

wWGgAvi wmwKDwi wUR wj wgtUW
iæg bs-214, ÷ K G. tPA wewi s
9/Gd gwZwSj ev/G
XvKv-1000|

welq: Avf`k|

Kwgkabi 23 Rvbyqwi 2014 Bs Zwi tLi Avf`k bs- GmBwm/GbtdvmfgU/1147/2013/64 Gi mZ`wqZ
Abyj wC Avcbvi AeMwZ I c0qvRbxq e`e`v M0abi Rb` GZ` msM mshy³ Kiv ntjv|

evsj vf`k wmwKDwi wUR I G. tPA Kwgkabi ct¶|

tgvrvs` wmwil Ki ingvb
DC-cwi Pvj K

wEZi bt

c0vb wbe¶x KgRZ¶, XvKv 0K G. tPA wj wgtUW

AeMwZi Rb` Abyj wC:

- 1| wbe¶x cwi Pvj K, AvBb, weGmBwm
- 2| wbe¶x cwi Pvj K, mwtfBj `vY, weGmBwm
- 3| wbe¶x cwi Pvj K, GgAvBGm, weGmBwm
- 4| tPqvi g`vb gtnv` tqi `Bi, weGmBwm

Av`k

thtnZi Kugkb, DMR Securities Services Limited (wWGmB m`m` bs-014) tK Zvi Avte` bmtg, wbañi Z kZfaxtb wmkDwi uJR mq weµq KgRvU cwi Pjy by Kivi Rb` wmkDwi uJR I G. tPA Kugkb (AZ:ci 0Kugkb0 etj Duj 0uLZ) wmkDwi uJR I G. tPA Kugkb AvBb, 1993 (1993 m`bi 15 bs AvBb) Gi 10(1) G c0 E` 1gZve`j wmkDwi uJR I G. tPA Kugkb (-K-wWj vi, -K-tetKvi I Abtjgwi Z c0Zibwa) weagj v, 2000 Gi weva 5(5) mn cWZ -KtetKvi /wWj vi ti wRto`kb mWUfctjKU c0 vb Kti tQ;

thtnZi Kugk`bi 0Instant Watch Market Surveillance System” G DMR Securities Services Limited KZR MZ 14/05/2013 Zwi tL “Sonargaon Textiles Limited” Gi 2000 tkqvi tj b` t`b Short Sale Alert cwi j w`j nq| cieZ`Z D³ we` tq mvt`fBj` vY wefWm KZR` wLj KZ c0Zte` b Abhvqx findings and contraventions wbgie`c:

“DMR Securities Services Limited (DSE Membership # 14) allowed short selling of 2,000 shares of “Sonargaon Textiles Limited” on May 14, 2013 in the account of its client, Ratan Chandra Das and Biddut Chandra Das (client code # 4571). Details are shown below:

Name of Client	Client Code	Date of Sale	Sold Qty.	Available Holding as per DPA6 Report	Short Sale Quantity
Ratan Chandra Das and Biddut Chandra Das	4571	14/05/2013	2,000	0	2,000

Contravention: Through the aforesaid activity, DMR Securities Services Limited violated regulation 4(1) of the Dhaka Stock Exchange (Short-Sale) Regulations, 2006.

Some mismatch has been found between simple trade report (generated by InstantWatch) and Client Transaction Ledger (generated by back office software of the stock broker) in respect of buy of 2,000 shares of “Sonargaon Textiles Limited” on May 08, 2013 in favor of client named Ratan Chandra Das and Biddut Chandra Das (client code # 4571, BO A/C # 1203320025859313). As per simple trade report of InstantWatch of Market Surveillance System, DMR Securities Services Limited did not buy any share of “Sonargaon Textiles Limited” on 08/05/2013. But, the Client Ledger Instrument shows received 2,000 shares of “Sonargaon Textiles Limited” on 31/03/2013 but no holdings on that day as per generated by InstantWatch. Moreover, DP49 report also shows no credit of “Sonargaon Textiles Limited” shares in the BO account of the client during 08-14 May 2013. Details are shown in the following table:

