

AMIN, MUDASSAR & CO.

Information required for Net Capital Balance (NCB) certificate.

- 1 Trial Balance from 1-Jul-2013 to 31-Dec-2013. in excel format
- 2 Trial Balance from 18-Dec-2013 to 31-Dec-2013 in excel format. *[Ref 2.3]*
- 3 Trial Balance from 2-Dec-2013 to 31-Dec-2013 in excel format. *[Ref 6.1]*
- 4 CDC Statement as on 2-Jan-14 (reflecting settlement of transaction done on 31-Dec-13)
- 5 Investment account ledger showing security holdings.
- 6 Draft financial statements accounts as on 31-Dec-2013
- 7 Grouping for draft financial statements
- 8 Bank Statements of all banks of house account *[Ref 1.5]*
- 9 Bank Statements of all banks pertaining to clients (Client wise breakup) *[Ref 1.5]*
- 10 Amount of Markup, Penalty, Late Payment charges in trade receivables during 17-Dec-2013 to 31-Dec-2013 *[Ref 2.1]*
- 11 Amount of Margin with Stock Exchange and National Clearing Company of Pakistan Limited (NCCPL) *[Ref 1.1]*
- 12 Amount of Basic deposit with Stock Exchange and NCCPL *[Ref 1.2]*
- 13 Amount of Base Minimum Capital with Stock Exchange *[Ref 1.3]*
- 14 Amount of TDR not under lien and maturity under one year. *[Ref 1.4]*
- 15 Amount receivable against NCCPL for unsettled trade *[Ref 2.2]*
- 16 Amount of Commission receivable *[Ref 2.8(4)]*
- 17 Any trading activity in Margin Trading System (MTS), Margin Financing (MF), Securities Lending and Borrowing (SLB) *[Ref 2.3]*
- 18 Any amount receivable other than Brokerage business *[Ref 2.7]*
- 19 Client security holdings if payment of respective securities have been outstanding since 17-Dec-2013 or earlier. *[Ref 4.1]*
- 20 Amount of Pakistan Investment Bonds and Federal Investment Bonds *[Ref 5.1]*
- 21 Amount of trade payable and receivable relating to PMEX *[Ref 2.4 & 6.1]*
- 22 Directors' loan ledger from 1-Jan-2013 to 31-Dec-2013 *[Ref 7.1]*
- 23 Securities appearing under Repo and Reverse Repo agreements *[Ref 2.10]*

Reference relates to "Clarification/ guidelines in respect of third schedule of securities and exchange rules 1971"

dated July 3, 2013 issued by SECP

CALCULATION OF NET CAPITAL BALANCE FOR THE PURPOSES OF
RULE 2(d) OF SECURITIES AND EXCHANGE RULES, 1971
AS AT AUG 31, 2016

<u>PARTICULARS</u>	Rupees	Rupees	Rupees
<u>A: CURRENT ASSETS</u>			19,733,400
Cash in hand and Bank Balance			
Cash deposited as margin with:			
Pakistan Stock Exchange	-		
Central Depository Company of Pakistan	-		
National Clearing Company of Pakistan	-	-	
Clients' Bank Account Balance			
Pertaining to Brokerage House	48,508		
Pertaining to Clients	10,054,351	10,102,859	
Cash in hand	91,334	91,334	
Total		10,194,193	
<u>Trade Receivable</u>			
Receivables from NCCPL	-	-	
Receivables from Client			
Total Balance	3,522,134		
Less: Outstanding for More than 14 days	2,689,098	833,036	
Total		833,036	
<u>Investment in listed Securities</u>			
<u>in the name of Broker</u>			
Securities Appearing and Owned by Brokerage House	10,242,554	8,706,171	
Less: 15% adjustment	1,536,383		
	8,706,171		
<u>Securities purchased for clients</u>			
Receivables from client			
After Expiry of 14 days	-	-	
Total		8,706,171	
<u>B: CURRENT LIABILITIES</u>			11,043,632
<u>Trade Payables</u>			
Overdue Payables	10,092,340		
Less: Overdue for More than 30 Days	4,954,810		
<u>Other Liabilities</u>		5,137,530	
<u>Payable to NCSS</u>	451,292		
Trade Payables Overdue for more than 30 days	4,954,810		
Short term borrowings	500,000		
Accruals of Current Liabilities	-	5,906,102	
Total		11,043,632	
NET CAPITAL (A-B)			8,689,768