Schedule III [See regulation 6(4)]

Liquid Capital Statement

for the month of **30-SEP-18**

of M/s. 128 Securities (Pvt) Ltd

Submission Date 15-OCT-2018 16:26:04

| Pack Bagen Adjustantitis Value 1 Assets 1 Assets 1 12 Incogent & Equipment 1,287,381 1,287,381 1,287,381 13 Investment in Debt. Securities 1 1 1 14 Investment in Debt. Securities 1 1 15 Investment in Debt. Securities 1 1 16 Investment in Debt. Securities 1 1 17 Investment in Constance there are of tenue upto 1 years 1 1 18 Investment in Constance tenue takes of tenue upto 1 years 1 1 18 Rt Rd Rd The balance sheet value, in the case of fenue upto 1 years 1 1 1 19 Investment in Constance tenue, the case of fenue upto 1 years 1 | | Submission Date 13-001-2010 10.20.04 | | Page | 1 Of 3 |
|---|-------|--|------------|-------------|--------------|
| 1 Assets 1.367,631 1,267,631 1.1 Notestment in Ceck. Securities 1.367,631 1,267,631 1.3 Integrating in Debt. Securities 1.367,631 1,267,631 1.4 Investment in Debt. Securities 1.367,631 1,267,631 1.7 Integrating in Debt. Securities 1.367,631 1.367,631 1.8 Integrating in Debt. Securities 1.367,631 1.362,652 1.8 Integrating in Debt. Securities in | S.No. | Head of Account | Value in | Hair Cut/ | Net Adjusted |
| 1 Non-perty & Explorment 1.907.691 1.907.691 1.3 Insegment in Construction 1.907.691 1.907.691 1.4 Investment in Construction 1.907.691 1.907.691 1.4 Investment in Construction 1.907.691 1.907.691 1.5 Instruction of the balance sheet value in the case of tenue of more than 3 yeas. 1.907.691 1.907.691 1.105.07 The balance sheet value in the case of tenue of more than 3 yeas. 1.907.671 1.907.671 1.907.671 1.105.07 The balance sheet value in the case of tenue of more than 3 yeas. 1.907.671 | | | Pak Rupee | Adjustments | Value |
| 1 Dipulating with the vestment in Debt. Securities 1 1.3 Investment in Debt. Securities 1 1.4 Investment in Debt. Securities 1 1.5 Investment in Debt. Securities in the case of innea two is year. 1 1.5 Investment in the case of innea two is year. 1 1.5 Investment in the case of innea two is year. 1 1.5 Investment in the case of innea two is year. 1 1.5 Investment in the case of innea two is year. 1 1.6 Investment in Debt. Second is in the case of innea two is year. 1 1.7 Investment in Debt. Second is in the case of innea work is year. 1 1.6 Investment in Debt. Second is in the case of innea work is year. 1 1.7 Investment in Debt. Second is in the case of innea work is year. 1 1.7 Investment in Debt. Second is in the case of inne | 1 | Assets | | | |
| 1.2 Intransition if Root Securities 1.3 Introduction if Root Securities 1.4 Introduction if Root Securities 1.5 Introduction if Root Securities 1.5 Introduction if Root Securities 1.5 Introduction State Stat | 1.1 | Property & Equipment | 1,267,581 | 1,267,581 | |
| 14 Investment in Debt. Socurities 15 In First the balance sheet value in the case of torsus optor year. 15 100.0 The balance sheet value in the case of torsus optor year. 15 100.0 The balance sheet value in the case of torsus optor year. 15 100.0 The balance sheet value in the case of torsus optor year. 11 100.0 The balance sheet value in the case of torsus optor year. 11 11.25% of the balance sheet value in the case of torsus optor year. 11 11.25% of the balance sheet value, in the case of torsus optor year. 11 11.25% of the balance sheet value, in the case of torsus optor year. 12 11.25% of the balance sheet value, in the case of torsus of more year. 13 Investment in Equity Securities 14 Investment in Equity Securities 10.302.410 15 Investment in EPO of the case of torsus of more year. 10.302.410 14 Investment in EPO of the case of torsus of the securities which are provided that strans have for torse informating and year. 10.302.410 16 Stace of the strans of the case of torsus optor torsus optor torse case. 10.302.410 17 Investment in Social torse case. 10.302.410 10.302.410 16 Investment in social torse c | 1.2 | Intangible Assets | | | |
| It itside them Existing the advance sheet value in the case of terrus upto 1 year. EXist of the balance sheet value, in the case of terrus of years that a years. If it is the balance sheet value, in the case of terrus of years. If itside than: EXist of the balance sheet value, in the case of terrus of years. If itside than: EXist of the balance sheet value, in the case of terrus of years. If itside than: EXist of the balance sheet value, in the case of terrus of years. If itside than: If itsi | | | | | |
| 1.2% of the balance sheet value in the case of tenue of more fran 3 years. | | | | | |
| II. 25% of the balance sheet value, in the case of ferume from 1-3 years. II. 10% of the balance object value, in the case of ferume from 3 years. II. 10% of the balance object value, in the case of ferume and may and 1 years. III. 10% of the balance object value, in the case of ferume and may and 1 years. II. 10% of the balance object value, in the case of ferume and 1 years. III. 10% of the balance object value, in the case of ferume and 1 years. II. 10% of the balance object value, in the case of ferume and 1 years. III. 10% of the balance object value, in the case of ferume and 1 years. II. 10% of the balance object value, in the case of ferume and may and 1 years. III. 10% of the balance object value of the value of the value object value balance object value of the value. II. 10% of the balance object value of the value of the value object value of the val | | | | | |
