Schedule III [See regulation 6(4)]

Liquid Capital Statement

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

of M/s. NINI Securities (Pvt.) Ltd.

Submission Date 13-FEB-2019 13:03:17

| | Submission Date 13-11D-2017 13.03.17 | | Page | 1 Of 3 |
|-------|---|----------------------|-------------|-----------------------------|
| S.No. | Head of Account | Value in | Hair Cut/ | Net Adjusted |
| | | Pak Rupee | Adjustments | Value |
| 1 | Assets | | | |
| 1.1 | Property & Equipment | 10,018,878 | 10,018,878 | |
| 1.2 | Intangible Assets | 3,050,579 | 3,050,579 | |
| 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. | 8,040,306 | 1,206,046 | 6,834,260 |
| | ii. If unlisted, 100% of carrying value. | 16,661,200 | 16,661,200 | |
| | 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. | | | |
| | ii. If unlisted, 100% of net value. | | | |
| 1.8 | Statutory or regulatory deposits/basic deposits with the exchanges, clearing house or central depository | 2,300,000 | 2,300,000 | |
| 1.9 | or any other entity. Margin deposits with exchange and clearing house. | 25,000 | 0 | 25,000 |
| 1.10 | Deposit with authorized intermediary against borrowed securities under SLB. | 0 | 0 | 23,000 |
| 1.11 | Other deposits and prepayments | 0 | 0 | |
| 1.12 | Accrued interest, profit or mark-up on amounts placed with financial institutions or debt securities etc. (Nil) | 1,304,000 | 0 | 1,304,000 |
| | 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 | 216,802 | 216,802 | |
| 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 | | | |
| | iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. | 1,606,487 | 0 | 1,606,487 |
| | iv. Balance sheet value v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market | 2,141,659 | 263,282 | 263,282 |
| | value of securities purchased for customers and held in sub-accounts after applying VAR based | _,, | 200,202 | 100,202 |
| | 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. | 4,144,878 | 4,144,878 | |
| 1.18 | Cash and Bank balances | .,, | .,, | |
| | i. Bank Balance-proprietory accounts | 60,840,080 | | 60,840,080 |
| | ii. Bank balance-customer accounts iii. Cash in hand | 4,995,867 157,796 | | <u>4,995,867</u> 157,796 |
| L | | 137,790 | 0 | 157,790 |

Schedule III [See regulation 6(4)]

Liquid Capital Statement

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

of M/s. NINI Securities (Pvt.) Ltd.