Client Code	Date	Buy/Sell	Quantity as per SEC Surveillance	Quantity as per the ledger	No. of Mismatched share
4571	08/05/2013	Buy	0	2,000	2,000

Contraventions: Through the aforesaid activities, DMR Securities Services Limited violated (i) Section 18 of the Securities and Exchange Ordinance, 1969, (ii) Rule 8 (1) of the Securities and Exchange Rules, 1987 and (iii) wmkDwi uJR I G. tPA Kugkb (-K wWj vi, 0K tetKvi I Abtjgwi Z c0Zibwa) weagj v, 2000 (w0Zxq Zdmj) Gi weva 1 and 5.”

Acı c0vq`be`-

côv-02

bs-GmBwm/GbtdvmfgU/1147/2013/

Zwi Lt

Rvbyywi 2014 Bs

thfnZi Kugkb Dcti wj omLZ wmkDwi UR AvBb cwi cyj tb e "Zvi Rb" DMR Securities Services Limited Gi ei veti GKU show-cause-cum-hearing notice m b- SEC/Enforcement/1147/2013/464 Zwi L 22 Rj vB 2013 Bs tcôY Kti 01 AvM ÷ 2013 Bs Zwi tL kpvbxi w b avh©Kti Ges avh©KZ Zwi tL DMR Securities Services Limited Gi côZvba Dcw Z ntq cti i gva'tg wj omLZ e³e" wLj Kti b| hvZ Abvtb"i gta", wbtb³ w el q, wj i Dti øL AvtQ:-

"-----2000 shares of Sonargaon Textile was wrongly bought in code # 4388 but sold in joint code # 4571 of same buyer. Tasa report & B.O opening form are enclosed.
We corrected the buy 2000 Shares of Sonargaon Textile Ltd. in our back office and transferred to code # 4571 and subsequently sold from that code. Related papers enclosed.
We apologize for the mistake & oversight and assure you that we shall take proper care so that such mistake does not occur in future. We give warning to all of our Authorized Representative in this matter."

thfnZi DMR Securities Services Limited Gi wj omLZ e³e" t_tK myúo cZxqgvb nq th, i'bvxi tbwLtki AvfthvMngn DMR Securities Services Limited "Kvi Kti tQ hv wmkDwi UR AvBb cwi cyj tb e "Zv weavq section 22 of the Securities and Exchange Ordinance, 1969 Abhvqx kw thvM" Aciva Ges hv "gvi AthvM";

thfnZi Kugktbi wePbvq, wmkDwi UR AvBb cwi cyj tb Dji omLZ e "Zvi Rb", Z_v cy RevRvti i Dbqtb i cvkvcnk evRvti i ksLj v l ^QZv i qvi "t_D³ teKvi /wJ vi tK Rwi gvbv Kiv côqvRb l mgxPxb;

AZGe, thfnZi Kugkb, Dji omLZ hveZxq w el q wePbvceR, Securities and Exchange Ordinance, 1969 (Ordinance No. XVII of 1969) Gi section 22 [hv The Securities and Exchange (Amendment) Act, 2000 Øviv mstkwaz] G cõE "gZvetj DMR Securities Services Limited Gi Dci 1 (GK) j "UvKv Rwi gvbv avh©Kij hv AÎ Avt tki Zwi L ntZ 15 (ctbi) w tbi gta" Øewsj vt k wmkDwi UR l G- tPÄ Kugkbõ Gi AbKtj BmjKZ e'vsk WtdU/tc-AWti i gva'tg Kugktb Rgv Ki tZ nte|

ewsj vt k wmkDwi UR l G- tPÄ Kugktbi Avt kµtg

Aa'vcK W: Gg Lvqi æj tnvmb
tPqvi g'vb

wEzi bt
w/GgAvi wmkDwi UR wj wgtUW
i æg bs-214, ÷K G- tPÄ wewi s
9/Gd gwZiSj ev/G
XvKv-1000|