Schedule III [See regulation 6(4)]

## Liquid Capital Statement

for the month of **31-OCT-18** 

of M/s. 128 Securities (Pvt) Ltd

Submission Date 15-NOV-2018 14:40:24

S.No.         Head of Account         Values in Pak Ruppee         Hair Cut/ Adjustments         Net Adjustments           1         Property & Equipment         1.267,581         1.267,581         1.267,581           1.2         Intergluke Aseds         1.267,581         1.267,581         1.267,581           1.3         Investment In Ood Securities         1.267,581         1.267,581         1.267,581           1.4         Investment In Ood Securities         1.267,581         1.267,581         1.267,581           1.5         To Securities         1.267,581         1.267,581         1.267,581           1.6         To Securities         1.267,581         1.267,581         1.267,581           1.1         To Securities         1.267,591         1.267,591         1.267,591         1.267,591	£3
11         Property & Equipment         1.267.581         1.267.581           12.         Intargible Asets	-
ProDebrin         12       Intragible Aseb.         13       Investment in Cost. Securities         14       Investment in Cost. Securities         14       Investment in Cost. Securities         15       If Isted than:         15       If isted than:         16       Statistical than:         17       Investment in Cost. Securities         18       Statistical than:         19       Statistical than:         10%       Statistical than:         10%       Statistical than:         11%       Investment In Ciguity Securities         11%       Investment In Ciguity Securities         11%       Investment In Ciguity Securities         11%       Investment In Securities on the case of renue of more than 3 yeas.         11       Investment In Securities on the case of renue of more than 3 yeas.         11%       Investiment In Secord Exchange C def newstement In any asset Including	
12.       Intracipite Assets	
114       Investment in Debt. Securities       Image: Securities         115       Investment in Debt. Securities       Image: Securities         117       Image: Securities       Image: Securities         118       Image: Securities       Image: Securities         119       Image: Securities       Image: Securities         111       Image: Securities       Image: Securities         119       Image: Securities       Image: Securities         111       Image: Securities       Image: Securities         1111       Image: Securities       Image: Securities         1111       Image: Securities       Image: Securities         1111	
If listed than:       i. \$\screwthink	
1.5% of the balance sheet value in the case of tenure form 1-3 years.	
iii. 10% of the balance sheet value, in the case of tenue upto 1 year.         iii. 10% of the balance sheet value, in the case of tenue upto 1 year.           iii. 15% of the balance sheet value, in the case of tenue of more than 3 years.         iii. 15% of the balance sheet value, in the case of tenue of more than 3 years.           1.5         III steed 15% of 24% of each securities on the cutoff date as computed by the Securities Exchange for 4.011,075         601,861           1.1         If steed 15% of 24% of each securities on the cutoff date as computed by the Securities Exchange for 4.011,075         601,861           iii.1         If initide, 100% of each securities on the cutoff date as computed by the Securities to the cutoff date subscription money provided that share have not been alloted or are not included in the investments of securities between the status as on reporting date. (ult) 9, 2017         601,861           Provided that 100% haircut shall not be applied in case of investment in in those securities which are prediations in report of leading 400 yr. 2017         Provided In and the application term of garangements. In such cases, the haircut as provided in a status as on reported against Maying Financing requirements or pledged in favor of Barks against Mayon Cleaning House against Mayon Financing requirements or pledged in favor of Barks against Sagnites than the securities shall be applicable (Aquust 25, 2017)           1.6         Investment in associated companies/undertaking         1.1           1.7         Investment in associated companies/undertaking         1.967,225         1.967,225           1.8         Statutor	
If unlisted than:       Image: Second S	
II. 12.5% of the balance sheet value, in the case of tenure from 1-3 years.       II.         II. Files of the balance sheet value, in the case of tenure of more than 3 years.       II.         I. Files of the balance sheet value, in the case of tenure of more than 3 years.       II.         I. Files of the balance sheet value, in the case of tenure of more than 3 years.       II.         I. If unisted 15% or VaR of each securities on the cutoff date as computed by the Securities Exchange for tenure of more spanish investments in JPOLOFF or Sale: Amount paid as subscription money against livestment in IPOLOFF for Sale: Amount paid as subscription money against livestment in any asset including shares of listed securities where it in the balance to Value of Investment in any asset including shares of listed securities that are in Biock. Freeze or Pledge status as on reporting date. (July 19, 2017)         Provided that 100% harcut shall not be applied in case of investment in those securities which are Pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock against Shot Irem financing arangements. In such cases, the haircut as provided in schore of the soluties as computed by the Securites Exchange for respective securities which are this listed 20% or Vale of anch securities as computed by the Securites Exchange for respective securities which are this listed 20% or Vale of anch securities as computed by the Securites Exchange for respective securities as a provided in the investment in any asset of Listed 20% or Vale of anch securities as computed by the Securites Exchange for respective securities which are thigher.         1.6       Investment in subscidites a computed by the Securites Exchange for respective securitie	