| III. 10% of the balance sheet value, in the case of tenue up to 1 year. III. 10% of the balance sheet value, in the case of tenue up to 1 year. III. 10% of the balance sheet value, in the case of tenue up to 1 year. III. 10% of the balance sheet value, in the case of tenue inp to year. III. 10% of the balance sheet value, in the case of tenue front 1. year. III. 10% of the balance sheet value, in the case of tenue front 1. year. III. 10% of the balance sheet value, in the case of tenue front 1. year. III. 10% of the balance sheet value, in the case of tenue front 1. year. III. 10% of the balance sheet value, in the case of tenue front 1. year. III. 10% of the balance sheet value, in the case of tenue front 1. year. III. 10% of the balance sheet value, in the case of tenues of the case of tenues to palance sheet to the case of tenues to the case of tenues to palance to pala | | ii. 7.5% of the balance sheet value in the case of tenure from 1-3 years. | | | |
| 110% of the balance sheet value, in the case of ferume of more than 3 years. | | iii. 10% of the balance sheet value, in the case of tenure of more than 3 years. | | | |
| II. 12 SE of the balance sheet value. In the case of tenue if om 1-3 yeas. III. III. SE of the balance sheet value. In the case of tenue if om 2 yeas. III. III. The field of the balance sheet value. In the case of tenue if om 2 yeas. III. III. The field of the balance sheet value. In the case of tenue if om 2 yeas. III. III. The field of the balance sheet value. The cutoff date as computed by the Securities backar, we can be called of the balance sheet value. III. III. Securities and the cutoff date as computed by the Securities backar, we called that share have not been alloted or are not included in the investments of securities backar, we called that share have not been alloted or are not included in the investment in second cutoffs. III. III. Securities and the cutoff date of the cutoff date as ubscription money gravities that as in Bioch, theose of Podge status as on egoting date. (July 19, 2017) III. III. III. The cutoff date of the cutoff date of the cutoff date date of the cutoff date of the cutoffs. III. IIII. IIII. III. III. <t< td=""><td></td><td></td><td></td><td></td><td></td></t<> | | | | | |
| III TSS of the balance sheet value. In the case of tenung of more than 3 yeas. IIII TSS of the balance sheet value. In the cutoff date as computed by the Securities (xchange for 3.659,975) 548,986 3,110,9 15 Investment in Equity Securities on the cutoff date as computed by the Securities (xchange for 3.659,975) 548,986 3,110,9 16 Investment in Securities on the cutoff date as computed by the Securities theore. 10,302,410 10,302,410 17 Investment in any securities with each or are not incutoff or sale. Amount paid as subscription money 10,302,410 10,302,410 18 Investment in any securities with each or are not incutoff or are not incutoff in the investment of securities broker. 10,302,410 10,302,410 18 Investment in associated companies/cutoff and Baas galance theore in explanament or plecified as cutoffs which are cutoffs which are cutoffs which a | | | | | |
| 15 Investment in Equity Securities | | | | | |
| I.If listed 1% or Vak of each securities on the cutoff date as computed by the Securities tacknange for especifies securities whichews is higher. 3.859.976 548.986 3.110.9 II.Sublicities securities whichews is higher. 10.302.410 10.302.410 10.302.410 III.Sublicities securities which are not been alloted or are not included in the investments of securities backet. 10.302.410 10.302.410 Precided that hares have not been alloted or are not included in the investments of securities backet. 10.302.410 10.302.410 Precided in favor of Stock Schamper (Clearing House against Magin Financing requirements or pledged due to the Schamper (Clearing House against most investment in those securities which are Precided lint of the Stock Schamper (Clearing House against Magin Financing requirements or pledged due to the schemet in social of investment in subdialians. 1 17 Investment in associated companies/undertaking 1 1 1 18 Statutory or equilatory sepositibasic deposits with the schanges, clearing house or central depository 1.967.286 1.967.286 19 Margin deposits with exchange and clearing house. 2.900.000 0 2.900.000 110 Opposit with automatic and clearing house. 2.900.000 0 2.900.000 1111 Other deposits and recenomistic and clearing | | | | | |
| II. If unitsed, 100% of carrying value. 10.302,410 10.302,410 III. Subscription money against investment in IPOb/for for Sale: Amount paid as subscription money provided that shares have not been alloted or are not included in the investments of securities broker. 10.302,410 IV. 100% how any other of the investment in a result included in the investments of securities broker. 10.302,410 IV. 100% how any other of the investment in a result including share of files docurities. 10.302,410 IV. 100% how any other of the investment in accurate space of the investment in associated of investment in associated companies. 10.302,410 17 Investment in associated companies. Investment in associated companies. 10.302,410 18 Investment in associated companies. Investment in associated companies. 10.302,410 17 Investment in associated companies. Investment in associated companies. 10.302,410 18 Statutory or signification in respect of investment in securities. 10.302,410 10.302,410 18 Statutory or signification investment in secolated companies. 2.900,000 2.900,000 19 Magin deposits with exchange and clearing house. 2.900,000 2.900,000 2.900,000 10 Oppositit methoding and clearing | | | 3,659,975 | 548,996 | 3,110,979 |
