Schedule III [See regulation 6(4)]

Liquid Capital Statement

for the month of **31-AUG-19**

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

Submission Date 16-SEP-2019 11:10:58

	Submission Date 10-3EP-2019 11.10.30		Page	1 Of 3
S.No.	Head of Account	Value in Pak Rupee	Hair Cut/ Adjustments	Net Adjusted Value
1	Assets			
1.1	Property & Equipment	1,900,261	1,900,261	
1.2	Intangible Assets	2,500,000	2,500,000	
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	Incestment in Equity Securities			
	i. If listed 15% or VaR of each securities on the cutoff date as computed by the Securities Exchange for	158,984	23,848	135,136
	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			
	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 listed 20% or VaR of each securities as computed by the Securites Exchange for respective securities			
	whichever is higher.			
1.0	ii. If unlisted, 100% of net value.	4 404 000	4 404 000	
1.8	Statutory or regulatory deposits/basic deposits with the exchanges, clearing house or central depository or any other entity.	1,431,000	1,431,000	
1.9	Margin deposits with exchange and clearing house.	11,463,932	0	11,463,932
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	_,	_,	
	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	1,379,601	1,379,601	
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			
	 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.	28,977,890	0	28,977,890
	iv. Balance sheet value v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market	9,921,429	5,296,646	5,296,646
	value of securities purchased for customers and held in sub-accounts after applying VAR based	0,021,420	0,200,040	0,200,040
	haircuts, (ii) cash deposited as collateral by the respective customer and (iii) the market value of securities held as collateral after applying VaR based haircuts.			
	vi. 100% haircut in the case of amount receivable form related parties.			
1.18	Cash and Bank balances			
	i. Bank Balance-proprietory accounts ii. Bank balance-customer accounts	31,338 24,950,085	0	
	iii. Cash in hand	24,950,085		

Schedule III [See regulation 6(4)]

Liquid Capital Statement

for the month of **31-AUG-19**

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

Submission Date 16-SEP-2019 11:10:58

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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 size of shares against advance and all regulatory requirements relating to the increase in paid up capital have been completed. . e. Auditor is satified that such advance is against advance and all regulatory requirements relating to the increase in paid up capital have been completed. . 1. 1006 of Subcollinated leans which fulfill the conditions specified by SECP are allowed to be deducted. . 1. a constrained in the allowed against subcollinated to ans which fulfill the conditions specified by SECP. In this regard, following conditions are specified. . a. Loan ageement must be executed on stamp paper and must clearly reflect the amount to be repaid after 1 months of lean dult the value of the undue clearly inferent the amount to be repaid after 1 months of neuroting partice. . c. in case of only repayment of lean. adjustment specified by SECP . . 2.5 Total Liabilities Relating to : . . 3.1 Concentration in Margin Financing . . 1.6 The agregated of accounting patient of the agregated of accounting patient clear and the subcorrecontext.		respect of advance against shares if:			
C. Relevant Regulatory approvals have been obtained d. There is no unreasonable delay in this use of shares against advance and all regulatory requirements relating to the increase in paid up capital have been completed. e. Auditor's statified that such advance is against the increase of capital. w. Other liabilities as per accounting principles and included in the financial statements 917.470 9 917.470					
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e. Auditor is satisfied that such advance is against the increase of capital. iv. Other liabilities are per accounting principles and included in the financial statements 917,470 91		d. There is no unreasonable delay in issue of shares against advance and all regulatory requirements			
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3 Ranking Liabilities Relating to : 3.1 Concentration in Margin Financing The amount calculated client-to- client basis by which any amount receivable from any of the financees exceed 10% of the aggregate of amounts receivable from total financees. 3.2 Concentration in 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) Ihe 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 issus : 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 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 Haircut multiplied by the net underwriting commitments 3.4 Negative equity of subsidiary Negative equity of subsidiary Imageneents 3.5 Foreign exchange agreements and foreign currency positions 5% of the net position in foreign currency.Net position in foreign currency S 3.4 Negative equity of subsidiary Imageneene foreign currency less total liabilities denominated in foreign cu	2.5	Total Liabilites	48.766.940	0	48.766.940
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assets denominated in foreign cuurency less total liabilities denominated in foreign currency 3.6 Amount Payable under REPO	3.5				
		assets denominated in foreign cuurency less total liabilities denominated in foreign currency			
3.7 Kepo adjustment					
	J.1	repo aujustment			

Schedule III [See regulation 6(4)]

Liquid Capital Statement

for the month of **31-AUG-19**

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

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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 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.			
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	0	13,774	13,774
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	0	13,774	13,774
3.12	Liquid Capital	34,160,012	12,520,014	22,284,313