Schedule III [See regulation 6(4)]

Liquid Capital Statement

for the month of **30-JUN-17**

Of M/S. New Peak Securities(Pvt) Ltd

Submission Date 17-JUL-2017 09:49:12

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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	5,718,131	5,718,131	
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: i. 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 respective securities whichever is higher.	335,550	33,332	302,218
	ii. If unlisted, 100% of carrying value.			
	iii.Subscription money against Investment in IPO/offer for Sale: Amount paid as subscription money			
1.6	provided that shares have not been alloted or are not included in the investments of securities broker. Investment in subsidiaries			
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 deposits/basic deposits with the exchanges, clearing house or central depository	1,081,000	1,081,000	
	or any other entity.		, ,	
1.9	Margin deposits with exchange and clearing house. Deposit with authorized intermediary against borrowed securities under SLB.	18,080,000	0	18,080,000
1.10	Other deposits and prepayments	34,515	34,515	
1.12	Accrued interest, profit or mark-up on amounts placed with financial institutions or debt securities		,	
	etc.(Nil) 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			
	ii. Receivables other than trade receivables	640,716	640,716	
1.16	Receivables from clearing house or securities exchange(s)	040,710	040,710	
	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			
	iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value.	17,509,670	0	17,509,670
	iv. Balance sheet value	0.404.705	4 070 055	4 070 055
	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	6,421,705	4,076,855	4,076,855
	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.			
1.18	vi. 100% haircut in the case of amount receivable form related parties. Cash and Bank balances			
	i. Bank Balance-proprietory accounts	3,331,481	0	3,331,481
	ii. Bank balance-customer accounts	44,606,524	0	44,606,524
1.19	iii. Cash in hand Total Assots	87,742 101,847,034	0 15,584,549	87,742 87,994,490
2	Total Assets Liabilities	101,047,034	10,004,049	07,994,490
2.1	Trade Payables			
	i. Payable to exchanges and clearing house			
	ii. Payable against leveraged market products			05.005.011
	iii. Payable to customers	65,235,911	0	65,235,911

Schedule III [See regulation 6(4)]