| III Subscription money against Investment in IPORFer for Sale. Amount paid as subscription money IIII Subscription money against Investment in IPORFer for Sale. Amount paid as subscription money IV 100% Haircut shall be applied to Value of Investment In any asset Including Shares of Isted Securities IIIIIIIIIIIIIIIIIIIIIIIIIIIIIIIIIIII | | respective securities whichever is higher. | | | |
| provided inst hares have not been alloted or are not included in the investments of securities backs. | | | 10,302,410 | 10,302,410 | |
| iv 100% Haiccut shall be applied to Value of Investment in any asset including shares of listed securities that are in Block, Feece or Pedge status as on reporting date. (July 19, 207) Provided that 100% haiccut shall not be applied in case of investment in those securities which are Pedged in favor of Static Exchange (Caelang House against Margin Financing requirements or pledged in favor of Static Exchange (Caelang House against Margin Financing requirements or pledged in favor of Static Exchange (Caelang House against Margin Financing requirements or pledged in favor of Static Exchange (Caelang House against Margin Financing requirements or pledged in favor of Static Exchange (Caelang House against Margin Financing requirements or pledged in favor of Static Exchange (Caelang House against Static Exchange for respective securities which areas in highes in Turnisted 1080s of net value 17 Investment in associated companies/undertaking I. If listed 20% or VaR of each securities as computed by the Securities Exchange for respective securities which area in highes and proposition and agains borowed securities under SLB 1967,285 19 Margin deposition with exchange and clearing house or central depository or any other entity or any other entity 2,900,000 2,900,000 110 Deposition and prepayments 2,000,000 2,900,000 2,900,000 121 Accound Interest, point or mak-up on amounts placed with financial institutions or debt securities etc. (NII) 1,007,007,008 1,967,285 1310 Obvio denness provide against tording of the against trading of securities in the excleadue of the Marking and and spuch as purchaser to RE | | | | | |
| Provided that 100% halicut shall not be applied in case of investment in those securities which are Piedged in favor of Banks against Short Icensing House against Margin Fhancing requirements or pledged in favor or Banks against Short Icens financing against Margin Fhancing requirements or pledged in favor of Banks against Short Icens financing against Margin Fhancing requirements or pledged in favor of Banks against Short Icens financing against Margin Fhancing requirements or pledged in favor of Banks against Short Icens financing against Margin Financing requirements or pledged in favor of Banks against Short Icens against Margin Financing requirements or pledged in favor of Banks against Short Icens against Margin Financing requirements or pledged in favor of Banks against Short Icens against Margin Financing requirements or pledged whichever is highes whichever is highes. 17 Investment in associated whichever is highes whichever is highes. 1.00 18 In unlisted, 100% of red value whichever is highes. 2.900,00 2.900,00 18.11 Other deposits with exchange and clearing house. 2.900,00 2.900,00 2.900,00 1.10 Depositive that subtracted white financing requirements to the depositive that exchange against Borowed securities under St.B. 1.01 1.967,285 1.11 Other depositive and prepayments 2.900,00 2.900,00 2.900,00 1.12 Accound Intermediaty against Borowed securities under St.B. 1.967,285 1.967,285 1.13 Dividends | | iv.100% Haircut shall be applied to Value of Investment in any asset including shares of listed securities | | | |
| Piedged in favor of Stock Exchange / Clearing House against Margin Financing requirements or public as provided in schedule II of the Regulations in respect of investment in securities shall be applicable (August 25, 2017) 16 Investment in subsidiaries — 17.1 Investment in associated companies/undertaking — 1.1 Investment in associated companies/undertaking … 1.1 Investment in associated companies/undertaking … 1.1 Investment in associated companies/undertaking … 1.2 Accin with authrited undertaking … 1.3 Diverse under the RFD agreement. Securities purchased under repo arrangement shall not be included in the investments. … 1.3 Diverse under the RFD agreement. Gecurities purchased under repo arrangement shall not be included in the investments. … 1.3 Diverse under the RFD agreement. Gecurities purchased under repo arrangement shall not be included in the investments. … | | | | | |
