Monthly statements of liquid capital with the Commission and the securities exchange FOUNDATION SECURITIES (PVT.) LIMITED

Computation of Liquid Capital As on September 30, 2018

S. No.	Head of Account	Value in Pak Rupees	Hair Cut / Adjustments	Net Adjusted Value
	Property & Equipment	7,107,000	100.00%	-
1.2	Intangible Assets	14,607,000	100.00%	-
1.3	Investment in Govt. Securities (150,000*99) Investment in Debt. Securities	<u>-</u>	-	-
	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.	-	5.00% 7.50%	-
1.4	iii. 10% of the balance sheet value, in the case of tenure of more than 3 years.	-	10.00%	-
	If unlisted than:		10.00%	
	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.	-	10.00% 12.50%	<u> </u>
	iii. 15% of the balance sheet value, in the case of tenure of more than 3 years.	-	15.00%	-
	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.	4,334,920	650,238	3,684,682
	ii. If unlisted, 100% of carrying value.	=	100.00%	-
	iii. Subscreiption money against investment in IPO/ offer for sale: Amount paid as subscription money		0.000/	
	provided that shares have not been alloted or not included in the investment of securities broker.	-	0.00%	-
	iv.100% Haircut shall be applied to the Value of Investment in any asset including shares of listed securities			
1.5				
	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	47 400 007	47 400 007	
	in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of	17,482,907	17,482,907	
	Banks against Short Term financ ing arrangements. In such cases, the haircut as provided in			
1.5	schedule III of the Regulations in respect of investment in securities shall be applicable (August 25, 2017).		100 000/	
1.6	Investment in subsidiaries Investment in associated companies/undertaking	-	100.00%	-
1.7	i. If listed 20% or VaR of each securities as computed by the Securites Exchange for respective securities whichever is higher.	_	_	_
1.7	ii. If unlisted, 100% of net value.		100.00%	
4.0				<u> </u>
1.8	Statutory or regulatory deposits/basic deposits with the exchanges, clearing house or central depository or any other entity.	2,600,000	100.00%	-
1.9	Margin deposits with exchange and clearing house. Deposit with authorized intermediary against borrowed securities under SLB.	63,905,720	-	63,905,720
1.11	Other deposits and prepayments	12,501,000	100.00%	-
1.12	Accrued interest, profit or mark-up on amounts placed with financial institutions or debt securities etc.(Nil)	-	-	-
1.12	100% in respect of markup accrued on loans to directors, subsidiaries and other related parties	-	100.00%	-
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	_	_	_
1.14	the investments.)			
1 15	i. Short Term Loan To Employees: Loans are Secured and Due for repayment within 12 months			
1.15	No Haircut may be applied to the advance tax to the extent it is netted with provision of taxation Receivables other than trade receivables	118,837,000	118,837,000	-
	Receivables from clearing house or securities exchange(s)	-,,	-,,	
1.16	100% value of claims other than those on account of entitlements against trading of securities in all markets including MtM gains.		-	-
	Receivables from customers (Net of Provisions)			
	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.	=	5.00%	-
	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			
1.17	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.			
	iv. Balance sheet value	117,037,486	-	117,037,486
	v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market value of securities purchased			
	for customers and held in sub-accounts after applying VAR based haircuts, (ii) cash deposited as collateral by the respective	26,306,635	16,016,345	16,016,345
	customer and (iii) the market value of securities held as collateral after applying VaR based haircuts. v. Lower of net balance sheet value or value determined through adjustments	,,	11,110,010	,5_20,0 +3
			100 0001	
	vi. 100% haircut in the case of amount receivable form related parties. Cash and Bank balances	-	100.00%	-
1.18	I. Bank Balance-proprietory accounts	15,000,958	-	15,000,958
	ii. Bank balance-customer accounts iii. Cash in hand	356,918,414 125,501	-	356,918,414 125,501
1 10	Subscription money against investment in IPO/ offer for sale (asset)	123,301	-	123,301
1.19	Balance Sheet Value	-	-	-

2.1 i. Pa ii. Pa iii. Pa iii. Pa Curro i. Sta iii. Ad iii. S 2.2 iv. C	de Payables		152,986,499	572,689,106
2.1 i. Pa ii. Pa iii. Pa iii. Pa Curro i. Sta iii. Ad iii. S 2.2 iv. C	de Pavables			
2.1 ii. Pa iii. P Curre i. Sta ii. Ad iii. S 2.2 iv. C	·			
ii. Pa iii. P Curri i. Sta ii. Ad iii. S 2.2 iv. C	ayable to exchanges and clearing house	3,309,867	-	3,309,867
i. Sta ii. Ad iii. S 2.2 iv. C	Payable against leveraged market products	-	-	-
i. Sta ii. Ad iii. S 2.2 iv. C	Payable to customers	430,608,002	-	430,608,002
ii. Ad iii. S 2.2 iv. C	rent Liabilities			
2.2 iv. C	tatutory and regulatory dues	-	-	-
2.2 iv. C	Accruals and other payables	37,247,000	-	37,247,000
	Short-term borrowings	15,000,000	-	15,000,000
v. Cı	Current portion of subordinated loans	-	-	-
	Current portion of long term liabilities		-	-
	Deferred Liabilities		-	=
	Provision for taxation	-	-	=
	Other liabilities as per accounting principles and included in the financial statements	-	-	-
	n-Current Liabilities			
	ong-Term financing		=	-
	ong-Term financing obtained from financial institution: Long term portion of financing obtained from a financial institution		100.00%	
	uding amount due against finance lease Other long-term financing		_	
	staff retirement benefits	4,451,000		4,451,000
	Advance against shares for Increase in Capital of Securities broker: 100% haircut may be allowed in respect of advance	4,431,000		4,431,000
	· · · · · · · · · · · · · · · · · · ·			
8	inst shares if: he existing authorized share capital allows the proposed enhanced share capital			
	load of Directors of the company has approved the increase in capital			
	elevant Regulatory approvals have been obtained			
	5 , 11			
	here is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increase in			
	d up capital have been completed.			
