| 3.5 | Foreign exchange agreements and foreign currency positions | | | |
| | 5% of the net position in foreign currency. Net position in foreign currency means the difference of total | | | |
| | assets denominated in foreign cuurency less total liabilities denominated in foreign currency | | | |
| | Amount Payable under REPO | | | |
| 3.7 | Repo adjustment | | | |
| | In the case of financier/purchaser the total amount receivable under Repo less the 110% of the market | | | |
| | value of underlying securites. In the case of financee/seller the market value of underlying securities after applying haircut less the | | | |
| | total amount received ,less value of any securites deposited as collateral by the purchaser after | | | |
| | applying haircut less any cash deposited by the purchaser. | | | |
| 3.8 | Concentrated proprietary positions | | | |
| | If the market value of any security is between 25% and 51% of the total proprietary positions then 5% of | | | |
| | the value of such security. If the market of a security exceeds 51% of the proprietary position, then 10% of | | | |
| 2.0 | the value of such security | | | |
| 3.9 | Opening Positions in futures and options | | | |
| | i. In case of customer positions, the total margin requiremnets in respect of open postions less the amount of cash deposited by the customer and the value of securites held as collateral/pledged with securities | | | |
| | exchange after applyiong VaR haircuts | | | |
| | ii. In case of proprietary positions, the total margin requirements in respect of open positions to the | | | |
| | extent not already met | | | |
| 3.10 | Short selll positions | | | |
| | i. Incase of customer positions, the market value of shares sold short in ready market on behalf of | | | |
| | customers after increasing the same with the VaR based haircuts less the cash deposited by the | | | |
| | customer as collateral and the value of securities held as collateral after applying VAR based Haircuts ii. Incase of proprietory positions, the market value of shares sold short in ready market and not yet | | | |
| | settled increased by the amount of VAR based haircut less the value of securities pledged as collateral | | | |
| | after applying haircuts. | | | |
| 3.11 | Total Ranking Liabilites | 0 | 0 | |
| 3.12 | Liquid Capital | 27,368,375 | 16,744,228 | 1,323,638 |
| L | -igain capital | | | |