| in favor of Banks against short term financing arrangements. In such cases, the haircut as provided in in existment in associated companies/undertaking 1.7 Investment in associated companies/undertaking i.1.8 Statutory or regulators in respective securities arrangements. Substating arrangement substation and the schanges, clearing house or central depository 1.967.285 1.8 Statutory or regulators in respective securities arrangements. Substating arrangement arrangement arrangement arrangement arrangement arrangement substating arrangement substating arrangement substating arrangement substating arrangement arrangement arrangement arrangement arrangement arrangement substating arrangement a | | | | | |
| 1.6 Investment in auxocilated companies/undertaking | | | | | |
| 1.7 Investment in associated companies/undertaking | | | | | |
| If fisted 20% or Var's of ach securities as computed by the Securites Exchange for respective securities Image: Computed by the Securities as computed by the Securities Exchange for respective securities 1.8 Statulery or regult by depositobasic deposits with the exchanges, clearing house or central depository 1.967,285 1.9 Margin Indrived Intermediary against borrowed securities under SLB. 2,900,000 0 2,900,00 1.10 Depositive that authorized Intermediary against borrowed securities under SLB. 2,900,000 0 2,900,00 1.11 Other depositive that authorized Intermediary against borrowed securities under SLB. 1.01 0 1.01 0 1.01 0 2,900,000 0 2,900,00 1.12 Accumultation of the markup accrued on loans to directors, subsidiaries and other related parties 1.01 | | | | | |
| whichever is higher. iii. If unitsed. 100% of net value. 18. Statutory or regulatory deposits with the exchanges, clearing house or central depository or any other entity. 1.967.285 1.967.285 19. Margin deposits with exchange and clearing house. 2.900.000 0 2.900.00 110. Deposits with auchnange and clearing house. 2.900.000 0 2.900.00 111. Other deposits and prepayments | | Investment in associated companies and the securities Exchange for respective securities | | | |
| 18 Statutory oregulatory depositsbasic deposits with the exchanges, clearing house or central depository 1,967,285 19 Margin deposits with exchange and clearing house. 2,900,000 0 2,900,00 110 Deposits with exchange and clearing house. 2,900,000 0 2,900,00 111 Other deposits and prepayments 2 2,900,000 0 2,900,00 111 Other deposits and prepayments 2 2,900,000 0 2,900,00 112 Deviced interest profit or mark-up on amounts placed with financial institutions or debt securities etc.(NIII) 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 3 3 3 3 3 3 3 3 3 3 3 3 3 3 3 3 1 3 1 4 3 | | | | | |
| or any other entity. 0 | | | | | |
| 19. Margin deposits with exchange and clearing house. 2,900,000 0 2,900,000 110. Deposit with authorized intermediary against borrowed securities under SLB. 0 | | | 1,967,285 | 1,967,285 | |
| 1.1 Other deposits and prepayments Image: constraint of the expective of markup accrued on loans to directors, subsidiaries and other related parties 1.12 Accrued interest, profit or markup accrued on loans to directors, subsidiaries and other related parties Image: constraint of the expect of markup accrued on loans to directors, subsidiaries and other related parties 1.13 Dividends receivables Image: constraint of the expect of markup accrued on loans to directors, subsidiaries and other report arrangement shall not be included in the investments.) Image: constraint of the expect of markup accrued and Due for repayment within 12 months 1.15 Is. Not Tern Loan To Employees: Loans are Secured and Due for repayment within 12 months Image: constraint of the expect of of the expec | | | 2,900,000 | 0 | 2,900,000 |
| 1.2 Accrued interest, profit or mark-up on amounts placed with financial institutions or debt securities | | | | | |
| etc. (Nil) etc. (Nil) 100% in respect of markup accued on loans to directors, subsidiaries and other related parties intervention 1.13 Dividends receivables, intervention 1.14 Amount paid as purchaser under the REPO agreement. (Securities purchased under repo arrangement shall not be included in the investments) intervention 1.15 I. Short Term Loon To Employees. Loans are Secured and Due for repayment within 12 months intervention 1.16 Receivables other than trade receivables 17,012,162 17,012,162 1.16 Receivables from Clearing house or securities exchange(s) intervention intervention 1.17 Receivables from customers intervention intervention intervention 1.17 Receivables from customers intervention intervention intervention 1.18 In case receivables are against margin financing. the aggregate if (i) value of securities held in the bioked as collateral after applying VAR based haircut. into as receivables are against margin financing. Was devention and the net balance sheet value. into as the evalue of any securities borrowings under SLB, the amount paid to NCCPL as collateral upon entering hirts contact, iii. In case receivables are against margin financing. Was deventies beer value. iiii. Net amount after deducting haircut iiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiii | | | | | |
| 1.13 Dividends receivables. Image: Construct on the image: Constr | | | | | |
