

## Details of Regulatory Action

| S.# | Date      | Regulator | Regulatory Assessment          | Enforcement Order               |
|-----|-----------|-----------|--------------------------------|---------------------------------|
| 1   | 01-Nov-18 | PSX       | Clause 10.15 of PSX Regulation | Impose fine of PKR 12,500/-     |
| 2   | 01-Aug-19 | SECP      | AML Regulations                | Impose penalty of PKR 250,000/- |
| 3   | 10-Dec-21 | PSX       | Clause 19.5 of PSX Regulation  | Impose fine of PKR 32,000/-     |

P.S: Appeal has been filed in the Appellate Bench of SECP against order dated August 1, 2019.