# Liquid Capital Statement

for the month of 30-NOV-20

### of M/s. Hamza Farhad Securities (Pvt) Ltd.

Submission Date 15-DEC-2020 18:58:18

Page 1 Of 3

Assets  1. Assets 1. Property & Equipment 1. Property & Equipment 1. Enterprise Asset 1. Interprise Asset 1. Interprise Assets 1. Inter					
Property & Equipment   755,618   755,618   120,000   2,000,000	S.No.	Head of Account	Value in	Hair Cut/	Net Adjusted
Property & Equipment   Property & Equipment   Property & Equipment   Property   Proper			Pak Rupee	Adjustments	value
Property & Equipment   79,9818   799,918   1.51   Interpretation of Control Securities   2,500,000	1	Assets			
1.1   Internation Asset   2,990,000   2,990,000   1.1   Internation In Good, Securities	1.1		759,818	759,818	
Investment in Cect. Securities  If listed throm  If liste			The state of the s	· ·	
If Island them:			2,000,000	2,000,000	
Us of the Balance sheet value in the case of tenue upto 1 year.					
1.7% of the balance sheet value, in the case of ferror form 1-2 years.		If listed than:			
If Initised them:					
Full Interest of the betainers sheet value in the case of femule up to 1 year.					
1.10% of the balance sheet value in the case of fearure uptio 1 year.					
11.25% of the balance sheet value, in the case of tenue from 1-3 years					
Investment in Equity Securities  If listed 15% or Vas R or each securities on the outoff date as computed by the Securities Exchange for specicles securities whichever is higher.  If understand, 10% of carrying value.  If understand, 10% of carrying value is understand.  If understand, 10% of carrying value.  If understand, 10% of carrying value is understand.  If understand, 10% of carrying value is					
Filted 19% or Valid of each securities michely each securities inches escurities withchever's higher securities withchever's higher in the provided that share have not been alloted or are not included in the investments of securities tocker in the provided that share have not been alloted or are not included in the investments of securities tocker in the provided that share have not been alloted or are not included in the investments of securities tocker in the provided that share have not been alloted or are not included in the investments of securities tocker in the are in filted. Freeze or Pledge status as on reporting date, (UN) 19, 201)   Provided that 100% halvout shall not be applied in case of investment in those socurities which are pledged in favor of Banks against shart leven financing drangements, in such cases, the halvout as provided in favor of Banks against shart leven financing drangements in such cases, the halvout as provided in favor of Banks against shart leven financing drangements, in such cases, the halvout as provided in favor of Banks against shart leven financing drangements, in such cases, the halvout as provided in favor of Banks against shart leven financing drangements in such cases, the halvout as provided in favor of Banks against shart leven financing drangements, in such cases, the halvout as provided in favor of Banks against shart leven financing drangements in such cases, the halvout as provided in favor of Banks against shart leven financing drangements in such cases, the halvout as a such					
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If furthed, 10% of camping value.   32,819,238   32,819			1,900,926	285,139	1,615,787
III Subscription money against investment in IPODIFFE for Sale. Amount paid as subscription money			32.819.235	32.819.235	
in 100% Haircut shall be applied to Value of Investment in any asset including shares of flieted securities that are in Block, Flerees or Pelegia shatus as on reporting data (Light 9, 2017). Provided that 100% haircut shall not be applied in case of Investment in those securities which are provided that 100% haircut shall not be applied in case of Investment in those securities which are should be applied in case of Investment in subsidiaries.  1.1 Investment in subsidiaries.  1.2 Investment in subsidiaries.  1.3 Investment in subsidiaries.  1.4 Investment in subsidiaries are computed by the Securities Exchange (Fotespective securities whichever is higher.  1.6 If it into d. 70% or VAR of each securities as computed by the Securities Exchange for respective securities whichever is higher.  1.6 If it into the 100% of net value.  1.7 Into the 100% of the 100%			,-,-,	5=,010,=00	
that are in Block, Freeze or Fledge status as on reporting date. (July 19, 2017) Provided that 10th hateut shall not be applied in case of investment in those securities which are Pledged in favor of Stock Exchange (Clearing House against Margin Flanancing requirements or pledged in favor of Stock Exchange (Clearing House against Margin Flanancing requirements or pledged in favor of Stock Exchange (Clearing House against Margin Flanancing requirements or pledged in favor of Stanks against Short from financing arrangements. It such cases, the haterul as provided in schedule III of the Regulations in respect of rivestment in associated companished shall be applicable.  1.1. 1.1. 1.1. 1.1. 1.1. 2.1. 2.1. 3.1. 3		provided that shares have not been alloted or are not included in the investments of securities broker.			
Provided that 10% haltcut shall not be applied in case of investment in those securities which are Pledged in favor of Banks against Short Term financing arrangements or piedged in favor of Banks against Short Term financing arrangements. In such cases, the haltcut as provided in should list the Requisitions in respect of investment in subdidates.  1. Investment in subdidates  1. Investment					