Submission Date 13-FEB-2019 13:03:17

| S. Nov Bield of Accounts Yak to sim Adjustments Note Mysel 1118 Outal Assets 116.500.532 37.861.666 70.066.77 2 Labsimies 116.500.532 37.861.666 70.066.77 3 Indee Psycholis - - - - 1 Indee Psycholis - - - - 1 Indee Psycholis - - - - - 1 Indee Psycholis - <td< th=""><th></th><th>Submission Date 13-1 LB-2019 13.03.17</th><th></th><th>Page</th><th>2 Of 3</th></td<> | | Submission Date 13-1 LB-2019 13.03.17 | | Page | 2 Of 3 |
|---|-------|--|-------------|------------|------------|
| 2 Todo Psycholes 1 2.1 Todo Psycholes 1 2.2 Todo Psycholes 1 2.3 Todo Psycholes 1 2.4 Todo Psycholes 1 2.5 Todo Psycholes 1 2.6 Todo Psycholes 2 2.6 Todo Psycholes 37660 0 3.6 Todo Psycholes 37660 0 4.6 Todo Psycholes 37660 0 4.6 Todo Psycholes 37660 0 5.6 Todo Psycholes 1 0 1 4.7 Todo Psycholes 1 0 1 0 5.7 Todo Psycholes 1 0 37660 0 37660 0 37660 0 37660 0 37660 0 37660 0 37660 0 37660 0 37660 0 37660 0 37660 0 37660 0 37660 0 37660 0 37660 0 37660 0 37660 0 37660 | S.No. | Head of Account | | | _ |
| 21 Index Payables 4927203 4927203 22 Control Labellings 4927203 0 23 Control Labellings 4927203 0 24 Control Labellings 0 4927203 0 25 Control Labellings 0 37681 0 26 Control Labellings 0 37681 0 27 Control Labellings 0 37681 0 37681 28 Control Labellings 0 0 1040723 0 104073 29 Control Labellings 0 0 0 0 0 104073 20 Non-Control Labellings 0 104073 0 104073 0 104073 21 Non-Control Labellings 0 <td< td=""><td>1.19</td><td>Total Assets</td><td>115,503,532</td><td>37,861,665</td><td>76,026,772</td></td<> | 1.19 | Total Assets | 115,503,532 | 37,861,665 | 76,026,772 |
| 1 Targetic for exchange and closure proce 4.927,00 0 4.927,00 2 Current Listhiftes 4.927,00 0 4.927,00 3 Current Listhiftes 4.927,00 0 37.661 0 37.661 4 Status and status from the prophysics 37.661 0 37.661 37.661 37.661 37.6 | 2 | Liabilities | | | |
| In Engineering 4.927.008 0 4.927.008 12 Current Labilities 4.927.008 0 4.927.008 13 Current Labilities 4.927.008 0 37.661 14 Accuration of phase particulation 37.661 0 37.661 14 Accuration of phase particulation 37.661 0 37.661 15 Accuration of phase particulation 0 0 37.661 0 15 Accuration of phase particulation 0 0 37.661 0 0 100.0000 0 100.0000 <td< td=""><td>2.1</td><td></td><td></td><td></td><td></td></td<> | 2.1 | | | | |
| Image: Provide to explore the set of t | | | | | |
| 12 Current Liabilities 37.681 0 13 Accurate and online prophotes 37.681 0 37.681 14 Accurate proton of number of loans 0 0 37.681 0 37.681 0 37.681 0 37.681 0 37.681 0 37.681 0 37.681 0 37.681 0 37.681 0 37.681 0 37.681 0 37.681 0 37.681 0 37.681 0 37.681 0 37.681 0 37.681 0 37.691 0 104.673 0 < | | | 4 927 203 | 0 | 4 927 203 |
| I. Accuration and other parabolism 37.661 0 37.661 <td< td=""><td>2.2</td><td></td><td>1,021,200</td><td></td><td>1,021,200</td></td<> | 2.2 | | 1,021,200 | | 1,021,200 |
| II. Strat-term borowing III. Strat-term borowing III. Strat-term borowing V. Control Antibilities and an experimental stratements III. Strat-term borowing III. Strat-term borowing V. Device In the out of the previous for the strategies and inclusion in the financial stratements 104.073 0 V. Device In the strategies and inclusion in the financial stratements 104.073 0 104.073 2.3 Non-Connel Liabilities are accounting grinciples and inclusion in the financial stratements 104.073 0 104.073 2.4 Non-Connel Liabilities III. Strate accounting grinciples and inclusion in financial institution. Long term portion of financing obtained from a financial institution including amount due against thrance lease III. Strate accounting and thrance lease III. Strate accounting and thrance lease III. Strate accounting and thrance active accounting and thrance actite accounting and thrance accounting and thrance ac | | | | | |
| b. Content portion of subcodinated beam | | | 37,661 | 0 | 37,661 |
| Concern postion of long term liabilities V. Concern postion of long term liabilities V. Concern Liabilities V. Defect Liabilities | | | | | |
| will Provision for backlich will Provision for backlich 21 Non-Current Liabilities as per accounting principles and included in the financial statements 104.073 23 Non-Current Liabilities 24 Long-Term financing dotailed from financial institution: Long term portion of financing obtained from 25 Long-Term financing dotailed from financial institution: Long term portion of financing obtained from 26 Long-Term financing 27 Non-Current Liabilities 28 Long-Term financing 30 Long-Term financing 31 Long-Term financing 41 Detext-term constantize data data data data data data | | | | | |
| viii. Hoviden for labelities are accounting principles and included in the financial statements 104,073 0 104,073 2.3 Non-Current Liabilities 104,073 0 104,073 3.1 Long-Term financing obtained from financial institution from the adamts finance taxes 104,073 104,073 4.1 Long-Term financing obtained from financial institution from taxe adamts finance taxes 104,073 104,073 5.1 Term financing obtained from financial institution from taxe adamts finance taxes 104,073 104,073 6.1 Term financing obtained from financial institution from taxes adamts finance taxes 104,073 104,073 8.1 Advance agains shares for forces on Capital of Securities broken: 100% holicout may be allowed in respect of advance adamts thare capital at advance and alloguitaties taxes adamts advance and alloguitaties adamts advance adamts advance and alloguitaties adamts advance advantaties advance adamts advance | | | | | |
