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NOTICE TO CLIENTS OF STOCKBROKER FIRMS

Date: 24th April 2018

The existing clients of the 04 Stockbroker Firms set out below, whose trading activities have been prohibited due to non-compliance with Rule 5.1.1 and Rule 5.2.1 of the CSE Stockbroker Rules, who wish to transfer their securities portfolio/s to any other Stockbroker Firm/Custodian Bank of their choice are kindly requested to contact the respective Stockbroker Firms.

The following four (4) Stockbroker Firms have been prohibited from carrying out trading activities due to non-compliance with Rule 5.1.1 and Rule 5.2.1 of the Stockbroker Rules:

Stockbroker Firm	Broker ID	Effective Date	Reason
Nation Lanka Equities (Pvt.) Ltd.	COM	09 th October 2017	Non-Compliance with Minimum Capital Adequacy Requirements
		17 th April 2018	Non-Compliance with the Minimum Shareholders' Fund Requirement
Navara Securities (Pvt.) Ltd.	NWS	22 nd March 2018	Non-Compliance with Minimum Capital Adequacy Requirements
		17 th April 2018	Non-Compliance with the Minimum Shareholders' Fund Requirement
TKS Securities (Pvt.) Ltd.	TKS	17 th April 2018	Non-Compliance with the Minimum Shareholders' Fund Requirement
Claridge Stockbrokers (Pvt.) Ltd.	CSL	17 th April 2018	Non-Compliance with the Minimum Shareholders' Fund Requirement

The above Stockbroker Firms will be permitted to resume all trading activities no sooner the said Firms comply with the Minimum Capital Adequacy Requirements and Minimum Shareholders' Fund Requirement, as applicable.