## Schedule III

Schedule III

[see regulation 6(4)]

Monthly statements of liquid capital with the Commission and the securities exchange

ABA ALI HABIB SECURITIES (PVT) LIMITED

Computation of Liquid Capital

As on September 30, 2024

S. No.	Head of Account	Value in Pak Rupees	Hair Cut / Adjustments	Net Adjusted Value
L. Assets 1.1		20 409 790	30,408,789	
1.2	Property & Equipment Intangible Assets	30,408,789 2,500,000	2,500,000	
	Investment in Govt. Securities (Difference between book value and sale value on the date on the basis of	2,300,000	2,300,000	
1.3	PKRV published by NIFT)			
	Investment in debt securities			
	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.	-	-	-
1.4	iii. 10% of the balance sheet value, in the case of tenure of more than 3 years.  If unlisted than:	-	-	-
	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.	_		
	iii. 15% of the balance sheet value, in the case of tenure of more than 3 years.	75,000,000	11,250,000.00	63,750,000
	Investment in Equity Securities	.,,	, ,	,
	i. If listed 15% or VaR of each securities on the cutoff date as computed by the Securities Exchange for	050 057 405	463 540 045	606 447 450
	respective securities whichever is higher. (100% of BMC Shares)	858,957,195	162,510,045	696,447,150
1.5	ii. Provided that if any of these securities are pledged with the securities exchange for base minimum capital			
	requirenment, 100% haircut on the value of eligible securities to the extent of minimum required value of	44,089,339	44,089,339	-
	Base minimum capital.			
	iii. If unlisted, 100% of carrying value.	8,439,750	8,439,750	-
1.6	Investment in subsidiaries	-	-	-
	Investment in associated companies/undertaking			
1.7	i. If listed 20% or VaR of each securities as computed by the Securites Exchange for respective securities			
	whichever is higher.			
	ii. If unlisted, 100% of net value.	-	-	-
1.8	(i) 100% of net value, however any excess amount of cash deposited with securities exchange to comply with requirenments of base minimum capital may be taken in the calculation of LC	2,185,000	2,185,000	-
1.9	Margin deposits with exchange and clearing house. (Nil)			
1.10	Deposit with authorized intermediary against borrowed securities under SLB. (Nil)	_	_	
1.11	Other deposits and prepayments	_	-	_
	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	-	-	-
1.13	Dividends receivables. (Nil)	-	-	-
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 the investments.)			
	Advances and Receivables other than trade receivables			
	1. No Haircut may be applied on the short term loan to employees provided these loans are secured and	4 210 202	_	4 216 262
1.15	due for repayment within 12 months	4,316,262	-	4,316,262
	2. No Haircut may be applied to the advance tax to the extent it is netted with provision of taxation	139,863,645	6,000,000	133,863,645
	3. In all other cases, 100% of net value	-	-	-
1.16	Receivables from clearing house or securities exchange(s)  100% value of claims other than those on account of entitlements against trading of securities in all markets			
1.10	including MtM gains.	-	-	-
	Receivables from customers			
	i. In case receivables are against margin financing, the aggregate of (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.	11,311,019	(2,141,050)	13,452,069
	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.  ii. Net amount after deducting haircut	1,076,898,913	53,844,946	1,023,053,967
	iii. Incase receivalbes are against securities borrowings under SLB, the amount paid to NCCPL as 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.	6,622,583		6,622,583
	iv. Balance sheet value	0,022,303		5,022,365
1.17				
	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	6,959,832	1,043,975	5,915,858
	after applying VaR based haircuts.	0,555,632	1,043,373	3,313,830
	v. Lower of net balance sheet value or value determined through adjustments			
	v. Lower of net bulance sheet value or value determined through adjustments			