| is. Other liabilities ager accounting principles and included in the financial statements 104,073 0 104,073 21 Non-Current Liabilities 1 1 104,073 0 104,073 22 Non-Current Linabilities 1< | | | | | |
| Liting-lem financing i.i.ong-lem financing i.i.ong-lem financing i.i.ong-lem financing i.i.ong-lem financing i.i.ong-lem financing i.i.ong-lem financing i.i.ong-lem financing i.i.ong-lem financing i.i.ong-lem financing i.i.ong-lem financing i.i.ong-lem financing iii.ong-lem financing iii.ong-lem financing iii.ong-lem financing iii.ong-lem financing iii.ong-lem financing iii.ong-lem financing iiii.ong-lem financing iiiiiiiii.ong-lem financing iii.ong-lem financing iiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiii | | | 104,073 | 0 | 104,073 |
| a Long-Term Thrancing obtained from financial institution: Long term portion of financing obtained from a financial institution including amount due against finance lease. | 2.3 | Non-Current Liabilities | | | |
| a financial institution including amount due against finance lease | | | | | |
| b. Other Long-term financing | | | | | |
| II. Staff retirement benefits II. Staff retirement benefits III. Advance against shares for increase in Capital of Securities broker: 10% halicut may be allowed in respect of advance against shares for increase in capital III. Staff retirement benefits III. Bead of Directors of the company has approved the increase in capital III. Staff retirements III. Bead of Directors of the company has approved the increase in capital III. Staff retirements III. Bead of Directors of the company has approved the increase in capital III. Staff retirements III. Bead of Directors of the company has approved the increase of capital. IIII. IIIII. IIII. IIIII. IIIII. IIII. IIII. IIIII. IIIIII | | a financial institution including amount due against finance lease | | | |
| isepect 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 d. d. There is no unreasonable delay in issue of shares against advance and all regulatory requirements d. d. Autor is satirized to any back provide shares against advance and all regulatory requirements d. d. Motion is satirized to its applicit bits increase or control. d. ive of Motion is astrong to the provide share increase and included in the financial statements. d. ive of Motion is astrong to the share into the originated Loars which fulfil the conditions specified by SECP. In this regard, following conditions are specified: d. a. Loan agreement must be executed and antial delay (reflect the amount to be repaid) after 12 months of reporting period b. d. b. In other which do not fulfil the conditions specified by SECP s. d. s. a. Loan agreement must be submitted to exchange. s. d. s. b. In other which do not fulfil the conditions specified by SECP s. d. s. c. assord any repayment of toan, adjustment s | | ii. Staff retirement benefits | | | |
| 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. Increase in capital c. Relevant Regulatory approvals have been completed. c. Relevant Regulatory approvals have been completed used in the financial statements. c. Relevant Regulatory approvals have been completed used in the financial statements. c. Relevant Regulatory approvals have been completed used in the approval in the regulation and used in the regulatory relevant relevant Relevant Regulatory relevant Releva | | | | | |
| b. Boad of Directors of the company has approved the increase in capital c. Relevant Regulatory approvals have been obtained c. Relevant Regulatory approvals have been obtained difference d. There is no unreasonable delay in issue of shares against advance and all regulatory requirements exited ie Auditor is satisfied that such advance is against the increase of capital. ie Auditor is satisfied that such advance is against advance and all regulatory requirements ie Auditor is satisfied that such advance is against the increase of capital. ie Auditor is satisfied that such advance is against advanced to be deducted. the Schedule II provides that 100% halcut will be allowed against subordinated to ans which fulfill the conditions specified by SCP. is a company has approved the increase of capital. a Loan ageement must be executed on stamp paper and must clearly reflect the amount to be repaid after 12 months. is a company has be submitted to exchange. c. in case of early repayment of foan adjustment specified by SCP 5.068,937 0 5.068,937 3 Randing Liabilities Relating to : is advance and any other specified advance. is advance and and revised Liquid 2.4 Concentration in Margin Financing is advance and and the aggegate of amounts receivable from any of the finances. is advance and and advance. 3.1 Concentration in Margin Financing in the | | | | | |