	uditor is satisfied that such advance is against the increase of capital. Other liabilities as per accounting principles and included in the financial statements	_	_	_
	ordinated Loans	_	_	-
			_	-
	00% of Subordinated loans which fulfill the conditions specified by SECP are allowed to be deducted:			
	Schedule III provides that 100% haircut will be allowed against subordinated Loans which fulfill the conditions specified by			
	P. In this regard, following conditions are specified:			
2.4	oan agreement must be executed on stamp paper and must clearly reflect the amount to be repaid after 12 months of	55,000,000	55,000,000	-
1 .	orting period		,,	
	Io haircut will be allowed against short term portion which is repayable within next 12 months.			
c. In	n case of early repayment of loan, adjustment shall be made to the Liquid Capital and revised Liquid Capital statement must			
be sı	submitted to exchange.			
ii. Su	ubordinated loans which do not fulfill the conditions specified by SECP	-	-	-
Adva	rance against shares for increase in capital of securities broker Balance Sheet Value			
Auve	% Haircut may be allowed in respect of advance against shares if :			
	The existing authorized share capital allows the proposed enhanced share capital			
100%	THE EXISTING AUTHORIZED SHAFE CAPITAL ANOWS THE PROPOSED EITHANCED SHAFE CAPITAL			
100% (a) T	· · · · · · · · · · · · · · · · · · ·			
100% (a) Ti (b) B	Board of Directors of the company has approved the increase in capital	-		
100% (a) Ti (b) B (c) Re	Board of Directors of the company has approved the increase in capital Relevant Regulatory approvals have been obtained	-		
2.5 (a) Ti (b) B (c) Ri (d) Ti	Board of Directors of the company has approved the increase in capital Relevant Regulatory approvals have been obtained There is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increase in	-		
2.5 (a) Ti (b) B (c) Ri (d) Ti paid	Board of Directors of the company has approved the increase in capital Relevant Regulatory approvals have been obtained There is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increase in d up capital have been completed	-		
2.5 (a) Ti (b) B (c) Ri (d) T paid (e) A	Board of Directors of the company has approved the increase in capital Relevant Regulatory approvals have been obtained There is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increase in d up capital have been completed Auditor is satisfied that such advance is against the increase of capital.	-		
2.5 (a) Ti (b) B (c) Ri (d) Ti paid (e) A 2.6 Tota	Board of Directors of the company has approved the increase in capital Relevant Regulatory approvals have been obtained There is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increase in d up capital have been completed Auditor is satisfied that such advance is against the increase of capital. al Liabilites	545,615,870	55,000,001	490,615,870
2.5 (b) B (c) R (d) T paid (e) A (e) A (a) T paid (b) A (b) A (c)	Board of Directors of the company has approved the increase in capital Relevant Regulatory approvals have been obtained There is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increase in d up capital have been completed Auditor is satisfied that such advance is against the increase of capital. al Liabilites liabilities Relating to:	545,615,870	55,000,001	490,615,870
2.5 100% (a) Ti (b) B (c) Ri (d) T paid (e) A 2.6 Tota 3. Ranking Lia	Board of Directors of the company has approved the increase in capital Relevant Regulatory approvals have been obtained There is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increase in d up capital have been completed Auditor is satisfied that such advance is against the increase of capital. al Liabilites iabilities Relating to: increase in Margin Financing	545,615,870	55,000,001	490,615,870
2.5 (b) B (c) R (d) T paid (e) A 2.6 Tota 3. Ranking Lia 3.1 Conc	Board of Directors of the company has approved the increase in capital Relevant Regulatory approvals have been obtained There is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increase in d up capital have been completed Auditor is satisfied that such advance is against the increase of capital. al Liabilites iabilities Relating to: Incentration in Margin Financing In amount calculated client-to- client basis by which any amount receivable from any of the financees exceed 10% of the	545,615,870 -	55,000,001	490,615,870 -
2.5 (b) B (c) R (d) T paid (e) A Tota 3. Ranking Lia aggress a	Board of Directors of the company has approved the increase in capital Relevant Regulatory approvals have been obtained There is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increase in d up capital have been completed Auditor is satisfied that such advance is against the increase of capital. al Liabilites incentration in Margin Financing amount calculated client-to-client basis by which any amount receivable from any of the financees exceed 10% of the regate of amounts receivable from total financees.	545,615,870 -	55,000,001	490,615,870
2.5 (b) B (c) R (d) T paid (e) A Tota 3. Ranking Lia aggress a	Board of Directors of the company has approved the increase in capital Relevant Regulatory approvals have been obtained There is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increase in d up capital have been completed Auditor is satisfied that such advance is against the increase of capital. al Liabilites iabilities Relating to: Incentration in Margin Financing In amount calculated client-to- client basis by which any amount receivable from any of the financees exceed 10% of the	545,615,870 -	55,000,001	490,615,870