| 1.14 Amount seceivable against Repo financing. Amount paid as purchaser under the REPO agreement. (Securities purchased under repo arrangement shall not be included in the investments) 1.15 i. Short Ierm Loan To Employees: Loans are Secured and Due for repayment within 12 months 1.16 i. Receivables other than trade receivables 1.17 Receivables from Clearing house or securities exchange(s) 1.16 i. Receivables from clearing house or securities in all markets including MtM gains. 1.17 Receivables from clearing house or securities in all markets including MtM gains. 1.17 Receivables from customerts 1.18 i. Receivables from customerts 1.19 Receivables are against margin financing, the aggregate if (i) value of securities held in the blocked account after applying VAR based haircut. 1.17 Receivables are against margin financing, the aggregate if (i) value of securities held in the blocked account after applying VAR based haircut. 1.18 i. In case receivables are against margin financing, the net balance sheet value. 1.19 Receivables are against margin financing, the net balance sheet value. 1.10 Incase receivables are against margin stading of the net balance sheet value. 1.18 Incase receivables are against margin stading of the net balance sheet value. 1.19 Receivables are against margin trading, 5% | | | | | |
| Amount paid as purchaser under the REPO agreement. (Securities purchased under repo arrangement shall not be included in the investments.) Intervent of the indextments.) 1.15 i. Short Term Loan To Employees. Loans are Secured and Due for repayment within 12 months Intervent of the indextments.) 1.16 i. Receivables other than trade receivables 17,012,162 17,012,162 1.16 Receivables from clearing house or securities exchange(s) Intervent of the indext of the in | | | | | |
| shall not be included in the investments.) in the investments.) 1.15 i. Short Term Loan To Employees: Loans are Secured and Due for repayment within 12 months ii. Receivables other than trade receivables 17,012,162 1.16 Receivables from clearing house or securities exchange(s) ii. 100% value of claims other than those on account of entitlements against trading of securities in all markets including MtM gains. ii. Receivables from customers ii. Receivables are against margin financing, the aggregate if (i) value of securities held in the blocked account after applying VAR based haircut, (ii) cash deposited as collateral by the financee (iii) market value of any securities deposited as collateral after applying VAR based haircut. ii. Incase receivables are against margin trading, 5% of the net balance sheet value. ii. Net amount after deducting haircut iii. Incase receivables are against securities borowings under SLB, the amount paid to NCCPL as collateral of the radius ereceivables are against securities borowings under SLB, the amount paid to NCCPL as collateral appling to contract, iii. Net amount after deducting haircut iii. Net amount after deducting haircut iv. Incase of other trade receivables ne overdue, or 5 days or more, the aggregate of (i) the market value. 8,824,548 0 8,824,548 0 8,824,548 1,380,227 1,380,2 value of securities purchased for customers and held in sub-accounts after applying VAR based haircuts. ii) the market value of securities purc | 1.14 | Amount paid as purchaser under the REPO agreement. (Securities purchased under repo arrangement | | | |
| ii. Receivables other than trade receivables 17,012,162 17,012,162 1.16 Receivables from clearing house or securities exchange(s) ii. ii. ii. 100% value of claims other than those on account of entitlements against trading of securities in all markets including MtM gains. iii. iii. Receivables from clearing house or securities in all markets including MtM gains. iii. iiii. 1.17 Receivables from customers iii. iii. ii. In case receivables are against margin financing, the aggregate if (i) value of securities held in the blocked account after applying VAR based Haircut, (ii) cash deposited as collateral by the financee (iii) market value of any securities deposited as collateral after applying VAR based haircut. iii. 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 entening into contract, iii. Net amount after deducting haircut iv. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market 3,065,593 1,380,227 v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (ii) the market value of securities pulchased 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. 1,380,227 1,380,2 <td></td> <td>shall not be included in the investments.)</td> <td></td> <td></td> <td></td> | | shall not be included in the investments.) | | | |
| 1.16 Receivables from clearing house or securities exchange(s) Image: Claims other than those on account of entitlements against trading of securities in all markets including MtM gains. ii. Receivable on entitlements against trading of securities in all markets including MtM gains. Image: Claims other than those on account of entitlements against trading of securities in all markets including MtM gains. 1.17 Receivables from customers Image: Claims other than those on account of entitlements against trading of securities held in the blocked account after applying VAR based Haircut, (ii) cash deposited as collateral after applying VAR based haircut. Image: Claims other than the than than than the than than the than the tha | 1.15 | i. Short Term Loan To Employees: Loans are Secured and Due for repayment within 12 months | | | |