11. 5% of the balance sheet value, in the case of tenure of more than 3 years.         1           1.5         Investment in Equity Securities on the cutoff date as computed by the Securities Exchange for tespectives whichever is higher.         601,661           1.1         Invisted, 10% of carrying value.         601,661           1.2         Invisted, 10% of carrying value.         601,661           1.3         Invisted, 10% of carrying value.         601,661           1.4         Invisted, 10% of carrying value.         601,661           1.3         Invisted, 10% of carrying value.         601,661           1.4         Invisted, 10% of carrying value.         601,661           1.5         Invisted, 10% of carrying value.         601,661           1.5         Invisted, 10% of carrying value.         601,661           1.5         Invisted, 10% of rest value.         611,620           1.6         Invisted, 10% of rest value.         611,61<	
1.5       Investment in Equity Securities       4,011,075         1.6       I.Fisted 15% or Val of acch securities on the cutoff date as computed by the Securities Exchange for the securities whichever is higher.       601,661         1.1.7       unisted 15% or Val of acch securities on the cutoff date as computed by the Securities Exchange for the securities broker.       601,661         1.1.7       unisted 15% or Val of acch securities on the cutoff date as computed by the Securities broker.       601,661         1.1.6       With the securities are have not been alloced or are not included in the investments of securities broker.       601,661         1.1.6       With Biott, Statil be applied to Value of Investment in Investment in these securities which are Block, Freeze or Pledge status as on reporting date. (July 19, 2017)       700,700,700,700,700,700,700,700,700,700	
I.If listed 15% or VaR of each securities on the cutoff date as computed by the Securities Exchange for         4,011,075         601,661           respective securities whichever is higher.         II.If unlisted, 100% of Camying value.         II.If unlisted, 100% halicut shall be applied to Value of Investment In any asset including shares of securities broker.         IV.100% halicut shall be applied to Value of Investment In any asset including shares of sisted securities         IV.100% halicut shall be applied by the Securities which are           Pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange in segoct of investment in securities Exchange for respective securities which are explicable (August 25, 2017)         II.If Insted 20% or VaR of each securities as computed by the Securites Exchange for respective securities which are explicable (August 25, 2017)         II.If Insted 20% or VaR of each securities as computed by the Securites Exchange for respective securities which are applied to value.         II.If Insted 20% or VaR of each securities as computed by the Securites Exchange for respective securities which are applied.         II.If Insted 20% or VaR of each securities as computed by the Securites Exchange for respective securities which are applied.         II.If Insted 20% or VaR of each securities as computed by the Securites in all market se	
ii. If unlisted, 100% of carrying value.         iii. Subscription money against Investment in IPObffer for Sale: Amount paid as subscription money gainst Investment in PObffer for Sale: Amount paid as subscription money gainst Investment in any asset Including shares of listed securities in the investment in any asset Including shares of listed securities in the investment in the investment in any asset Including shares of listed securities which are in Block, Freeze or Pledge status as on reporting date. (July 19, 2017)           Provided that 100% haircut shall not be applied in case of investment in those securities which are Pledged in favor of Stock Exchange (Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange (Companies Margin Financing requirements or pledged in favor of Stock Exchange to Graming House against Margin Financing requirements or pledged in favor of Stock Exchange (Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange (Companies/Undertaking           1.6         Investment in subsidiaries         1           1.7         Investment in associated companies/undertaking         1           ii. If unlisted, 100% of net value.         2,400,000         0           1.8         Statutory or regulatory depositsbasic deposits with the exchanges, clearing house or central depository or any other entity.         1,967,285         1,967,285           1.9         Margin deposits with exchange and clearing house.         2,400,000         0           1.10         Deposit with authorized intermediary against borrowed securities under SLB.         1         1	3,409,414