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schedule III of the Regulations in respect of investment in securities shall be applicable (August 25, 2017)  Investment in associated companies undertaking Lif listed 20% of VaR of each securities as computed by the Securites Exchange for respective securities whichever is higher. Lif listed 20% of VaR of each securities as computed by the Securities Exchange for respective securities whichever is higher. Lif listed 20% of VaR of each securities as computed by the Securities Exchange for respective securities whichever is higher. Lif listed 20% of VaR of each securities as computed by the Securities Exchange for respective securities whichever is higher. Lif listed 20% of VaR of each securities are computed by the Statutory or regulatory deposits shall be exchanges, clearing house or central depository or any other entity.  Margin deposits with exchange and clearing house.  1.10 Margin deposits with exchange and clearing house.  4.646,556  4.646,556  5.10 Alexander of the Securities of the Securities and clear the Securities exclusive securities exclusive exclusive		Pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged			
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Investment in associated companies undertaking   If listed 20% or Vale of each securities as computed by the Securites Exchange for respective securities   If united. 100% of net value.	1.6				
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1.16 Receivables from clearing house or securities exchange(s) i. 100% value of claims other than those on account of entitlements against trading of securities in all markets including MtM gains. ii. Receivable on entitlements against trading of securities in all markets including MtM gains.  2,275,094 0 2,275,095  1.17 Receivables from customers 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. iii. Net amount after deducting haircut iii. Incase receivables are against securities borrowings under SLB, the amount paid to NCCPL as collateral upon entering into contract, iii. Net amount after deducting haircut iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. 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 customer and (iii) the market value of securities held as collateral after applying VAR based haircut in the case of amount receivable form related parties.  1.18 Cash and Bank balances i. Bank Balance-proprietory accounts ii. Bank balance-customer accounts  1,305,021 0 1,305,021		<u></u>			
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collateral upon entering into 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. 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 customer and (iii) the market value of securities held as collateral after applying VAR based haircuts. vi. 100% haircut in the case of amount receivable form related parties.  1.18 Cash and Bank balances i. Bank Balance-proprietory accounts ii. Bank balance-customer accounts 1,305,021 0 1,305,021					
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iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value.  v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market  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 customer and (iii) the market value of securities held as collateral after applying VAR based haircuts.  vi. 100% haircut in the case of amount receivable form related parties.  1.18  Cash and Bank balances  i. Bank Balance-proprietory accounts  7,128  0  7,128  1,305,021  1,305,021		1 3			
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 customer and (iii) the market value of securities held as collateral after applying VAR based haircuts.  vi. 100% haircut in the case of amount receivable form related parties.  Cash and Bank balances  i. Bank Balance-proprietory accounts  7,128  0  7,152,757  7,152,75  7,152,757  7,152,757  7,152,757  7,152,757  7,152,757  7,152,75  7,152,757  7,152,757  7,152,757  7,152,757  7,152,757  7,152,75		iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value.	5,969	0	5,969
value of securities purchased for customers and held in sub-accounts after applying VAR based haircuts, (ii) cash deposited as collateral by the respective customer and (iii) the market value of securities held as collateral after applying VAR based haircuts.  vi. 100% haircut in the case of amount receivable form related parties.  Cash and Bank balances i. Bank Balance-proprietory accounts vi. 100% haircut in the case of amount receivable form related parties.  1.18 Cash and Bank balances i. Bank balance-customer accounts 1,128 0 7,128 0 7,128 1,305,021 0 1,305,021			40 740 500	7 150 757	7 150 75
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securities held as collateral after applying VaR based haircuts.  vi. 100% haircut in the case of amount receivable form related parties.  1.18 Cash and Bank balances i. Bank Balance-proprietory accounts ii. Bank balance-customer accounts 1,305,021  Cash and Bank balances 1,128  Cash and Bank balances 1,1					
1.18       Cash and Bank balances         i. Bank Balance-proprietory accounts       7,128       0       7,12         ii. Bank balance-customer accounts       1,305,021       0       1,305,02		securities held as collateral after applying VaR based haircuts.			
i. Bank Balance-proprietory accounts       7,128       0       7,128         ii. Bank balance-customer accounts       1,305,021       0       1,305,021	1 10				
ii. Bank balance-customer accounts 1,305,021 0 1,305,02	1.18		7.100	_	7.100
		iii. Cash in hand	6,317		

