# Liquid Capital Statement

for the month of 28-FEB-21

#### of M/s. AKY Securities (Private) Ltd.

Submission Date 11-MAR-2021 13:01:07

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S.No.	Head of Account	Value in	Hair Cut/	Net Adjusted
		Pak Rupee	Adjustments	Value
1				
1.1	Assets	2,850,988	2,850,988	
	Property & Equipment			
1.2	Intangible Assets Investment in Govt. Securities	2,655,711	2,655,711	
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	74,250,498	11,307,416	62,943,082
	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	17,849,235	17,849,235	
	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. ii. If unlisted, 100% of net value.			
1.8	Statutory or regulatory deposits/basic deposits with the exchanges, clearing house or central depository	4,500,000	4,500,000	
	or any other entity.	1,000,000	1,000,000	
1.9	Margin deposits with exchange and clearing house.			
1.10	Deposit with authorized intermediary against borrowed securities under SLB.  Other deposits and prepayments			
1.12	Accrued interest, profit or mark-up on amounts placed with financial institutions or debt securities			
	etc.(Nil)			
1.10	100% in respect of markup accrued on loans to directors, subsidiaries and other related parties			
1.13	Dividends receivables.  Amounts receivable against Repo financing.			
1.14	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	0	0	
	ii. Receivables other than trade receivables	3,533,500	3,533,500	
1.16	Receivables from clearing house or securities exchange(s)	0,000,000	0,000,000	
	i. 100% value of claims other than those on account of entitlements against trading of securities in all			
	markets including MtM gains.			
4.47	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.	3,595,992	0	3,595,992
	iv. Balance sheet value v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market	120,274	79,482	79,482
	value of securities purchased for customers and held in sub-accounts after applying VAR based	120,274	19,462	19,462
	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.	8,551,246	8,551,246	
1.18	Cash and Bank balances	10 065 075	0	10.065.075
	i. Bank Balance-proprietory accounts ii. Bank balance-customer accounts	19,065,075 11,366,876		
	iii. Cash in hand	11,000,070		11,000,010
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# Liquid Capital Statement