Learning Stands Basiness  1.1.1.291  1.1.1.292  1.1.1.293  1.1.2.203  1.1.2.2		vi. In the case of amount of receivable form related parties, values determined after applying applicable haircuts on underlying securities readily available in respective CDS account of the related party in the following manner:  a. Up to 30 days, values determined after applying VaR based haircuts; b. Above 30 days but upto 90 days, values determined after applying 50% or VaR based haircuts whichever is higher; c. Above 90 days, 100% haircut shall be applicable. Lower of vi. Net balance sheet values or values determined through adjustments.	12,321	12,321	-
Subscription money against investment in IPO/ offer for sale (asset) harbort may be applied in respect of amount paid as subscription money provided that shares have not been allotted or an or included in the investments of securities broker.  119 Lin case of investments in IPO where shares have been allotted but not yet restleted in COS account, 25% Lin case of investments in IPO where shares have been allotted but not yet restleted in COS account, 15% or Volk based hairout whichever is sigher, will be agailed on light shares.  12 Total Assets  12 Total Assets  13 Total Assets  14 Fayable to customers  15 Fayable to customers  15 Fayable to customers  16 Fayable to customers  17 Statistics  18 Fayable to customers  19 Statistics  10 Statistics	1.18			-	
nivorum may be applied in respect of amount paid as subscription money provided that shares have not been allotted or are not included in the restrements of securities booker.  1.19 Illin case of investments in PD where shares have been allotted but not yet coretion in right shares where the shares have not yet been credited in CDS account, 15% harrous where the shares have not yet been credited in CDS account, 15% or Valt based halrout whichever is higher, will be applied on high theres.  1.20 Total Askets  2.125,569,002 320,143,115 2,005,425,918 2.125,143,145 2,005,425,918 2.125,144,145 2,005,445,918 2.125,144,145 2,005,445,918 2.125,144,145 2,005,445,918 2.125,144,145 2,005,445,918 2.125,144,145 2,005,445,918 2.125,144,145 2,005,445,918 2.125,144,145 2,005,445,918 2.125,144,145 2,005,445,918 2.125,144,145 2,005,445,918 2.125,144,145 2,005,445,918 2.125,144,145 2,005,445,918 2.125,144,145 2,005,445,918 2.125,144,145 2,005,445,918 2.125,144,145 2,005,445,918 2.125,144,145 2,005,445,918 2.125,145 2,005,445,918 2.125,145 2,005,445,918 2.125,145 2,005,445,918 2.125,145 2,005,445,918 2.125,145 2,005,445,918 2.125,145 2,005,445,918 2.125,145 2,005,445,918 2.125,145 2,005,445,918 2.125,145 2,005,445,918 2.125,145 2,005,445,918 2.125,145 2,005,445,918 2.125,145 2,005,445,918 2.125,145 2.125,		iii. Cash in hand	383,879	-	383,879
Table Payables		haircut may be applied in respect of amount paid as subscription money provided that shares have not been allotted or are not included in the investments of securities broker.  ii.In case of investments in IPO where shares have been allotted but not yet credited in CDS account, 25% haircuts will be applicable on the value of such securities.  iii. In case of subscription in right shares where the shares have not yet been credited in CDS account, 15% or VaR based haircut whichever is higher, will be applied on Right shares.			
Trade Payables  1. Enyable against leveraged market products  2. Eny			2,325,569,032	320,143,115	2,005,425,918
2.1 E-Payable to exchanges and cleaning house  1. E-Payable to customers  Current Liabilities  1. Exposite to customers  1	2. Liabilit	-	Т	Т	
Li Payable against leveraged market products  Ii. Payable against leveraged market products  Iii. Payable to customers  94,440,491  1. Statutory dues  1. Statutory and regulatory dues  1. Statutory on the subordinated leans  1. Current portion of subordinated leans  1. Current portion of ong term liabilities  1. Statutory portion of long term liabilities  1. Statutory on the statutory of the st	1	•			
ii. Payable to customers    Gurrent Liabilities   94,440,493   94,440,493   94,440,493     ii. Accrusing and gregolatory dues   725,875,316   725,875,316   725,875,316   135,467,261   135,467,261   135,467,261   135,467,261   135,467,261   135,467,261   135,467,261   135,467,261   135,467,261   135,467,261   135,467,261   135,467,261   135,467,261   135,467,261   137,362   187,362	2.1		-	-	-
ListInternational Content Liabilities   Li	1		94 440 491		94 440 491
I. Statutory and regulatory dues II. Accrusing and other payables III. Short-term borrowings III. Long-Term financing III. Long-Ter		,	34,440,431		34,440,431
iii. Accruals and other payables iii. Short term borrowing iii. Short term loabilities vi. Deferred Liabilities vi. Deferred Liabilities vi. Deferred Liabilities vi. Provision for bad debts vii. Provision for bad debts viii. Provision for bad bad bad bad for bad bad included in the financial statements (Nii) viii. Viii. Viii. Provision for bad bad bad bad bad bad for bad bad bad bad bad bad bad bad for bad	1				
III. Short-term brorowings   135,467,261   135,467,261   135,467,261			725,875,316		725,875.316
2.2 In. Current portion of subordinated loans  V. Deferred Liabilities  V. Long-Term Financing  In Jone allowed against long term portion of financing obtained from a financial institution including  Manual due against finance leases.  V. Subordinated Loans  V. Deferred Liabilities as per accounting principles and included in the financial statements (Nii)  V. Subordinated Loans  V. Deferred Liabilities as per accounting principles and included in the financial statements (Nii)  V. Subordinated Loans  V. Subordina					
V. Current portion of long term liabilities V. Defered Liabilities	l		, . , .		
vi. Deferred Liabilities vii. Provision for bad debts vii. Provision for taxation vi. Other (Liabilities as per accounting principles and included in the financial statements viii. Provision for taxation viii. Other (Liabilities as per accounting principles and included in the financial statements viii. Long-rem financing viii. Long-rem financing viii. Long-rem financing viii. Viii	2.2				
vii. Provision for taxation			187,362		187,362
is. Other liabilities as per accounting principles and included in the financial statements  Non-Current Liabilities  1. Long-Term financing may be allowed against long term portion of financing obtained from a financial institution including may be allowed against finance leases.  1. Staff retirement benefits (Nii) 1. Other liabilities as per accounting principles and included in the financial statements (Nii) 2.4 Subordinated Loans  2.4 100% of Subordinated loans which fulfill the conditions specified by SECP are allowed to be deducted  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 (d) The resisting authorized share capital allows the proposed enhanced share capital (d) There is no unresonable 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.  2.6 Total Labilities  2.7 Total Labilities  2.8 Toroul Labilities  3.8 Ranking Labilities Relating to:  Concentration in Margin Financing  The amount calculated client-to-client basis by which any amount receivable from any of the financees all exceed 30% of the aggregate of amounts receivable from total financees. (Provided that above prescribed adjustments shall not be applicable where the aggregate amount of receivable against margin financing does not exceed 8.5 million.  Concentration in Margin Financing  The amount by which the aggregate of: (i) Amount deposited by the borrower with NCCL  3.2 (ii) Cash margins paid and (iii) The market value of securities pledged as margins exceed the 110% of the market value of shares borrowed  Note: Only amount deposited by the borrower with NCCL  3.3 (ii) Hos Nos of Haircut multiplied by the underwriting commitments and (ii) the walve by which the underwriting commitments succeeds the market		vii. Provision for bad debts			·