III.Subscription money against Investment in IPOIDfer for Sale: Amount paid as subscription money provided that shares have not been alloted or are not included in the investments of securities broker.         IV.100% Halicut shall be applied to Value of Investment in any asset including shares of listed securities that are in Block, Freeze or Pledge status as on reporting date. (July 19, 2017)         Provided that 100% halicut shall not be applied in case of investment in those securities which are Pledged in favor of Stock Exchange (Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange (Clearing House against Margin Financing requirements to spotded in schedule III of the Regulations in respect of investment in securities shall be applicable (August 25, 2017)           1.6         Investment in associated companies/undertaking         Investment in associated companies/undertaking         Intil Itel 20% or VaR of each securities as computed by the Securites Exchange for respective securities whichever is higher.           1.8         Statutory or regulatory depositsbasic deposits with the exchanges, clearing house or central depository or any other entity.         1,967,285         1,967,285         1,967,285           1.9         Margin deposits with exchange and clearing house.         2,400,000         0         1           1.0         Deposit with authorized intermediany against borrowed securities under SLB.         Impact addition of the respective securities exchange in any other deposits and prepayments         1           1.11         Other deposits and prepayments         Impact addition of the related parties         1	
iv.100% Haircut shall be applied to Value of Investment in any asset including shares of listed securities that are in Block, Freeze or Pledge status as on reporting date. (July 19, 2017)         Provided that 100% haircut shall not be applied in case of investment in those securities which are Pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements in such as provided in schedule in favor of Stock Exchange / Clearing House against Margin Financing         1.6       Investment in associated companies/undertaking       Investment in stociated companies/undertaking         i.17       Investment in associated companies/undertaking       Investment in any other rentility.         1.8       Statutory or regulatory depositsbasic deposits with the exchanges, clearing house or central depository       1,967,285         1.9       Margin deposits with exchange and clearing house.       2,400,000       0         1.10       Deposit with authorized intermediary against borrowed securities under SLB.       1.12       Accrured interesext, profit or mark-up on amoun	
that are in Block. Freeze or Pledge status as on reporting date (July 19, 2017)         Provided that 100% haicut shall not be applied in case of investment in those securities which are Pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Banks against Short Term financing arrangements. In such cases, the haircut as provided in schedule III of the Regulations in respect of investment in securities shall be applicable (August 25, 2017)         1.6       Investment in subsidiaries         1.7       Investment in associated companies/undertaking         i. If Isted 20% or VaR of each securities as computed by the Securites Exchange for respective securities whichever is higher.         ii. If Unlisted, 100% of net value.         1.8       Statutory or regulatory depositsbasic deposits with the exchanges, clearing house or central depository or any other entity.       1,967,285         1.9       Margin deposits with exchange and clearing house.       2,400,000       0         1.10       Deposit with authorized intermediary against borrowed securities under SLB.       11         1.11       Other deposits and prepayments       2,400,000       0         1.12       Accrued interest, profit or mark-up on amounts placed with financial institutions or debt securities etc. (NII)       100% in respect of markup accrued on loans to directors, subsidiaries and other related parties       11         1.13       Dividends receivables.       11,869,125       17,869,125         <	
Provided that 100% haircut shall not be applied in case of investment in those securities which are       Pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Stock Exchange for the securities shall be applicable (August 25, 2017)         1.6       Investment in associated companies/undertaking       Investment in associated companies/undertaking         1.7       Investment in associated companies/undertaking       Investment in associated companies/undertaking         1.8       It flisted, 100% of net value.       Intichever is higher.         1.8       Statutory or regulatory depositsbasic deposits with the exchanges, clearing house or central depository or any other entity.       1,967,285         1.9       Margin deposits with exchange and clearing house.       2,400,000       0         1.10       Divergents, profit or mark-up on amounts placed with financial institutions or debt securities etc. (NII)       100% in respect of mark-up on amounts placed with financial institutions or debt securities etc. (NII)       100% in respect of markup accrued on loans to directors, subsidiaries and other related parties       113         1.13       Dividends receivables       11       11       11       <	
in favor of Banks against Short Term financing arrangements. In such cases, the haircut as provided in schedule III of the Regulations in respect of investment in securities shall be applicable (August 25, 2017)         1.6       Investment in associated companies/undertaking         1.7       Investment in associated companies/undertaking         i.17       Investment in associated companies/undertaking         i.17       Investment in associated companies/undertaking         i.18       Statutory or regulatory deposits as computed by the Securites Exchange for respective securities whichever is higher.         i.18       Statutory or regulatory deposits with the exchanges, clearing house or central depository       1,967,285         or any other entity.       2,400,000       0         1.10       Deposits with exchange and clearing house.       2,400,000       0         1.10       Deposits with exchange and clearing house.       2,400,000       0         1.11       Other deposits and prepayments       1       1         1.12       Accrued interest, profit or mark- up on amounts placed with financial institutions or debt securities etc.(NiI)       1         1.12       Accrued interest, profit or mark- up on against barding of securities purchased under repo arrangement shall not be included in the investments)       1         1.13       Dividends receivables.       1       1         1.14       Am	
