



# Liquid Capital Statement

for 31 JAN 2022

140 M.M. Securities (Private) Limited

Submission Date: 10-Feb-2022 16:56:53

Statement ID: 1224  
 Notice ID: 9788  
 Compliance Officer : Syed Muhammad Rehan  
 Company Secretary: Madiha Moulvi

Sno	Head of Account	Value in Pak Rupees	Hair Cut / Adjustments	Net Adjusted Value
	<b>Assets</b>			
1.1	Property & Equipment	2,431,067	2,431,067	0
1.2	Intangible Assets	2,990,000	2,990,000	0
1.3	Investment in Govt. Securities	0	0	0
1.4.1.1	i. 5% of the balance sheet value in the case of tenure upto 1 year.	0	0	0
1.4.1.2	ii. 7.5% of the balance sheet value, in the case of tenure from 1-3 years.	0	0	0
1.4.1.3	iii. 10% of the balance sheet value, in the case of tenure of more than 3 years.	0	0	0
1.4.2.1	i. 10% of the balance sheet value in the case of tenure upto 1 year.	0	0	0
1.4.2.2	ii. 12.5% of the balance sheet value, in the case of tenure from 1-3 years.	0	0	0
1.4.2.3	iii. 15% of the balance sheet value, in the case of tenure of more than 3 years.	0	0	0
1.5.1	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.	15,626,628	2,353,850	13,272,778
1.5.2	ii. If unlisted, 100% of carrying value.	39,616,541	39,616,541	0
1.5.3	iii. Subscription money against Investment in IPO/ offer for Sale: Amount paid as subscription money provided that shares have not been allotted or are not included in the investments of securities broker.	0	0	0



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1.5.4	iv.100% Haircut shall be applied to Value of Investment in any asset including shares of listed securities that are in Block, Freeze or Pledge status as on reporting date. (July 19, 217) Provided that 100% haircut shall not be applied in case of investment in those securities which are Pledged in favor of Stock Exchange / Clearing House against Margin Financing requirements or pledged in favor of Banks against Short Term financing arrangements. In such cases, the haircut as provided in schedule III of the Regulations in respect of investment in securities shall be applicable (August 25, 217)	0	0	0
1.6	Investment in subsidiaries	0	0	0
1.7.1	i. If listed 20% or VaR of each securities as computed by the Securites Exchange for respective securities whichever is higher.	0	0	0
1.7.2	ii. If unlisted, 100% of net value.	0	0	0
1.8	Statutory or regulatory deposits/basic deposits with the exchanges, clearing house or central depository or any other entity.	7,400,315	7,400,315	0
1.9	Margin deposits with exchange and clearing house.	27,250,000	0	27,250,000
1.10	Deposit with authorized intermediary against borrowed securities under SLB.	0	0	0
1.11	Other deposits and prepayments	0	0	0
1.12	Accrued interest, profit or mark-up on amounts placed with financial institutions or debt securities etc.(Nil)	0	0	0



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1.12.1	100% in respect of markup accrued on loans to directors, subsidiaries and other related parties	0	0	0
1.13	Dividends receivables.	0	0	0
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.)	0	0	0
1.15	i. Short Term Loan To Employees: Loans are Secured and Due for repayment within 12 months	24,833	0	24,833
1.15.1	ii. Receivables other than trade receivables	586,768	586,768	0
1.15.2	iii. Advance tax to the extent it is netted with provision of taxation	0	0	0
1.16.1	i. 100% value of claims other than those on account of entitlements against trading of securities in all markets including MtM gains.	0	0	0
1.16.2	ii. Receivable on entitlements against trading of securities in all markets including MtM gains.	0	0	0
1.17.1	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.	0	0	0