| 1.16 Receivables from clearing house or securities exchange(s) Image: Claims other than those on account of entitlements against trading of securities in all markets including MtM gains. ii. Receivable on entitlements against trading of securities in all markets including MtM gains. Image: Claims other than those on account of entitlements against trading of securities in all markets including MtM gains. 1.17 Receivables from customers Image: Claims other than those on account of entitlements against trading of securities held in the blocked account after applying VAR based Haircut, (ii) cash deposited as collateral after applying VAR based haircut. Image: Claims other than the than than than the than than the than the tha | | ii. Receivables other than trade receivables | 17 012 162 | 17 012 162 | |
| i. 100% value of claims other than those on account of entitlements against trading of securities in all markets including MtM gains. III ii. Receivables on entitlements against trading of securities in all markets including MtM gains. IIII Receivables from customers IIIIIIIIIIIIIIIIIIIIIIIIIIIIIIIIIIII | | | | ,0.12,102 | |
| ii. Receivable on entitlements against trading of securities in all markets including MtM gains. Image: Comparison of the securities in all markets including MtM gains. 1.17 Receivables from customers Image: Comparison of the securities and the securities against margin financing, the aggregate if (i) value of securities held in the blocked account after applying VAR based Haircut, (ii) cash deposited as collateral by the financee (iii) market value of any securities deposited as collateral after applying VAR based haircut. Image: Comparison of the securities deposited as collateral after applying VAR based haircut. ii. Lower of net balance sheet value or value determined through adjustments. Image: Comparison of the securities borrowings under SLB, the amount paid to NCCPL as collateral upon entering into contract, Image: Collateral upon entering into contract, iii. Incase of other trade receivables are orgainst are overdue, or 5 days overdue, 0% of the net balance sheet value. 8,824,548 0 8,824,5 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. 1,380,227 1,380,227 v. 100% haircut in the case of amount receivable form related parties. vi. 100% haircut in the case of amount receivable form related parties. 1 | | i. 100% value of claims other than those on account of entitlements against trading of securities in all | | | |
| 1.17 Receivables from customers 0 0 i. In case receivables are against margin financing, the aggregate if (i) value of securities held in the blocked account after applying VAR based Haircut, (ii) cash deposited as collateral by the financee (iii) market value of any securities deposited as collateral after applying VAR based haircut. 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. ii. Incase receivables are against securities borrowings under SLB, the amount paid to NCCPL as collateral upon entering into contract, ili. Net amount after deducting haricut iii. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. 8,824,548 0 8,824,5 iv. Balance sheet value value of securities purchased for customers and held in sub-accounts after applying VAR based haircut. 1,380,227 1,380,2 value of securities purchased for customers and held in sub-accounts after applying VAR based haircuts. vi. 100% haircut in the case of amount receivable form related parties. 0 | | | | | |
| i. In case receivables are against margin financing, the aggregate if (i) value of securities held in the blocked account after applying VAR based Haircut, (ii) cash deposited as collateral by the financee (iii) market value of any securities deposited as collateral after applying VAR based haircut. i. Lower of net balance sheet value or value determined through adjustments. iii. Incase receivables are against margin financing, 5% of the net balance sheet value. ii. Incase receivables are against margin trading, 5% of the net balance sheet value. iii. Net amount after deducting haircut iii. Incase receivables are against securities borowings under SLB, the amount paid to NCCPL as collateral upon entering into contract, iii. Net amount after deducting haircut 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 3,065,593 1,380,227 value of securities burchased for customers and held in sub- accounts after applying VAR based haircuts. vi. 100% haircut in the case of amount receivable form related parties. iii) the market value of securities held as collateral by the respective customer and (iii) the market value of securities parchased for customers and held in sub- accounts after applying VAR based iii) and the case of amount receivable form related parties. | | | | | |
| blocked account after applying VAR based Haircut, (ii) cash deposited as collateral by the financee (iii) market value of any securities deposited as collateral after applying VAR based haircut. 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. Net amount after deducting haircut iii. Incase receivables are against securities borowings under SLB, the amount paid to NCCPL as collateral upon entering into contract, iii. Net amount after deducting haircut 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. | 1.17 | | | | |