schedule III of the Regulations in respect of investment in securities shall be applicable (August 25, 2017)       Image: Comparison of the securities of the securities shall be applicable (August 25, 2017)         1.6       Investment in subsidiaries       Image: Comparison of the securities of the secur	
1.7       Investment in associated companies/undertaking         i. If listed 20% or VaR of each securities as computed by the Securites Exchange for respective securities whichever is higher.         ii. If unlisted, 100% of net value.         1.8       Statutory or regulatory depositsbasic deposits with the exchanges, clearing house or central depository or any other entity.         1.9       Margin deposits with exchange and clearing house.         1.10       Deposit with authorized intermediary against borrowed securities under SLB.         1.11       Other deposits and prepayments         1.12       Accrued interest, profit or mark-up on amounts placed with financial institutions or debt securities         etc.(NIII)       100% in respect of markup accrued on loans to directors, subsidiaries and other related parties         1.13       Dividends receivable against Repo financing.         Amount seceivable against Repo financing.         Amount paic das purchaser under the REPO agreement. (Securities purchased under repo arrangement shall not be included in the investments.)         1.15       i. Short Term Loan To Employees: Loans are Secured and Due for repayment within 12 months         ii. Receivables from clearing house or securities exchange(s)       17,869,125         1.16       Receivables from clearing house or securities exchange(s)       11,00% value of claims other than those on account of entitlements against trading of securities in all markets including MtM gains.	
I. If listed 20% or VaR of each securities as computed by the Securites Exchange for respective securities	
whichever is higher.       ii. if unlisted, 100% of net value.         1.8       Statutory or regulatory deposits/basic deposits with the exchanges, clearing house or central depository or any other entity.       1,967,285         1.9       Margin deposits with exchange and clearing house.       2,400,000       0         1.10       Deposits with authorized intermediary against borrowed securities under SLB.       0         1.11       Other deposits and prepayments       0         1.12       Accrued interest, profit or mark - up on amounts placed with financial institutions or debt securities etc.(Nil)       0         1.00% in respect of markup accrued on loans to directors, subsidiaries and other related parties       0         1.13       Dividends receivables.       0         1.14       Amounts receivable against Repo financing.       0         Amount paid as purchaser under the REPO agreement. (Securities purchased under repo arrangement shall not be included in the investments.)       0         1.15       i. Short Term Loan To Employees: Loans are Secured and Due for repayment within 12 months       0         ii. Receivables other than trade receivables       17,869,125       17,869,125         1.16       Receivables other than those on account of entitlements against trading of securities in all markets including MtM gains.       0         ii. Receivable on entitlements against trading of securities in all markets including MtM gains	
1.8       Statutory or regulatory deposits/basic deposits with the exchanges, clearing house or central depository or any other entity.       1,967,285       1,967,285         1.9       Margin deposits with exchange and clearing house.       2,400,000       0         1.10       Deposit with authorized intermediary against borrowed securities under SLB.       0         1.11       Other deposits and prepayments       0         1.2       Accrued interest, profit or mark-up on amounts placed with financial institutions or debt securities       0         1.12       Accrued interest, profit or mark-up on amounts placed with financial institutions or debt securities       0         1.11       Obvioends receivables.       0         1.12       Accrued interest, profit or mark-up on amounts placed with financial institutions or debt securities       0         1.11       Obvioends receivables.       0         1.12       Accrued interest, profit or mark-up on amounts placed with financial institutions or debt securities       0         1.13       Dividends receivable against Repo financing.       0         1.14       Amount paid as purchaser under the REPO agreement. (Securities purchased under repo arrangement shall not be included in the investments.)       1         1.15       i. Short Term Loan To Employees: Loans are Secured and Due for repayment within 12 months       17,869,125         1.16       R	