Liquid Capital Statement

for the month of **30-JUN-17**

Of M/S. New Peak Securities(Pvt) Ltd

Submission Date 17-JUL-2017 09:49:12

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1 Statutery and inspaties 9.014.889 0 5.018.899 1. Accurate and other payables 9.33.94 1. Accurate and other payables 9.33.94 1. Control Institutes 417.438 0 1. Control Institutes 417.438 0 1. Determinities 417.438 0 1. Conglicities 417.438 0 2. Non-Concent Labellitties 417.438 0 2. Non-Concent Labellitties 417.438 0 2. Statuters 418.339.339 200.000 2.800.000 3. Statuters 418.339.339 2.800.000 2.800.000 3. Statuters 418.339.339 <	S.No.	Head of Account			
iii. Short. Term biologing. 0<	2.2	i. Statutory and regulatory dues			
v. Current isolation. 417.488 0 417.538 d. Direction of the station. 998.209 0 989.202 z. B. Other labelities as para excounting principles and included in the financial statements. 998.209 0 989.202 z. B. Other labelities as para excounting principles and included in the financial statements. 9 9 z. B. Other labelities as para excounting principles and included in the financial statements. 9 9 z. B. Other labelities as para excounting principles and included in the financial statements. 9		iii. Short-term borrowings	93,994	0	93,994
all providen for transition B89,323 0 B89,323 0 B89,323 73 Mon-Current Lishliftes <td>vi. Deferred Liabilities</td> <td>417,438</td> <td>0</td> <td>417,438</td>		vi. Deferred Liabilities	417,438	0	417,438
1. Long-term thancelig a. Long-term thancelig dutation including amount due against finance lasse 2000000 0 2. Other long-term thancelig dutations from thancial institution. Long term portion of financing obtained from 2000000 0 1. Staff dutament longing 2000000 0 2000000 0 1. Staff dutament longing 2000000 0 2000000 0 1. Be dot dutation including amount due against finance lasse 2000000 0 2000000 0 1. Be dot dutation including amount due against finance lasse 2000000 0 2000000 0 2000000 0 2000000 0 2000000 0 2000000 0 2000000 0 2000000 0 2000000 0 2000000 0 20000000 0 2000000 0 2000000 0 2000000 0 20000000 0 20000000 0 20000000 0 20000000 0 200000000 0 2000000000000000000000000000000000000		viii. Provision for taxation ix. Other liabilities as per accounting principles and included in the financial statements	899,329	0	899,329
a francised institution including amount due against finance tease 2.00000 0 2.000000 0 2.000000 0 2.000000 0 2.000000 0 2.0000000 0 2.000000000 0 2.000000000000000000000000000000000000	2.3	i. Long-Term financing			
II. Advance against shares for increase in Capital of Securities tracks: 10% haircut may be allowed in respect of advance against shares for increase in capital a loss disting adubticed share capital allows the proposed enhanced share capital b Bodd of Disclos of the company has approved the discuss in capital d. There is no unreasonable delay in fisue of shares against devance and all regulatory requirements relating to the increase in public queries the theorements relating to the increase of capital. if of the increase in public queries the increase of capital. if of the increase in a public queries the increase of capital. if of the increase in the increase of the advance is a gainst the increase of capital. if advance against advance is against the increase of capital. if advance against advance is a gainst the increase of capital. if advance against advance is a gainst the increase of capital. if advance against advance is a gainst the increase of capital. if advance against advance is a gainst the increase of capital. if advance against advance is a gainst the advance advance is a gainst advance and a legulatate be deducted. a Losa generem must be executed on start parts advance and a legulatate advance advance is a gainst advance advance is a gainst advance		a financial institution including amount due against finance lease b. Other long-term financing	2,900,000	0	2,900,000
in elating to the increase in paid up capital have been completed. e. is. Other labilities as per accounting principles and included in the financial statements. 817,393 0 817,393 2.4 SubContraded Loans		 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 			
v. Other liabilities as per accounting principles and included in the financial statements 817,383 0 817,383 24 Subordinated Loans which fulfil the conditions specified by SECP are allowed to be deducted:		relating to the increase in paid up capital have been completed.			
Ihe Schedule III provides that 100% halicut will be allowed against subordinated Loans which fulfil the conditions specified by SECP. In this against subordinated Loans which fulfil the case of early reporting period. a. Loan agreement must be executed on stamp paper and must clearly reflect the amount to be repaid after 12 months of reporting period. . c. In case of early reporting period. . . 2.5 Iotal Liabilities Relating to: . . 3.1 Concentration in Margin Financing. . . The amount to accutated clent-to- client basis by which any amount receivable from any of the finances exceed 10% of the aggregate of . . . 1.2 Concentration in Margin Financing. 1.4 Concentration in Arequised of amounts receivable from any of the finances. . . . 3.2 Concentration in Margin Financing. The amount by which the aggregate of (i) Amount deposited by the borower with NCCPL. (ii) The market value of securities is test than or equal to the subscription price. . . <td>2.4</td> <td>iv. Other liabilities as per accounting principles and included in the financial statements Subordinated Loans</td> <td>817,393</td> <td>0</td> <td>817,393</td>	2.4	iv. Other liabilities as per accounting principles and included in the financial statements Subordinated Loans	817,393	0	817,393
25 Total Liabilities 75,382,934 0 75,382,934 3 Ranking Liabilities Relating to :		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.			
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 finances exceed 10% of the aggregate of amounts receivable from total finances. 3.2 Concentration in securities lending and borrowing The amount deposited by the borrower with NCCPL (i) 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 (i) 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 solw of Haircut multiplied by the underwriting commitments and (ii) the value by which the underwriting commitments and (ii) the value by which the underwriting commitments sectify the subscription price; the aggregate of: (b) in any other case : 12.5% of the net underwriting commitments (b) in any other case : 12.5% of the net underwriting commitments (c) the total liabilities of the subscription price, 5% of the Haircut multiplied by the end underwriting commitments (c) in any other case : 12.5% of the net underwriting commitments (c) in any other case : 12.5% of the net underwriting commitments (c) in any other case : 12.5% of the net underwriting commitments (c) in any other case : 12.5% of the net underwriting commitments (c) in the case of rights issues of the subscription price, 5% of the Haircut multiplied by the end to adjustic commitments (c) in the case of rights issues to the subscription price, 5% of the text and the subscription in foreign currency positions 5% of the net position in foreign currency positio	2.5		75 382 034	0	75 382 934
