bs-GmBwm/Gb‡dvm©‡g›U/813/2010/ ZwiLt 04 RjvB, 2010 Bs

Av‡`k

‡h‡nZz, Kwgkb, Uwó G‡mvwm‡qUm †Kv¤úvbx wjwgUW (wWGmB m`m¨ bs-162) †K Zvi Av‡e`bµ‡g, wbawiZ kZvax‡b wmwKDwiwUR µq weµq KgKvÊ cwiPvjbv Kivi Rb¨ wmwKDwiwUR I G·‡PÄ Kwgkb (AZ:ci ÒKwgkbÓ e‡j DwjwLZ) wmwKDwiwUR I G·‡PÄ Kwgkb AvBb, 1993 (1993 m‡bi 15 bs AvBb) Gi 10(1) G c`Ë ¶gZve‡j wmwKDwiwUR I G·‡PÄ Kwgkb (÷K-wWjvi, ÷K-‡evKvi I Ab‡gvw`Z cÖwZwbwa) wewagvjv, 2000 Gi wewa 5(5) mn cwVZ ÷K‡evKvi †iwR‡ókb mvwUwd‡KU c`vb K‡i‡Q;

‡h‡nZz, Kwgkb Zvi Av‡`k bs SEC/Surveillance/2009-0561/181 dated December 03, 2009 Gi gva¨‡g Meghna Shrimp Culture Limited, Bengal Biscuits Ltd., Aziz Pipes Ltd., Chittagong Vegetables Oil Industries Ltd. and Dandy Dyeing Limited Gi †kqv‡ii A¯vfweK ‡jb‡`‡bi KviY Z`‡šÍi Rb¨ GKwU KwgwU MVb K‡i Ges D³ Z`šÍ KwgwUi Z`šÍ cÖwZ‡e`‡b Ab¨v‡b¨i g‡a¨ wb‡¤œi welq¸wj D‡jL Av‡Q:

" MEGHNA SHRIMP CULTURE LIMITE:

After randomly checking all the documents of the major clients of Trustry Associates Co. Limited who traded bulk quantity of Meghna Shrimp Culture Limited shares during the period of 02.07.2009 to 09.08.2009, the enquiry officers found some clients who sold their shares before maturity. The details are as follows:

CLIENT CODE	NAME	QTY	BUY DATE	MATURITY DATE	SALE DATE	QTY	SOLD	REMARKS
19854	ABDUR RAHMAN	600	02.08.09	11.08.09	02.08.09	600	T+0	SHORT SELL OF 600
		1100	03.08.09	12.08.09	04.08.09	1100	T+1	SHORT SELL OF 1100
		100	05.08.09	17.08.09	09.08.09	100	T+2	SHORT SELL OF 100
		500	10.08.09	20.08.09	12.08.09	500	T+2	SHORT SELL OF 500
		200	11.08.09	23.08.09	16.08.09	200	T+2	SHORT SELL OF 200
15386	ABDUL AZIZ	100	22.06.09	02.07.09	29.06.09	100	T+5	SHORT SELL OF 400
		300	23.06.09	03.07.09	29.06.09	300	T+4	
		200	23.06.09	05.07.09	30.06.09	200	T+5	SHORT SELL OF 200
9405	GOLAM MOSTUFA	1200	03.08.09	12.08.09	11.08.09	200	T+6	SHORT SELL OF 200

Pjgvb côv-2

Contravention: Through the aforesaid activities, Trustry Associates Co. Limited violated the Regulation 4 (1) of the “ Dhaka Stock Exchange (Short Sale) Regulations, 2006”.

The enquiry officers found some major clients of Trustry Associates Co. Limited who traded bulk quantity of shares of Meghna Shrimp Culture Limited. The details are delineated below:

A. One of the major buyers named Mr. Abdul Jalil (Client code # 6898) of Trustry Associates Co. Limited bought a bulk quantity (6000) shares of Meghna Shrimp Culture Limited during 02.07.09 to 09.08.09 without sufficient fund in his account.