# Liquid Capital Statement

for the month of 30-NOV-20

### of M/s. Hamza Farhad Securities (Pvt) Ltd.

Submission Date 15-DEC-2020 18:58:18

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S.No.	Head of Account	Value in Pak Rupee	Hair Cut/ Adjustments	Net Adjusted Value
1.19	Total Assets	95,974,572	43,516,949	17,014,629
2	Liabilities			
2.1	Trade Payables			
	i. Payable to exchanges and clearing house			
	ii. Payable against leveraged market products			
2.2	iii. Payable to customers	6,309,054	0	6,309,054
2.2	Current Liabilities			
	i. Statutory and regulatory dues ii. Accruals and other payables			
	iii. Short-term borrowings			
	iv. Current portion of subordinated loans			
	v. Current portion of long term liabilities			
	vi. Deferred Liabilities vii. Provision for bad debts			
	viii. Provision for taxation			
2.3	ix. Other liabilities as per accounting principles and included in the financial statements  Non-Current Liabilities	987,339	0	987,339
	i. Long-Term financing a. Long-Term financing obtained from financial instituion: Long term portion of financing obtained from a financial institution including amount due against finance lease b. Other long-term financing			
	ii. Staff retirement benefits iii. Advance against shares for Increase in Capital of Securities broker: 100% haircut may be allowed in			
	respect of advance against shares if: a. The existing authorized share capital allows the proposed enhanced share capital b. Boad of Directors of the company has approved the increase in capital c. Relevant Regulatory approvals have been obtained			
	d. There is no unreasonable delay in issue of shares against advance and all regulatory requirements relating to the increase in paid up capital have been completed.  e. Auditor is satisfied that such advance is against the increase of capital.  iv. Other liabilities as per accounting principles and included in the financial statements			
2.4	Subordinated Loans			
	i. 100% of Subordinated loans which fulfill the conditions specified by SECP are allowed to be deducted: The Schedule III provides that 100% haircut will be allowed against subordinated Loans which fulfill the conditions specified by SECP. In this regard, following conditions are specified:  a. Loan agreement must be executed on stamp paper and must clearly reflect the amount to be repaid after 12 months of reporting period  b. No haircut will be allowed against short term portion which is repayable within next 12 months.  c. In case of early repayment of loan, adjustment shall be made to the Liquid Capital and revised Liquid Capital statement must be submitted to exchange.  ii. Subordinated loans which do not fulfill the conditions specified by SECP	3,800,000	3,800,000	
2.5	Total Liabilites	11,096,393	3,800,000	7,296,393
3	Ranking Liabilities Relating to :	,,,,,,,,	-,,	,,
3.1	Concentration in Margin Financing			
	The amount calculated client-to- client basis by which any amount receivable from any of the			
	financees exceed 10% of the aggregate of amounts receivable from total financees.			
3.2	Concentration in securites lending and borrowing			
	The amount by which the aggregate of: (i) Amount deposited by the borrower with NCCPL (ii) Cash margins paid and			
	(iii) The market value of securities pledged as margins exceed the 110% of the market value of shares borrowed			
3.3	Net underwriting Commitments			
	(a) in the case of right issuse: if the market value of securites is less than or equal to the subscription price; the aggregate of:			
	(i) the 50% of Haircut multiplied by the underwriting commitments and (ii) the value by which the underwriting commitments exceeds the market price of the securities.  In the case of rights issuse where the market price of securities is greater than the subscription price, 5% of			
	the Haircut multiplied by the net underwriting (b) in any other case : 12.5% of the net underwriting commitments			
3.4	Negative equity of subsidiary  The amount by which the total assets of the subsidiary (excluding any amount due from the subsidiary)  exceed the total liabilities of the subsidiary			
3.5	Foreign exchange agreements and foreign currency positions			
	5% of the net position in foreign currency. Net position in foreign currency means the difference of total assets denominated in foreign currency less total liabilities denominated in foreign currency			
3.6	Amount Payable under REPO			
3.7	Repo adjustment			

# Liquid Capital Statement

for the month of 30-NOV-20

## of Ms. Hamza Farhad Securities (Pvt) Ltd.

Submission Date 15-DEC-2020 18:58:18

Page 3 Of 3

S.No.	Head of Account	Value in Pak Rupee	Hair Cut/ Adjustments	Net Adjusted Value
	In the case of financier/purchaser the total amount receivable under Repo less the 110% of the market value of underlying securites.  In the case of financee&eller the market value of underlying securities after applying haircut less the total amount received ,less value of any securites deposited as collateral by the purchaser after applying haircut less any cash deposited by the purchaser.			
3.8	Concentrated proprietary positions  If 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	0	27,498	27,498
3.9	Opening Positions in futures and options i. 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 ii. In case of proprietary positions, the total margin requirements in respect of open positions to the extent not already met			
3.10	Short sellI positions i. Incase of customer positions, the market value of shares sold short in ready market on behalf of customers after increasing 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 ii. 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.			
3.11 3.12	Total Ranking Liabilites Liquid Capital	0 84,878,179	2.,.00	27,498 9,690,738