## Liquid Capital Statement

for the month of 31-AUG-18

#### of Ms. New Peak Securities(Pvt) Ltd

Submission Date 17-SEP-2018 09:16:33

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S.No.	Head of Account	Value in Pak Rupee	Hair Cut/ Adjustments	Net Adjusted Value
1	Assets			
1.1	Property & Equipment	2,664,333	2,664,333	
1.2	Intangible Assets	4,000,000	4,000,000	
1.3	Investment in Govt. Securities			
1.4	Investment in Debt. Securities			
	If listed than:  1. 5% of the balance sheet value in the case of tenure upto 1 year.			
	ii. 7.5% of the balance sheet value, in the case of tenure from 1-3 years.			
	iii. 10% of the balance sheet value, in the case of tenure of more than 3 years.			
	If unlisted than:			
	i. 10% of the balance sheet value in the case of tenure upto 1 year. ii. 12.5% of the balance sheet value, in the case of tenure from 1-3 years.			
	iii. 15% of the balance sheet value, in the case of tenure of more than 3 years.			
1.5	Investment in Equity Securities			
	i. If listed 15% or VaR of each securities on the cutoff date as computed by the Securities Exchange for	250,992	37,649	213,343
	respective securities whichever is higher. ii. If unlisted, 100% of carrying value.			
	iii.Subscription money against Investment in IPO/offer 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% 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 Banks against Short Term financing arrangements. In such cases, the haircut as provided in			
1.6	schedule III of the Regulations in respect of investment in securities shall be applicable (August 25, 2017) Investment in subsidiaries			
	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.			
1.8	ii. If unlisted, 100% of net value.  Statutory or regulatory deposits/basic deposits with the exchanges, clearing house or central depository	1,531,000	1,531,000	
	or any other entity.	1,001,000	1,551,000	
1.9	Margin deposits with exchange and clearing house.	10,600,000	0	10,600,000
1.10	Deposit with authorized intermediary against borrowed securities under SLB.  Other deposits and prepayments	2,432	2,432	
1.12	Accrued interest, profit or mark-up on amounts placed with financial institutions or debt securities	2,402	2,402	
	etc.(Nil)			
1.13	100% in respect of markup accrued on loans to directors, subsidiaries and other related parties Dividends receivables.			
	Amounts receivable against Repo financing.			
	Amount paid as purchaser under the REPO agreement. (Securities purchased under repo arrangement			
1.15	shall not be included in the investments.)  i. Short Term Loan To Employees: Loans are Secured and Due for repayment within 12 months			
1.15	is short term boar to Employees. Loans are secured and but for repayment within 12 months			
	ii. Receivables other than trade receivables	3,518,562	3,518,562	
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.			
1.17	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	22.222.::-		22 222 ::-
	iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. iv. Balance sheet value	20,006,412	0	20,006,412
	v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market	9,219,463	4,988,644	4,988,644
	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	287,623	0	
	ii. Bank balance-customer accounts	39,201,816		
L	iii. Cash in hand	270,000	0	270,000

## Liquid Capital Statement

for the month of 31-AUG-18

#### of M/s. New Peak Securities(Pvt) Ltd

Submission Date 17-SEP-2018 09:16:33

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Section 1   Value and Part   Section 2   Value and Part   Section 3   Value and Part   Value and P				_	
Bebildings	S.No.	Head of Account	Value in Pak Rupee	Hair Cut/ Adjustments	Net Adjusted Value
Trade Payables  I. Psystels signed keeping and clearing hazer  I. Psystels signed keeping the constraints  I. Psystels signed keeping the state of t	1.19	Total Assets	91,552,633	16,742,620	75,567,838
Engage   E	2	Liabilities			
Payable against leveraged maket products   49,359,869   0, 49,529,869   0, 49,529,869   1, 24,96,673   0, 2,866,673   0, 2,8	2.1	Trade Payables			
Englishe to construence   48,939,899   0   49,939,899					
Current Liabilities   2,848,673   0 2,848,673   0 2,848,673   0 1,04,294   0 104,294   104,294			40,000,000	0	40,000,000
Saturboy and requisitory dues   2,946,673   0   104,294	2.2		49,929,899	U	49,929,899
EACCLARE And Other payables   104,294   0   104,294   104,294   104,294   104,294   104,294   104,294   104,294   104,294   105,294	2.2		2 846 673	0	2 846 673
iv. Current portion of subcodinated loans  v. Current portion of subcodinated  v. Current liabilities  v. Defend Updinities  v. Other liabilities as per accounting principles and included in the financial statements  v. Other liabilities as per accounting principles and included in the financial statements  v. Other liabilities as per accounting principles and included in the financial statements  v. Other liabilities as per accounting principles and included in the financial statements  v. Other long term financing  v. Other liabilities as per accounting principles and included in the principle of the financial state of the vice as per accounting principles and included in the principle of the increase in a pulsary tenth increase in capital  v. Relevant Regulatory pagnovals have financial increases in capital  v. Other liabilities as per accounting principles and included in the financial statements  v. Other liabilities as per accounting principles and included in the financial statements  v. Other liabilities as per accounting principles and included in the financial statements  v. Other liabilities as per accounting principles and included in the financial statements  v. Other liabilities as per accounting principles and included in the financial statements  v. Other liabilities are per accounted to the accounting termination of the increase in a page of the per accounting termination of the principle and the very department of the principle and very department of the principle and very department of the per accounting termination of the principle and very department of the p					
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S. Other liabilities as per accounting principles and included in the financial statements		vii. Provision for bad debts			
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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 halcuts 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 Liabilities  3.1 Concentration in Margin Financing The amount calculated client-to- client basis by which any amount receivable from any of the Innances exceed 10% of the aggregate of amounts receivable from total finances.  3.2 Concentration in securities 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 issue: If the market value of securities is less than or equal to the subscription price: the aggregate of: (i) the solve by which the underwriting commitments and (ii) the value by which the underwriting commitments are seed the market price of securities is greater than the subscription price; the aggregate of: (i) the solve by which the underwriting commitments (ii) In any other case: 12.5% of the net underwriting (iii) In any other case: 12.5% of the net underwriting (iv) In any other case: 12.5% of the net underwriting (iv) In any other case: 12.5% of the net underwriting (iv) In any other case: 12.5% of the net underwriting (iv) In any other case: 12.5% of the net underwriting (iv) In any other case: 12.5% of the net underwriting (iv) In any other case: 12.5% of the net underwriting (iv) In any other case: 12.5% of the net underwriting (iv) In any other case: 12.5% of the net underwriting (iv) In any other					
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assets denominated in foreign cuurency less total liabilities denominated in foreign currency  3.6 Amount Payable under REPO	3.5				
3.6 Amount Payable under REPO					
3.7 Repo adjustment		Amount Payable under REPO			
	3.7	Repo adjustment			

# Liquid Capital Statement

for the month of 31-AUG-18

#### of M/s. New Peak Securities(Pvt) Ltd

Submission Date 17-SEP-2018 09:16:33

Page 3 Of 3

s.No.	Head of Account	Value in	Hair Cut/	Net Adjusted
		Pak Rupee	Adjustments	Value
3.8	In the case of financier/purchaser the total amount receivable under Repo less the 110% of the market value of underlying securities.  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.  Concentrated proprietary positions  If the market value of any security is between 25% and 51% of the total proprietary positions then 5% of	18,775	18,775	18.775
	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	10,770	10,770	10,770
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 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	18,775	18,775	18,775
3.12	Liquid Capital	32,704,668	16,723,845	16,719,873