| 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. ii. Incase receivables are against margin trading, 5% of the net balance sheet value. iii. Incase receivables are against securities borowings under SLB, the amount paid to NCCPL as collateral upon entering into contract, iii. Net amount after deducting haricut 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. 8,824,548 0 8,824,55 iv. Balance sheet value v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market 3,065,593 1,380,227 1,380,227 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. vi. 100% haircut in the case of amount receivable form related parties. | | blocked account after applying VAR based Haircut, (ii) cash deposited as collateral by the financee (iii) | | | |
| ii. Incase receivables are against margin trading, 5% of the net balance sheet value. iii. Net amount after deducting haircut iii. Net amount after deducting haircut 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 haircut iii. Net amount after deducting haircut iii. Net amount after deducting haircut iii. Net amount after deducting haircut iii. Net amount after deducting haircut iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. 8,824,548 0 8,824,5 iv. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market 3,065,593 1,380,227 1,380,2 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. iii. 100% haircut in the case of amount receivable form related parties. iiii. Net amount after applying VAR based haircuts. iiiii. Net amount after applying VAR based haircuts. | | | | | |
| ii. Net amount after deducting haircut iii. Incase receivables are against securities borrowings under SLB, the amount paid to NCCPL as collateral upon entering into contract, 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 haircut iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. 8,824,548 0 8,824,5 iv. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market 3,065,593 1,380,227 1,380,2 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. iii. 100% haircut in the case of amount receivable form related parties. iiii. 1,380,227 1,380,227 | | | | | |
| collateral upon entering into contract, iii. Net amount after deducting haricut 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. 8,824,548 0 8,824,5 iv. Balance sheet value v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market 3,065,593 1,380,227 1,380,227 v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (ii) the market 3,065,593 1,380,227 1,380,227 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. iiii the market value of vi. 100% haircut in the case of amount receivable form related parties. vi. 100% haircut in the case of amount receivable form related parties. vi. 100% | | ii. Net amount after deducting haircut | | | |
| 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. 8,824,548 0 8,824,5 iv. Balance sheet value v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market 3,065,593 1,380,227 1,380,227 v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market 3,065,593 1,380,227 1,380,227 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. vi. 100% haircut in the case of amount receivable form related parties. | | | | | |
| iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. 8,824,548 0 8,824,5 iv. Balance sheet value v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market 3,065,593 1,380,227 1,380,227 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 3,065,593 1,380,227 1,380,227 value of securities held as collateral after applying VAR based haircuts. vi. 100% haircut in the case of amount receivable form related parties. vi. 100% haircut in the case of amount receivable form related parties. vi. 100% vi. 100% vi. 100% vi. 100% | | 1 5 | | | |
| v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market3,065,5931,380,2271,380,227value 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.3,065,5931,380,2271,380,227vi. 100% haircut in the case of amount receivable form related parties.vi. 100% haircut in the case of amount receivable form related parties.vi. 100% haircut in the case of amount receivable form related parties.vi. 100% haircut in the case of amount receivable form related parties.vi. 100% haircut in the case of amount receivable form related parties. | | iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. | 8,824,548 | 0 | 8,824,548 |
| 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. | | | 2.065.500 | 4 000 007 | 4 000 007 |
| 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. iii) the market value of vi. 100% haircut in the case of amount receivable form related parties. | | | 3,065,593 | 1,380,227 | 1,380,227 |
| vi. 100% haircut in the case of amount receivable form related parties. | | haircuts, (ii) cash deposited as collateral by the respective customer and (iii) the market value of | | | |
| | | | | | |
| | | | | | |
| | 1.10 | | 2 545 307 | 0 | 2,545,397 |
| ii. Bank balance-customer accounts 12,525,293 0 12,525,2 | | | | 0 | 12,525,293 |
| | | | 470,036 | 0 | 470,036 |