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1.17.2	ii. Incase receivables are against margin trading, 5% of the net balance sheet value. ii. Net amount after deducting haircut	0	0	0
1.17.3	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	0	0	0
1.17.4	iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. iv. Balance sheet value	395,263	0	395,263
1.17.5	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.	17,920,864	5,055,188	12,865,676
1.17.6	vi. 100% haircut in the case of amount receivable form related parties.	0	0	0
1.18.1	i. Bank Balance-proprietary accounts	840,555	0	840,555
1.18.2	ii. Bank balance-customer accounts	14,566,223	0	14,566,223
1.18.3	iii. Cash in hand	9,529	0	9,529
	<b>Total Assets</b>	<b>129,658,586</b>	<b>60,433,729</b>	<b>69,224,857</b>
	<b>Liabilities</b>			
2.1.1	i. Payable to exchanges and clearing house	0	0	0
2.1.2	ii. Payable against leveraged market products	0	0	0
2.1.3	iii. Payable to customers	13,941,250	0	13,941,250



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2.2.1	i. Statutory and regulatory dues	0	0	0
2.2.2	ii. Accruals and other payables	598,854	0	598,854
2.2.3	iii. Short.term borrowings	0	0	0
2.2.4	iv. Current portion of subordinated loans	0	0	0
2.2.5	v. Current portion of long term liabilities	0	0	0
2.2.6	vi. Deferred Liabilities	0	0	0
2.2.7	vii. Provision for bad debts	0	0	0
2.2.8	viii. Provision for taxation	0	0	0
2.2.9	ix. Other liabilities as per accounting principles and included in the financial statements	662,063	0	662,063
2.3.1.1	a. Long-Term financing obtained from financial institution: Long term portion of financing obtained from a financial institution including amount due against finance lease	0	0	0
2.3.1.2	b. Other long-term financing	0	0	0
2.3.2	ii. Staff retirement benefits	2,714,707	0	2,714,707



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2.3.3	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.	0	0	0
2.3.4	iv. Other liabilities as per accounting principles and included in the financial statements	0	0	0



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2.4.1	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.	0	0	0
2.4.2	ii. Subordinated loans which do not fulfill the conditions specified by SECP	0	0	0
2.5.1	a) The existing authorized share capital allows the proposed enhanced share capital	0	0	0
2.5.2	b) Board of Directors of the company has approved the increase in capital	0	0	0
2.5.3	c) Relevant Regulatory approvals have been obtained	0	0	0
2.5.4	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	0	0	0
2.5.5	e) Auditor is satisfied that such advance is against the increase of capital	0	0	0



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	<b>Total Liabilities</b>	<b>17,916,874</b>	<b>0</b>	<b>17,916,874</b>
	<b>Ranking Liabilities Relating to</b>			
3.1.1	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.	0	0	0
3.2.1	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	0	0	0
3.3.1	(a) in the case of right issue : 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 exceeds the market price of the securities. In the case of rights issue where the market price of securities is greater than the subscription price, 5% of the Haircut multiplied by the net underwriting	0	0	0
3.3.2	(b) in any other case : 12.5% of the net underwriting commitments	0	0	0
3.4.1	The amount by which the total assets of the subsidiary ( excluding any amount due from the subsidiary) exceed the total liabilities of the subsidiary	0	0	0





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3.5.1	5% of the net position in foreign currency.Net position in foreign currency means the difference of total assets denominated in foreign cuurrency less total liabilities denominated in foreign currency	0	0	0
3.6	Amount Payable under REPO	0	0	0
3.7	Repo adjustment	0	0	0
3.7.1	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/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.	0	0	0
3.8.1	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	4,302,077	4,302,077
3.9.1	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	0	0	0
3.9.2	ii. In case of proprietary positions , the total margin requirements in respect of open positions to the extent not already met	0	0	0



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3.10.1	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	0	0	0
3.10.2	ii. Incase of proprietary 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.	0	0	0
	<b>Total Ranking Liabilities</b>	<b>0</b>	<b>4,302,077</b>	<b>4,302,077</b>
	<b>Liquid Capital Statement</b>	<b>111,741,712</b>	<b>56,131,652</b>	<b>47,005,906</b>