

## **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 OCT 31, 2016**

| <b><u>PARTICULARS</u></b>                         | <b>Rupees</b> | <b>Rupees</b> | <b>Rupees</b>    |
|---|---------------|---------------|------------------|
| <b><u>A: CURRENT ASSETS</u></b>                   |               |               | 29,609,147       |
| <b>Cash in hand and Bank Balance</b>              |               |               |                  |
| 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                     | 486,241       |               |                  |
| Pertaining to Clients                             | 19,705,946    | 20,192,187    |                  |
| Cash in hand                                      | 91,334        | 91,334        |                  |
| Total   |               | 20,283,521    |                  |
| <b><u>Trade Receivable</u></b>                    |               |               |                  |
| Receivables from NCCPL                            | -             | -             |                  |
| Receivables from Client                           |               |               |                  |
| Total Balance                                     | 4,293,854     |               |                  |
| Less: Outstanding for More than 14 days           | 2,606,460     | 1,687,394     |                  |
| Total   |               | 1,687,394     |                  |
| <b><u>Investment in listed Securities</u></b>     |               |               |                  |
| <b><u>in the name of Broker</u></b>               |               |               |                  |
| Securities Appearing and Owned by Brokerage House | 8,986,155     | 7,638,232     |                  |
| Less: 15% adjustment                              | 1,347,923     |               |                  |
|   | 7,638,232     |               |                  |
| <b><u>Securities purchased for clients</u></b>    |               |               |                  |
| Receivables from client                           |               |               |                  |
| After Expiry of 14 days                           | -             | -             |                  |
| Total   |               | 7,638,232     |                  |
| <b><u>B: CURRENT LIABILITIES</u></b>              |               |               | 21,791,179       |
| <b><u>Trade Payables</u></b>                      |               |               |                  |
| Overdue Payables                                  | 15,730,635    |               |                  |
| Less: Overdue for More than 30 Days               | 3,046,132     |               |                  |
| <b><u>Other Liabilities</u></b>                   |               | 12,684,503    |                  |
| <b><u>Payable to NCSS</u></b>                     | 4,560,544     |               |                  |
| Trade Payables Overdue for more than 30 days      | 3,046,132     |               |                  |
| Short term borrowings                             | 1,500,000     |               |                  |
| Accruals of Current Liabilities                   | -             | 9,106,676     |                  |
| Total   |               | 21,791,179    |                  |
| <b>NET CAPITAL (A-B)</b>                          |               |               | <b>7,817,968</b> |