Schedule III [See regulation 6(4)]

Liquid Capital Statement

for the month of **30-sep-18**

of M/s. 128 Securities (Pvt) Ltd

Submission Date 15-OCT-2018 16:26:04

| | Submission Date 13-OCT-2018 10.20.04 | | Page | 2 Of 3 |
|-------|---|-----------------------|--------------------------|-----------------------|
| S.No. | Head of Account | Value in Pak Rupee | Hair Cut/ Adjustments | Net Adjusted Value |
| 1.19 | Total Assets | 64,540,280 | 32,478,661 | 31,756,480 |
| 2 | Liabilities | | | |
| 2.1 | Trade Payables | | | |
| | i. Payable to exchanges and clearing house | | | |
| | ii. Payable against leveraged market products iii. Payable to customers | 24,591,114 | 0 | 24,591,114 |
| 2.2 | Current Liabilities | 24,391,114 | 0 | 24,391,114 |
| | i. Statutory and regulatory dues | | | |
| | ii. Accruals and other payables | 409,822 | 0 | 409,822 |
| | iii. Short-term borrowings iv. Current parties of subardinated leases | | | |
| | 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 | | | |
| | a. Long-Term financing obtained from financial instituion: Long term portion of financing obtained from | | | |
| | a financial institution including amount due against finance lease | | | |
| | b. Other long-term financing ii. Staff retirement benefits | | | |
| | iii. Advance against shares for Increase in Capital of Securities broker: 100% haircut may be allowed in | | | |
| | respect of advance against shares if: | | | |
| | a. The existing authorized share capital allows the proposed enhanced share capital | | | |
| | b. Boad of Directors of the company has approved the increase in capital c. Relevant Regulatory approvals have been obtained | | | |
| | d. There is no unreasonable delay in issue of shares against advance and all regulatory requirements | | | |
| | relating to the increase in paid up capital have been completed. | | | |
| | e. Auditor is satisfied that such advance is against the increase of capital. | | | |
| 2.4 | iv. Other liabilities as per accounting principles and included in the financial statements Subordinated Loans | | | |
| | i. 100% of Subordinated loans which fulfill the conditions specified by SECP are allowed to be deducted: The Schedule III provides that 100% haircut will be allowed against subordinated Loans which fulfill the conditions specified by SECP. In this regard, following conditions are specified: a. Loan agreement must be executed on stamp paper and must clearly reflect the amount to be repaid after 12 months of reporting period b. No haircut will be allowed against short term portion which is repayable within next 12 months. c. In case of early repayment of loan, adjustment shall be made to the Liquid Capital and revised Liquid Capital statement must be submitted to exchange. ii. Subordinated loans which do not fulfill the conditions specified by SECP | | | |
| 2.5 | Total Liabilitas | 25.000.936 | 0 | 25,000,936 |
| 3 | Total Liabilities | 25,000,930 | 0 | 25,000,930 |
| 3.1 | Ranking Liabilities Relating to : | | | |
| 5.1 | 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 (ii) Cash margins paid and (iii) The market value of securities pledged as margins exceed the 110% of the market value of shares 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 | | | |
| | (ii) 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 | | | |
| 5.4 | 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 | | | |
| 3.6 | assets denominated in foreign cuurency less total liabilities denominated in foreign currency Amount Payable under REPO | | | |
| | Repo adjustment | | | |
| | | | | |

Schedule III [See regulation 6(4)]

Liquid Capital Statement

for the month of **30-SEP-18**

of M/s. 128 Securities (Pvt) Ltd

Submission Date 15-OCT-2018 16:26:04

| | | | Page | 3 Of 3 |
|-------|--|-----------------------|--------------------------|-----------------------|
| S.No. | Head of Account | Value in Pak Rupee | Hair Cut/ Adjustments | Net Adjusted Value |
| | 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 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 output of already mot | | | |
| 3.10 | extent not already met Short sellI 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 | 39,539,344 | 32,478,661 | 6,755,544 |