3.1 Concentration in Margin Financing Ine 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 Ine amount by which the aggregate of: (i) Amount deposited by the borrower with NCCPL (ii) The market value of securities pledged as margins exceed the 110% of the market value of shares borrowerd 3.3 Net underwriting Commitments Ine amount by which the aggregate of: (ii) The case of right issue: If the market value of securities is less than or equal to the subscription price: Ine aggregate of: (ii) the case of right issue: If the market value of securities is less than or equal to the subscription price: Ine aggregate of: (ii) the value by which the underwriting commitments and Ine the aggregate of: Ine aggregate of: (ii) the value by which the underwriting commitments and Ine the aggregate of: Ine aggregate of: (iii) the value by which the underwriting commitments exceeds the market price of the securities. In the case of right issue where the market price of securities is greater than the subscription price, 5% of the leadur multiplied by the net underwriting Ine amount by which the total assets of the subsidiary (excluding any amount due from the subsidiary) Ine amount by which the total assets of the subsidiary (excluding any amount due from the subsidiary) 3.5 f			10,002,004	0	10,002,004
3.2 Concentration in securites lending and borrowing The amount by which the aggregate of: (i) Amount deposited by the borrowr 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 3.3 Net underwriting Commitments (a) in the case of fight issuse : if the market value of securities is less than or equal to the subscription price: the aggregate of: (i) the solw of the underwriting commitments and (i) the value by which the underwriting commitments and (ii) the value by which the underwriting commitments exceeds the market price of the securities. in the case of right issuse where the market price of securities is greater than the subscription price, 5% of the tairuber underwriting (ii) the value by which the total assets of the subsidiary (b) in any other case: 12.5% of the net underwriting commitments 3.4 Negative equity of subsidiary (c) in any other case: 13.5% of the net underwriting commitments 3.4 Negative equity of subsidiary (c) in any other case: 13.5% of the net underwriting commitments 3.5 Foreign exchange agreements and foreign currency positions (c) in the case of financiefy currency whet position in foreign currency weats the difference of total assets denominated in foreign currency positions (c) in the case of financiefy currency weats the difference of total assets denominated in foreign currency wheas the difference of total assets denominated i	3.1	Concentration in Margin Financing The amount calculated client-to- client basis by which any amount receivable from any of the			
(1) Amount deposited by the borrower with NCCPL (ii) Cash margins paid and (iii) 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 solw 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 right issues where the market price of securities is greater than the subscription price, 5% of the Haircut multiplied by the net underwriting commitments 3.4 Negative equily of subsidiary The amount by which the total assets of the subsidiary (excluding any amount due from the subsidiary) water equily of subsidiary 3.5 Foreign exchange agreements and foreign currency positions	3.2	Concentration in securites lending and borrowing			
3.3 Net underwriting Commitments (a) in the case of right issue: if the market value of securites is less than or equal to the subscription price: 		 (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 			
(b) in any other case : 12.5% of the net underwriting commitments	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			
Integration of by which the subsidiary Integration of the subsidiary Integration of the subsidiary Integration of the subsidiary 3.5 Foreign exchange agreements and foreign currency positions 5% of the net position in foreign currency. Net position in foreign currency means the difference of total assets denominated in foreign currency less total liabilities denominated in foreign currency 3.6 Amount Payable under REPO 3.7 Repo adjustment in the case of financier/purchaser the total amount receivable under Repo less the 110% of the market value of underlying securites. In the case of financee/seller the market value of underlying securities after applying haircut less the total amount received less any cash deposited by the purchaser.	2.4	(b) in any other case : 12.5% of the net underwriting commitments			
3.5 Foreign exchange agreements and foreign currency positions 5% of the net position in foreign currency.Net position in foreign currency means the difference of total assets denominated in foreign currency less total liabilities denominated in foreign currency 3.6 Amount Payable under REPO 3.7 Repo adjustment in the case of financier/purchaser the total amount receivable under Repo less the 110% of the market value of underlying securities. In the case of financee/seller the market value of underlying securities after applying haircut less the total amount received less any cash deposited as collateral by the purchaser after applying haircut less any cash deposited by the purchaser.	5.4	The amount by which the total assets of the subsidiary (excluding any amount due from the subsidiary)			
3.7 Repo adjustment	3.5	Foreign exchange agreements and foreign currency positions 5% of the net position in foreign currency.Net position in foreign currency means the difference of total assets denominated in foreign cuurency less total liabilities denominated in foreign currency			
value of underlying securites. In the case of financeekeller 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.		Repo adjustment			
		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			
	3.8				

Schedule III [See regulation 6(4)]

Liquid Capital Statement

for the month of **30-JUN-17**

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

Submission Date 17-JUL-2017 09:49:12

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S.No.	Head of Account	Value in Pak Rupee	Hair Cut/ Adjustments	Net Adjusted Value
	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	29,765	29,765	29,765
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 sell 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	29,765	29,765	29,765
3.12	Liquid Capital	26,434,335	15,554,784	12,581,791