for the month of 28-FEB-21

### of M/s. AKY Securities (Private) Ltd.

Submission Date 11-MAR-2021 13:01:07

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1.17   Total Assets   148,339,360   51,327,375   97,090,507	S.No.	Head of Account	Value in	Hair Cut/	Net Adjusted
Long-term framework and clearing house	S.NO.	nead of Account			
Todde Paywallers	1.19	Total Assets	148,339,395	51,327,578	97,050,507
Expedite to exchange and clearing house	2	Liabilities			
Pageotic against leveraged market products   11,386,876	2.1	Trade Payables			
ii. Projects to cautomas  1.386.876  2. Current Liabilities  1.322.702  3. Stantardy and equalitary duses  1.322.703  8. Short care becoming the control of					
Current Liabilities   1,322,702   0 1,322,			11 366 876	0	11 366 876
ii. Accuses and other payables iii. Short cert brokenowing. iii. Short cert brokenowing. iii. Short cert brokenowing. iii. Content portion of subclimated from: iii. Provision for back distribution. iii. Ii. Advance acquired state of the segment of the segme	2.2		1.1,000,01.0	, and the second	. 1,000,010
ii. Short- team berowings iv. Current portion of sobdedinated loans v. Current portion of sobdedinated loans viii. Provident for tradelities viii. Staff retirement benefitis viii. Staff retirement benefitis viii. Staff retirement benefitis viii. Provident for tradelities viii. Provident for tradelities for tradelities viii. Viii. Viii. Provident for tradelities viii. Vii				-	
V. Current portion of subcriticated loans   V. Current portion of subcriticated loans   V. Deferred Liabilities   V. Def			58,900,000	0	58,900,000
v. Current portion of long term liabilities vi. Potroles for late disbels vi. Long-term financing a. Long-term financing distinction including amount due against finance leave for late of late					
vi. Provision for band diebts vii. Provision for travation vii. Other liabilities as per accounting principles and included in the financial statements  Non-Current Liabilities Long-Term financing Li. Staff enterment benefits viii. Advance against shares for increase in Capital or Securities broken-100% halicult may be allowed in respect of advance against shares for increase in Capital or Securities broken-100% halicult may be allowed in respect of advance against shares for increase in Capital or Securities broken-100% halicult may be allowed in respect of advance against shares in the capital of the capital of the capital and the capital allow the proposed enhanced share capital or Reliability to the increase in guid up capital halicult be been completed.  Reliability to the increase in guid up capital halicult be been completed.  Long-tile vision in the increase in guid up capital halicult be been completed.  Long-tile vision in the increase in guid up capital halicult be been completed.  Long-tile vision in the increase in guid up capital halicult be been completed.  Long-tile vision in the increase in guid up capital halicult be been completed.  Long-tile vision in the increase in guid up capital halicult be been completed.  Long-tile vision in the increase in guid up capital halicult be been completed.  Long-tile vision in the increase in the capital in the francial statements.  Subordinated to borns  Subordinated to borns  Subordinated to borns  The Scheckette ill provided and the securities of an advance and all regulatory sequinements.  Subordinated to borns  The Scheckette ill provided real to tilb the conditions specified by SCP are allowed to deducted the conditions specified by SCP are allowed to deducted the conditions specified by SCP are allowed to the sequing and the securities of the provided provided to the subordinated to an which it reporting period to the subordinated to		v. Current portion of long term liabilities			
Will. Prevision for traination					
No. Other liabilities as per accounting principles and included in the financial statements					
L Long-Term financing a Long-Term financing potalized from financial institution: Long term portion of financing obtained from a financial institution including amount due against finance leave b. Other long-term financing li. Staff settlement benefits iii. Advance against shares for increase in Capital of Securities broker 100% halicut may be allowed in respect of advance against shares for increase in Capital control of the state of the stat					
a Long-Term financing obtained from financial institution Long term portion of financing obtained from a financial institution including amount due against finance lease  b. Other long-Term financing I. Staff religherent Demic for the company of the financial institution including amount due against finance lease    Company	2.3	Non-Current Liabilities			
II. Staff retirement benefits   III. Advance against shares for increase in Capital of Securities broker: 100% halicut may be allowed in respect of advance against shares if:		a. Long-Term financing obtained from financial instituion: Long term portion of financing obtained from			
iii Advance against shares for increase in Capital of Securities broken: 10% halrout may be allowed in respect of advance against shares if:  a. Ihe existing authorized share capital allows the proposed enhanced share capital b. Boad of Disectors 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 c. Auditor is staffled that such edwance is against in the necessor of capital. c. Auditor is staffled that such edwance is against in the necessor of capital. c. Auditor is staffled that such edwance is against in the necessor of capital. c. Auditor is staffled that such edwance is against in the necessor of capital. c. Auditor is staffled that such edwance is against in the necessor of capital. c. Auditor is staffled that such edwance is against an included in the financial statements.  Subordinated Loans 1,00% of Subordinated loans which fulfill the conditions pacefiled 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 the tax 12 months. c. In case of early repayment of loan, adjustment shall be made to the Uquid 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 71,589,578 71,589,578 71,589,578 71,589,578 71,589,578 71,589,578 71,68					
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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 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. j. Under liabilities are part accounting principles and included in the financial statements l. 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 after 12 months of reporting period after 12 months of reporting period capital statement must be executed on stamp paper and must clearly reflect the amount to be repaid after 12 months of reporting period capital statement must be submitted to exchange. i. Subordinated loans which do not fulfill the conditions specified by SECP  2.5 Total Liabilities  71.589,578		respect of advance against shares if:			
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 1. 100% of Subordinated loans which fulfill the conditions specified by SECP are allowed to be deducted: The Schedule Ill 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 excurring to exchange. ii. subordinated loans which do not fulfill the conditions specified by SECP  2.5 Total Liabilities 71,589,578 71,589,					
d. There is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increases 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  1. 1096 of Subordinated Loans  1. 1096 of Subordinated loans which fulfill the conditions specified by SECP are allowed to be deducted: the Schedule III provides that 100% halicut 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 halicut will be allowed against short term portion which is repayable within next 12 months.  c. in case of early reporting period  b. Subordinated has swinch do not furfill the conditions specified by SECP  2.5 Iotal Liabilities  71,589,578  71,589,578  0 71,589,578  3.1 Concentration in Margin Financing The amount calculated client-to-client basis by which any amount receivable from any of the financies exceed 10% of the aggregate of amounts receivable from total financies.  Concentration in securities lending and borrowing The amount by which the aggregate of mounts receivable from total financies.  Concentration in securities lending and borrowing The amount by which the aggregate of concentration in the subscription price the aggregate of concentration in the case of right issue where the market value of securities is less than or equal to the subscription price the aggregate of:  (i) the 50% of Haicut multiplied by the underwriting commitments and (ii) the value by which the underwriting commitments and (ii) the value by which the underwriting commitments are second to the subscription price, 5% of the Head of the subsidiary of the price the aggregate of the subscription price, 5% of the the transfer of the price t					
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(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 securities 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 (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 of total assets denominated in foreign currency less total liabilities denominated in foreign currency		(i) Amount deposited by the borrower with NCCPL			
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	3.7				

# Liquid Capital Statement

for the month of 28-FEB-21

### of M/s. AKY Securities (Private) Ltd.

Submission Date 11-MAR-2021 13:01:07

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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 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 selll 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	76,749,817	0 51,327,578	25,460,929