Schedule III [See regulation 6(4)]

Liquid Capital Statement

for the month of **30-SEP-22**

of M/s. Adam Usman Securities (Pvt) Limited

Submission Date 14-OCT-2022 15:14:12

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blocked account after applying VAR based Haircut, (ii) cash deposited as collateral by the financee (iii) market value of any securities deposited as collateral applying VAR based haircut. i. Lower of net balance sheet value or value determined through adjustments. 0 0 ii. Incase receivables are against margin trading, 5% of the net balance sheet value. 0 0 ii. Incase receivables are against securities borrowings under SLB, the amount paid to NCCPL as 0 0 collateral upon entering into contract, 0 0 0 iii. Net amount after deducting haircut 0 0 0 iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. 0 0 0 v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market 1,138 800 800 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. 0 0 0 value of securities held as collateral after applying VAR based haircuts. 0 0 0 0 value of securities prochase of amount receivable form related parties. 0 0 0 0 0	1.17				
ii. Incase receivables are against margin trading, 5% of the net balance sheet value. 0 0 ii. Net amount after deducting haircut 0 0 iii. Incase receivables are against securities borrowings under SLB, the amount paid to NCCPL as 0 0 collateral upon entering into contract, 0 0 0 iii. Net amount after deducting haircut 0 0 0 iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. 0 0 v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market 1,138 800 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. 0 0 vi. 100% haircut in the case of amount receivable form related parties. 0 0 0 1.18 Cash and Bank balances 0 0 0 i. Bank Balance-proprietory accounts 77,375 0 77,375		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.	0	0	
iii. Incase receivables are against securities borowings under SLB, the amount paid to NCCPL as 0 0 collateral upon entering into contract, iii. Net amount after deducting haricut 0 0 iv. Incase of other trade receivables not more than 5 days overdue, 0% of the net balance sheet value. 0 0 0 v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market 1,138 800 800 value of securities purchased for customers and held in sub-accounts after applying VAR based 1,138 800 800 value of securities purchased for customers and held in sub-accounts after applying VAR based 0 0 0 vi. 100% haircut in the case of amount receivable form related parties. 0 0 0 1.18 Cash and Bank balances 0 0 0 i. Bank Balance-proprietory accounts 77,375 0 77,375			0	0	
collateral upon entering into contract, iii. Net amount after deducting haricut 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. 0 0 iv. Balance sheet value 0 0 0 v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market 1,138 800 800 value of securities purchased for customers and held in sub-accounts after applying VAR based 1,138 800 800 value of securities held as collateral by the respective customer and (iii) the market value of securities held as collateral after applying VAR based haircuts. 0 0 vi. 100% haircut in the case of amount receivable form related parties. 0 0 0 1.18 Cash and Bank balances 1 1 0 0			0	0	
iv. Balance sheet value iv. Balance sheet value iv. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market 1,138 800 800 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. 0 0 vi. 100% haircut in the case of amount receivable form related parties. 0 0 1.18 Cash and Bank balances 77,375 0		collateral upon entering into contract,	0	U	
v. Incase of other trade receivables are overdue, or 5 days or more, the aggregate of (i) the market 1,138 800 80 value of securities purchased for customers and held in sub-accounts after applying VAR based 1,138 800 80 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. 0 0 vi. 100% haircut in the case of amount receivable form related parties. 0 0 1.18 Cash and Bank balances 77,375 0			0	0	
securities held as collateral after applying VaR based haircuts. 0 0 vi. 100% haircut in the case of amount receivable form related parties. 0 0 1.18 Cash and Bank balances 0 77,375 i. Bank Balance-proprietory accounts 77,375 0 77,375		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	1,138	800	800
vi. 100% haircut in the case of amount receivable form related parties. 0 0 1.18 Cash and Bank balances					
i. Bank Balance-proprietory accounts 77,375 0 77,37	1.10	vi. 100% haircut in the case of amount receivable form related parties.	0	0	
	1.18		77 375	0	77 275
		ii. Bank balance-customer accounts	31,649,559	0	

Schedule III [See regulation 6(4)]

Liquid Capital Statement

for the month of **30-SEP-22**

of M/s. Adam Usman Securities (Pvt) Limited

Submission Date 14-OCT-2022 15:14:12

	Submission Date 14-OCT-2022 15.14.12		Page	2 Of 3
			_	
s.No.	Head of Account	Value in Pak Rupee	Hair Cut/ Adjustments	Net Adjusted Value
1 10	iii. Cash in hand	1,527	0	1,527
1.19	Total Assets	248,553,555	72,953,773	175,600,244
2.1	Liabilities Trade Davables			
2.1	Trade Payables i. Payable to exchanges and clearing house	3,789,775	0	3,789,775
	ii. Payable against leveraged market products	0	0	
2.2	iii. Payable to customers	46,283,777	0	46,283,777
2.2	Current Liabilities i. Statutory and regulatory dues	0	0	
	ii. Accruals and other payables	26,330,299	0	26,330,299
	iii. Short-term borrowings	56,451,463	0	56,451,463
	iv. Current portion of subordinated loans v. Current portion of long term liabilities	0	0	
	vi. Deferred Liabilities	0	0	
	vii. Provision for bad debts	0	0	
	vili. Provision for taxation ix. Other liabilities as per accounting principles and included in the financial statements	0	0	
2.3	Non-Current Liabilities	0	0	
	i. Long-Term financing			
	a. Long-Term financing obtained from financial instituion: Long term portion of financing obtained from	0	0	
	a financial institution including amount due against finance lease			
	b. Other long-term financing ii. Staff retirement benefits	0	0	
	iii. Advance against shares for Increase in Capital of Securities broker: 100% haircut may be allowed in	0	0	
	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	0	0	
2.4	Subordinated Loans			
	i. 100% of Subordinated loans which fulfill the conditions specified by SECP are allowed to be deducted:	20,000,000	20,000,000	
	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 Ioan, 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	0	0	
2.5	Total Liabilites	152,855,314	20,000,000	132,855,314
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	0	0	
3.2	financees exceed 10% of the aggregate of amounts receivable from total financees. Concentration in securites lending and borrowing			
5.2	The amount by which the aggregate of:	0	0	
	(i) Amount deposited by the borrower with NCCPL	Ũ	Ũ	
	(li) 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	0	0	
	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			
3.4	(b) in any other case : 12.5% of the net underwriting commitments Negative equity of subsidiary	0	0	
0.7	The amount by which the total assets of the subsidiary (excluding any amount due from the subsidiary)	0	0	
	exceed the total liabilities of the subsidiary	°	0	
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	0	0	7
3.6	assets denominated in foreign cuurency less total liabilities denominated in foreign currency Amount Payable under REPO	0	0	
3.7			5	

Schedule III [See regulation 6(4)]

Liquid Capital Statement

for the month of **30-sep-22**

of M/s. Adam Usman Securities (Pvt) Limited

Submission Date 14-OCT-2022 15:14:12

			Page	3 Of 3
S.No.	Head of Account	Value in Pak Rupee	Hair Cut/ Adjustments	Net Adjusted Value
	Repo adjustment			
	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	
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.	3,305,259	3,305,259	3,305,259
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	591,760	591,760	591,760
	ii. In case of proprietary positions , the total margin requirements in respect of open positions to the extent not already met	0	0	
3.10	Short sell 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	0	0	
	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.	0	0	
3.11	Total Ranking Liabilites	3,897,019	3,897,019	3,897,019
3.12	Liquid Capital	91,801,222	49,056,754	38,847,911