or any other entity.       0       0         1.9       Margin deposits with exchange and clearing house.       2,400,000       0         1.10       Deposit with authorized intermediary against borrowed securities under SLB.       0         1.11       Other deposits and prepayments       0         1.12       Accrued interest, profit or mark-up on amounts placed with financial institutions or debt securities       0         1.13       Dividends receivables.       0         1.14       Amounts receivables.       0         1.14       Amount paid as purchaser under the REPO agreement. (Securities purchased under repo arrangement shall not be included in the investments.)       0         1.15       i. Short Term Loan To Employees: Loans are Secured and Due for repayment within 12 months       17,869,125         1.16       Receivables from clearing house or securities exchange(s)       17,869,125         1.16       Receivables form clearing house or securities exchange(s)       17,869,125         1.16       Receivables other than those on account of entitlements against trading of securities in all markets including MtM gains.       17,869,125	
1.10       Deposit with authorized intermediary against borrowed securities under SLB.         1.11       Other deposits and prepayments         1.12       Accrued interest, profit or mark-up on amounts placed with financial institutions or debt securities etc.(Nil)         1.100% in respect of markup accrued on loans to directors, subsidiaries and other related parties         1.13       Dividends receivables.         1.14       Amounts receivable 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 Term Loan To Employees: Loans are Secured and Due for repayment within 12 months         1.16       Receivables from clearing house or securities exchange(s)         i. 100% value of claims other than those on account of entitlements against trading of securities in all markets including MtM gains.	
1.11       Other deposits and prepayments	2,400,000
etc.(Nil)       100% in respect of markup accrued on loans to directors, subsidiaries and other related parties       1         1.13       Dividends receivables.       1         1.14       Amounts receivable against Repo financing. Amount paid as purchaser under the REPO agreement. (Securities purchased under repo arrangement shall not be included in the investments.)       1         1.15       i. Short Term Loan To Employees: Loans are Secured and Due for repayment within 12 months       17,869,125         1.16       Receivables from clearing house or securities exchange(s)       17,869,125         1.16       Receivables from clearing house or securities exchange(s)       1         i. 100% value of claims other than those on account of entitlements against trading of securities in all markets including MtM gains.       1         ii. Receivable on entitlements against trading of securities in cluding MtM gains.       1	
100% in respect of markup accrued on loans to directors, subsidiaries and other related parties       1         1.13       Dividends receivables.       1         1.14       Amounts receivable against Repo financing. Amount paid as purchaser under the REPO agreement. (Securities purchased under repo arrangement shall not be included in the investments.)       1         1.15       i. Short Term Loan To Employees: Loans are Secured and Due for repayment within 12 months       1         1.16       Receivables other than trade receivables       17,869,125         1.16       Receivables from clearing house or securities exchange(s)       1         i. 100% value of claims other than those on account of entitlements against trading of securities in all markets including MtM gains.       1         ii. Receivable on entitlements against trading of securities in all markets including MtM gains.       1	
1.14       Amounts receivable against Repo financing. Amount paid as purchaser under the REPO agreement. (Securities purchased under repo arrangement shall not be included in the investments.)       Image: Comparison of the investment of the investmen	
Amount paid as purchaser under the REPO agreement. (Securities purchased under repo arrangement shall not be included in the investments.)       1.15         1.15       i. Short Term Loan To Employees: Loans are Secured and Due for repayment within 12 months         ii. Receivables other than trade receivables       17,869,125         1.16       Receivables from Clearing house or securities exchange(s)         i. 100% value of 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.	
1.15       i. Short Term Loan To Employees: Loans are Secured and Due for repayment within 12 months       1         ii. Receivables other than trade receivables       17,869,125         1.16       Receivables from clearing house or securities exchange(s)       17,869,125         i. 100% value of claims other than those on account of entitlements against trading of securities in all markets including MtM gains.       1         ii. Receivable on entitlements against trading of securities in all markets including MtM gains.       1	
1.16       Receivables from clearing house or securities exchange(s)         i. 100% value of 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.	
i. 100% value of 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.	
markets including MtM gains.       ii. Receivable on 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.	
1.17 Receivables from customers	
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. Net amount after deducting haircut	
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. 15,851,279 0	15,851,279
iv. Balance sheet value       v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market       3,043,654       1,303,141	1,303,141
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	10 500
i. Bank Balance-proprietory accounts12,582,1240ii. Bank balance-customer accounts1,744,9670	12,582,124 1,744,967
III. Dark balance - customer accounts         1,1-4,301         0           iii. Cash in hand         493,037         0	493,037