| d. There is no unreasonable delay in issue of shares against advance and all regulatory requirements elation is suffied that such advance is against the increase of capital e. Auditor is suffied that such advance is against the increase of capital increase i. 100% of subordinated Loans increase of capital i. 100% of subordinated loans which fulfill the conditions specified const which fulfill the conditions specified goars which fulfill the conditions specified goars which fulfill the conditions specified goars which fulfill the conditions specified against subordinated Loans which fulfill the conditions specified against short term paper and must clearly reflect the amount to be repaid after 12 months of reporting period b. No haiccut will be allowed against short term portion which is repayable within next 12 months. c. In case of eavy repayment of loan adjustment shall be made to the Liquid Capital and revised Liquid e. 100% adjustment shall be made to the Liquid Capital and revised Liquid stops of subordinated communications against short term paper and must clearly reflect the amount to be repaid and revised Liquid after 12 months of repains period c. Concentration in Margin Financing c. Increase addition of the difference of amounts receivable from any of the finance sceept of the difference of scentrate of an admust clearly effect on total finances. infanzoust calculated clearl-to- client basis by which any amount receivable from any of the financeust calculated clearl to conving the admust or scends the motion finances. infanzoust calculated clearl to convint the ady admust of scentrate scends the motion finances. | | | | | |
| ielating 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 are per accounting principles and included in the financial statements iu. iu. Other liabilities are per accounting principles and included in the financial statements iu. iu. Other statement and the statement of the statements iu. iu. Other statement and the statement of the statements iu. iu. Other statement must be executed on stamp paper and must clearly reflect the amount to be repaid after 12 months of reparting 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. ii. Subordinated loans which do not fulfill the conditions specified by SECP it. Subordinated loans which do not fulfill the conditions specified by SECP it. Subordinated loans which do not fulfill the conditions specified by SECP it. Subordinated loans which do not fulfill the conditions specified by SECP it. Subordinated loans which do not fulfill the conditions specified by SECP it. Subordinated loans which do not fulfill the conditions specified by SECP it. Subordinated loans which do not fulfill the conditions specified by SECP it. Subordinated loans which do not fulfill the conditions specified from any of the financese secret 10% of the aggregate of amount receivable from total finances. if. Advancese secret 10% of the aggregate of amount receivable from total finances. if. Advancese secret 10% of the aggregate of amount secretable from total finances. if. Advancese secretable spit and if. Decontration in Margin Financing in the case of fight issue: if the market value of secret secretable from total finances. if. Advancese secretable spit and if. Decontration is aggregate of: if. Advance aggregate of: if. Other | | | | | |
| 2.4 Subordinated Loans | | e. Auditor is satisfied that such advance is against the increase of capital. | | | |
| 1100% of Subordinated loans which fulfill the conditions specified by SECP are allowed to be deducted: The Schedule II provides that 100% heincut 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 repaining period. a. It can agreement must be executed on stamp paper and must clearly reflect the amount to be repaid after 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 fuffill the conditions specified by SECP 5.068,937 0 5,068,937 2.5 Total Liabilities Relating to : 5.068,937 0 5,068,937 3. 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. 1 Concentration in securities lending and borowing The amount by which the aggregate of a mounts receivable from total finances. 1 1 Concentration in securities lending and borowing The amount by which the aggregate of a mounts receivable from any of the finances. 1 1 1 3.1 Concentration in securities lending and borowing 1 1 1 1 | | | | | |
| The Schedule III provides that 100% haiccut will be allowed against subordinated Loars which fulfill the conditions specified by SCP. 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 cone, adjustment shall be made to the Liquid Capital and revised Liquid Capital statement must be submitted to exchange. i. Subordinated loans which do not fulfill the conditions specified by SECP 2.5 I total Liabilities 5.068,937 0 5.068,937 3.1 Concentration in Margin Financing. memount 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. 1 3.2 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. 1 3.2 Concentration in securities lending and borrowing. 1 1 the amount of provident which secred the 110% of the market value of shares borrowed. 1 1 3.3 Net underwriting commitments and (i) the waster value of securities is less than or equal to the subscription price: the aggregate of. 1 1 (ii) In the case of right issue: Whe the market value of securities is less than or equal to the subscription price: the aggregate of the subscription price: the aggregate of. 1 1 </td <td>2.4</td> <td></td> <td></td> <td></td> <td></td> | 2.4 | | | | |