Non-Current Liabilities Li Long-Term financing may be allowed against long term portion of financing obtained from a financial institution including amount due against finance leases.  Ill Staff retirement benefits (Nil)  III. Other liabilities as per accounting principles and included in the financial statements (Nil)  Subordinated Loans  2.4  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 (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.  2.6 Total Liabilities  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. (Provided that above prescribed adjustments shall not be applicable where the aggregate amount of receivable against margin financing does not exceed 8.5 million.  Concentration in Securities lending and borrowing  The amount deposited by the borrower with NCCPL  (i) Cannount deposited by the borrower with NCCPL  (ii) Cash margins paid and (iii) The market value of securities lending and borrowing  The amount by which the aggregate of:  (i) Annount deposited by the borrower with NCCPL  (ii) Cash margins paid and (iii) The market value of securities lending and borrowing  The amount by which the underwriting commitments and (ii) the walket place of right issues: if the market value of securities is less than or equal to the subscription price, the aggregate of:  (ii) The So% of Haircut multiplied by the underwriting commitments and (ii) the value by which the underwriting commitments exceeds the market price of the securities is gre		viii. Provision for taxation			
Long-Term financing may be allowed against long term portion of financing obtained from a financial institution including amount due against finance leases. II. Staff retirement benefits (Nii) III. Other liabilities as per accounting principles and included in the financial statements (Nii)  Subordinated Loans 100% of Subordinated loans which fulfill the conditions specified by SECP are allowed to be deducted  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) Board of Directors of the company has approved the increase in capital (c) Refevant 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.  2.6 Total Liabilities  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. (Provided that above prescribed adjustments shall not be applicable where the aggregate amount of receivable against margin financing does not exceed 8.5 million.  Concentration in securities 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 Note: Only amount exceeding by 110% of each borrower from market value of securities is less than or equal to the subscription price, the aggregate of: (ii) the value by which the underwriting commitments and (iii) the value by which the underwriting commitments and (iii) the value by which the underwriting commitments and (ii) the value by which the underwriting		ix. Other liabilities as per accounting principles and included in the financial statements			
amay be allowed against finance leases.    Issuff retirement benefits (Nil)		Non-Current Liabilities			
amount due against finance leases. i. Staff retirement benefits (NiI) iii. Other liabilities as per accounting principles and included in the financial statements (NiI)  2.4 100% of Subordinated Loans 100% of Subordinated loans which fulfill the conditions specified by SECP are allowed to be deducted  4. Advance against shares for increase in capital of securities broker 100% infarriuct may be allowed in respect of advance against shares if: (a) The existing authorized share capital allows the proposed enhanced share capital (b) Board of Directors of the company has approved the increase in capital (c) Relevant Regulatory approvals have been obtained (d) There is no uncreasonable 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.  2.6 Total Liabilities  Concentration in Margin Financing The amount calculated client-to-client basis by which any amount receivable from any of the financees adjustments shall not be applicable where the aggregate amount of receivable against margin financing does not exceed 10% of the aggregate of amounts receivable from total financees. (Provided that above prescribed adjustments shall not be applicable where the aggregate amount of receivable against margin financing does not exceed Rs. 5 million.  Concentration in securities 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 is less than or equal to the subscription price, the aggregate of: (ii) Amount deposited by the borrower from market value of securities is less than or equal to the subscription price, the aggregate of: (ii) the So% of flabt issue_i if the market value of securities is less than or equal to the subscription price, the aggregate of: (ii) the value by which the underwriting commitments and (ii) the value by which the underwritin		i. Long-Term financing 100% haircut			
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iii. Other liabilities as per accounting principles and included in the financial statements (NiI)  2.4 Subordinated Loans 100% of Subordinated loans which fulfill the conditions specified by SECP are allowed to be deducted  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) Board 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.  2.6 Total Liabilities  Concentration in Margin Financing The amount calculated client-to-client basis by which any amount receivable from any of the financess  3.1 exceed 10% of the aggregate of amounts receivable from total financeses. (Provided that above prescribed adjustments shall not be applicable where the aggregate amount of receivable against margin financing  Concentration in securities 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  Note: Only amount exceeding by 110% of each borrower from market value of shares borrowed shall be included in the ranking liabilities.  Net underwriting Commitments  4.3.1 (ii) the case of right issues; if the market value of securities is less than or equal to the subscription price, the aggregate of: (ii) the 50% of Haircut multiplied by the underwriting commitments and (iii) the received of the subscription price, the aggregate of: (ii) the case of rights issues where the market price of securities is greater than the subscription price, 5% of	2.3	amount due against finance leases.			
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2.4 100% of Subordinated loans which fulfill the conditions specified by SECP are allowed to be deducted  Advance against shares for increase in capital of securities broker 100% Haircut may be allowed in respect of advance against shares if: 2.5 (a) The existing authorized share capital allows the proposed enhanced share capital (c) Relevant Regulatory approvals have been obtained (d) There is no uncreasonable 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.  2.6 Total Liabilities  Septimental 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. (Provided that above prescribed adjustments shall not be applicable where the aggregate amount of receivable against margin financing does not exceed Rs. 5 million.  Concentration in securities lending and borrowing The 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  Note: Only amount exceeding by 110% of each borrower from market value of shares borrowed from market value of shares borrowed shall be included in the ranking liabilities.  Net underwriting Commitments    A   In the case of right issuse: If the market value of securities 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 are securities is greater than the subscription price, 5% of		iii. Other liabilities as per accounting principles and included in the financial statements (Nii)			
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In the case of rights issuse where the market price of securities is greater than the subscription price, 5% of	3.3				
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	I	. ,			