Schedule III [ See regulation 6(4) ]

## Liquid Capital Statement

for the month of **31-OCT-18** 

of M/s. 128 Securities (Pvt) Ltd

Submission Date 15-NOV-2018 14:40:24

	Subinission Date 15-100 v -2016 14.40.24		Page	2 Of 3
S.No.	Head of Account	Value in	Hair Cut/	Net Adjusted
		Pak Rupee	Adjustments	Value
1.19	Total Assets	61,230,127	23,008,793	37,783,962
2	Liabilities			
2.1	Trade Payables			
	i. Payable to exchanges and clearing house			
	ii. Payable against leveraged market products iii. Payable to customers	31,385,161	0	31,385,161
2.2	Current Liabilities	31,303,101	0	31,303,101
	i. Statutory and regulatory dues			
	ii. Accruals and other payables	454,575	0	454,575
	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			
	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. iv. 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:			
	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 Ioan, 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 Liabilites	31,839,736	0	31,839,736
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			
3.2	financees exceed 10% of the aggregate of amounts receivable from total financees. Concentration in securites lending and borrowing			
0.2	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 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:			
	<ul> <li>(i) the 50% of Haircut multiplied by the underwriting commitments and</li> <li>(ii) the value by which the underwriting commitments exceeds the market price of the securities.</li> </ul>			
	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			
3.4	Negative equity of subsidiary 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			
L	[],			

Schedule III [See regulation 6(4)]

## Liquid Capital Statement

for the month of **31-OCT-18** 

of M/s. 128 Securities (Pvt) Ltd

Submission Date 15-NOV-2018 14:40:24

			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 extent not already met			
3.10	Short setIII 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 3.12	Total Ranking Liabilites Liquid Capital	0 29,390,391	0 23,008,793	5,944,226