| Capital statement must be submitted to exchange. | | 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. | | | |
| 25 Total Liabilities 5,068,937 0 5,068,937 3 Ranking Liabilities Relating to : | | Capital statement must be submitted to exchange. | | | |
| 3 Ranking Liabilities Relating to : | | II. Subordinated loans which do not fulfill the conditions specified by SECP | | | |
| 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 securites 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 securites is less than or equal to the subscription price: the aggregate of: (i) the s0% 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 A Negative equity of subsidiary Image the subsidiary 3.5 Foreign exchange agreements and foreign currency positions 5% of the net position in foreign currency.Net position in foreign currency Image advect of total assets denominated in foreign currency weats the difference of total assets denominated in foreign currency less stotal liabilities denominated in | 2.5 | Total Liabilites | 5,068,937 | 0 | 5,068,937 |
| 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 securites lending and borrowing The amount by which the aggregate of: (i) Amount deposited by the borrower with NCCPL (ii) Amount deposited by the borrower with NCCPL (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 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 rights issue where the market price of securities is greater than the subscription price, 5% of the Haircut multiplied by the net underwriting commitments (i) in any other case : 12.5% of the net underwriting commitments (ii) nay other case : 12.5% of the net underwriting commitments 3.4 Negative equity of subsidiary (excluding any amount due from the subsidiary) exceed the total liabilities of the subsidiary (excluding any amount due from the subsidiary) (ii) assets denominated in foreign currency positions 3.5 Foreign exchange agreements and foreign currency positions (ii) the value by which the | 3 | | | | |
| 3.2 Concentration in securites 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 (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 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 right issues where the market price of securities is greater than the subscription price, 5% of the Haircut multiplied by the nuderwriting commitments 3.4 Negative equity of subsidiary (b) in any other case : 12.5% of the net underwriting commitments (c) (a) in the total assets of the subsidiary (excluding any amount due from the subsidiary) exceed the total liabilities of the subsidiary (excluding any amount due from the subsidiary) assets denominated in foreign currency. Net position in foreign currency means the difference of total assets denominated in foreign currency. Net position in foreign currency 3.5 Foreign exchange agreements and foreign currency means the difference of total assets denominated in foreign currency. Net position in foreign currency 3.6 Amount Payable under REPO | 3.1 | | | | |
| 3.2 Concentration in securites 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 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 the Haircut multiplied by the net underwriting commitments (b) in any other case : 12.5% of the net underwriting commitments 3.4 Negative equity of subsidiary (b) in any other case: 12.5% of the subsidiary (excluding any amount due from the subsidiary) (c) exceed the total lasets of the subsidiary 3.5 Foreign exchange agreements and foreign currency positions (c) subsidiary (c) subsidiary 3.5 Foreign exchange agreements and foreign currency less total liabilities denominated in foreign currency (c) the assets denominated in foreign currency less total liabilities denominated in foreign currency 3.6 Amount Payable under REPO (c) the asset denominated in foreign currency (c) the asset denominated in foreign currency | | | | | |
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| (iii) The market value of securities pledged as margins exceed the 110% of the market value of shares borrowed | | (i) Amount deposited by the borrower with NCCPL | | | |
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| assets denominated in foreign cuurency less total liabilities denominated in foreign currency 3.6 3.6 Amount Payable under REPO | | | | | |
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Schedule III [See regulation 6(4)]

Liquid Capital Statement

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

of M/s. NINI Securities (Pvt.) Ltd.

Submission Date 13-FEB-2019 13:03:17

| | | | 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 | 0 | 804,031 | 804,031 |
| 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 output of already mot | | | |
| 3.10 | extent not already met 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 | 0 | 804,031 | 804,031 |
| 3.12 | Liquid Capital | 110,434,595 | 37,057,634 | 70,153,804 |