	(b) in any other case: 12.5% of the net underwriting commitments				
	Negative equity of subsidiary		•	•	
3.4	The amount by which the total assets of the subsidiary (excluding any amount due from the subsidiary)				
	exceed the total liabilities of the subsidiary				
	Foreign exchange agreements and foreign currency positions				
3.5	5% of the net position in foreign currency. Net position in foreign currency means the difference of total				
	assets denominated in foreign cuurency less total liabilities denominated in foreign currency				
	, , , ,				
3.6	Amount Payable under REPO				
	Repo adjustment		I	<u> </u>	
	In the case of financier/purchaser the total amount receivable under Repo less the 110% of the market				
3.7	value of underlying securites.				
3.7	In the case of financee/seller 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.				
	Concentrated proprietary positions		!		
3.8	If the market value of any security is between 25% and 51% of the total proprietary positions then 5% of the				
3.6	value of such security .If the market of a security exceeds 51% of the proprietary position,then 10% of the		-	-	
	value of such security				
	Opening Positions in futures and options				
	i. In case of customer positions, the total margin requiremnets in respect of open postions less the amount				
3.9	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 Short selli positions				
	Short sell positions		I	I	
	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				
3.10	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	Total Ranking Liabilites	6,190,582		6,190,582	

## Calculations Summary of Liquid Capital

(i) Adjusted value of Assets (serial number 1.20)

(ii) Less: Adjusted value of liabilities (serial number 2.6)

(iii) Less: Total ranking liabilities (series number 3.11)

Note: Commission may issue guidelines and clarifications in respect of the treatment of any component of Liquid Capital including any

2,005,425,918 (955,970,429)

(6,190,582) **1,043,264,907**