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2.5 (b) B (c) R (d) T paid (e) A 2.6 Tota 3. Ranking Lia aggree Conc	Board of Directors of the company has approved the increase in capital Relevant Regulatory approvals have been obtained There is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increase in dup capital have been completed Auditor is satisfied that such advance is against the increase of capital. al Liabilites liabilities Relating to: Incentration in Margin Financing In amount calculated client-to- client basis by which any amount receivable from any of the financees exceed 10% of the regate of amounts receivable from total financees. Incentration in securites lending and borrowing	545,615,870 -	55,000,001	490,615,870
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2.5 (i) Ar and a sign of the angle of the an	Board of Directors of the company has approved the increase in capital Relevant Regulatory approvals have been obtained There is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increase in dup capital have been completed Auditor is satisfied that such advance is against the increase of capital. al Liabilites inabilities Relating to: incentration in Margin Financing It amount calculated client-to-client basis by which any amount receivable from any of the financees exceed 10% of the regate of amounts receivable from total financees. Incentration in securites lending and borrowing It amount by which the aggregate of: It amount deposited by the borrower with NCCPL	545,615,870 - -	55,000,001	490,615,870
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2.5 (b) B (c) R (d) T (d) P (d	Board of Directors of the company has approved the increase in capital Relevant Regulatory approvals have been obtained There is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increase in d up capital have been completed Auditor is satisfied that such advance is against the increase of capital. al Liabilites albilites Relating to: centration in Margin Financing camount calculated client-to- client basis by which any amount receivable from any of the financees exceed 10% of the regate of amounts receivable from total financees. centration in securites lending and borrowing camount by which the aggregate of: camount deposited by the borrower with NCCPL Cash margins paid and The market value of securities pledged as margins exceed the 110% of the market value of shares borrowed cunderwriting Commitments in the case of right issue: if the market value of securities is less than or equal to the subscription price; aggregate of: the 50% of Haircut multiplied by the underwriting commitments and the value by which the underwriting commitments exceeds the market price of the securities.	545,615,870		490,615,870
2.5 (b) B (c) R (d) T paid (e) A 2.6 Tota 3. Ranking Lia aggres Conc The a aggres (ii) Ar (iii) C (iii) T (a) ir the a 3.3 (i) the a 3.3 (i) the a 3.3 (i) the a 3.3 (ii) the a 3.3 (ii) the a 3.3 (ii) the a 3.3 (ii) the a 3.3 (iii) the a 3.3 (iiii) the a 3.3 (iiii) the a 3.3 (iiiiiii) the a 3.3 (iiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiii	Board of Directors of the company has approved the increase in capital Relevant Regulatory approvals have been obtained There is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increase in d up capital have been completed Auditor is satisfied that such advance is against the increase of capital. al Liabilites abilities Relating to: centration in Margin Financing camount calculated client-to- client basis by which any amount receivable from any of the financees exceed 10% of the regate of amounts receivable from total financees. centration in securites lending and borrowing camount by which the aggregate of: comount deposited by the borrower with NCCPL Cash margins paid and The market value of securities pledged as margins exceed the 110% of the market value of shares borrowed cunderwriting Commitments in the case of right issuse: if the market value of securities is less than or equal to the subscription price; aggregate of: the 50% of Haircut multiplied by the underwriting commitments and the value by which the underwriting commitments exceeds the market price of the securities. the case of rights issuse where the market price of securities is greater than the subscription price, 5% of the Haircut litiplied by the net underwriting	545,615,870		490,615,870
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i. th 3.10 <u>cc</u> ii. ai	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 i. 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. Total Ranking Liabilites	15,179,488	15,179,488	-
i. th 3.10 cc	collateral after applying VAR based Haircuts i. Incase of proprietory positions, the market value of shares sold short in ready market and not yet settled increased by the	-	-	-
i. th	· · ·	-	-	-
	. Incase of customer positions, the market value of shares sold short in ready market on behalf of customers after increasing			
SI	Short sellI positions			
ii.	i. In case of proprietary positions , the total margin requirements in respect of open positions to the extent not already met	-	-	-
	. 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	15,179,488	15,179,488	-
0	Opening Positions in futures and options			
	f 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	-	-	-