Client Name: Mr. Abdul Jalil, Code # 6898

SL NO.	DATE	BUY QTY	RATE	VALUE	SALE QTY	RATE	VALUE	NEGATIVE BALANCE
1	02.07.09	3000	55.87	167610	3400	50.36	171224	-173456.73
2	05.07.09	1000	47.74	47740	300	47.76	14328	-79019.12
3	06.07.09				2500	48.66	121650	
4	07.07.09				3000	47.51	142530	
5	08.07.09				2000	47.34	94680	
6	09.07.09				1000	50.11	50110	
7	13.07.09				3000	48.13	144390	
8	14.07.09				900	48.26	43434	
9	22.07.09	400	47.99	19196			0	-88179.35
10	27.07.09	100	46.23	4623			0	-251049.93
11	02.08.09	500	56.03	28015	500	62.44	31220	-75635.77
12	03.08.09	1000	62.33	62330			0	-106750.45
13	05.08.09				100	83.58	8358	
TOTAL		**6000**		**329514**	**16700**		**821924**	

B. Another major client named Mr. Abdul Aziz of the said Trustry Associates Co. Limited bought 2400 shares from 02.07.09 to 05.08.09 without sufficient fund in his account. The details are as follows:

Pjgvb cÔv-3

Client Name: Mr. Abdul Aziz, Code # 15386

SL NO.	DATE	BUY QTY	RATE	VALUE	SALE QTY	RATE	VALUE	NEGATIVE BALANCE
1	02.07.09	1500	51.84	77760				-163090
2	15.07.09				200	49.13	9826	
3	16.07.09	200	47.99	9598				-143338
4	22.07.09	200	45.48	9096	300	46.93	14079	-158406
5	26.07.09	500	46.44	23220				-111772
6	29.07.09				500	49.24	24620	
7	02.08.09				1500	61.2	91800	
8	04.08.09				200	69.4	13880	
9	05.08.09				100	81.59	8159	
TOTAL		**2400**	**49.8642**	**119674**	**2800**	**57.9871**	**162364**	

Contravention: Through the aforesaid activities, Trustry Associates Co. Limited, violated the Rule 3(2) of Margin Rules, 1999.

AZIZ PIPES LIMITED:

After randomly checking all the documents of the major clients of Trustry Associates Co. Limited who traded bulk quantity of Aziz Pipes Limited shares during the period of 02.07.2009 to 09.08.2009, the enquiry officers found some clients who sold their shares before maturity, which is delineated below:

CLIENT CODE	NAME	QTY	BUY DATE	MATURITY DATE	SALE DATE	QTY	SOLD	REMARKS
22774	MD. MOHIUDDIN	215	03.08.09	12.08.09	11.08.09	390	T+6	SHORT SELL OF 190
						(Matured bal. 200)		
		85	04.08.09	16.08.09	12.08.09	300	T+6	SHORT SELL OF 100
								SHORT SELL OF 500

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Contravention: Through the aforesaid activities, Trustry Associates Co. Limited violated the Regulation 4 (1) of the " Dhaka Stock Exchange (Short Sale) Regulations, 2006**".**

‡h‡nZz, Kwgkb Dc‡iwjwLZ cwZ‡e`b Abhvqx wmwKDwiwUR AvBb cwicvj‡b e¨\_Zvi `i"b Uªv÷ G‡mvwm‡qUm †Kvs¤úvbx wjwgU‡W Gi eive‡i GKwU show-cause-cum-hearing notice mÎ bs-SEC/Enforcement/813/2010/340 ZwiL gvP© 31, 2010 Bs †ciY K‡i Gwcÿj 15, 2010 Bs Zvwi‡L kybvbxi w`b avh© K‡i Ges avh©KZ Zvwi‡L D³ †ebvKvix/wWjvi Gi `wqZ¡cÖvß KgKZ©v Dcw¯'Z n‡q Zv‡`i Gwcÿj 15, 2010 Bs Zvwi‡Li c‡Îi gva¨‡g wjwLZ e³e¨ `vwLj K‡ib| D³ c‡Î Ab¨v‡b¨i g‡a¨, wb‡bœi wel‡q¸‡jv D‡jøL Av‡Q:-

"--- We had only 300 sft. total area and a few employee. But in the same year so many customers came and opened account with us. Within the shortage of space and manpower it was very difficult for us to maintain all the customers properly. A few customers traded with Z category shares when the market was bull and due to shortage of space and manpower it was very difficult for us to check all the matter properly for which we humbly beg to you.

We further beg to state that at the time of trading within the hue and cry inadvertently few transactions were made with wrong code for which short sale was shown and after the information came to our notice we instantly corrected those and no client raised any objection. No credit facility was then given to our clients but after buying shares some clients made delay in paying their monies for which the ledger shows negative balance, but we got the monies later. During the two months period as mentioned at Table A & B at page-2 of the said show cause notice Mr. Abdul Jalil bought only 6000 shares and sold 16,700 shares of Meghna Shrimp Culture Limited another client Mr. Abdul Aziz bought only 2400 shares and sold 2800 shares. So it is clear that they sold more shares than buy which dose not indicate any manipulative purpose. Due to the above inadvertent mistake we have already taken adequate action against the person liable for the said trading. However, we are extremely sorry for unintentional mistake at our end.

We would like to add that we always tried to comply with the rules/regulations during the last 15 years of operation and as such, no objection regarding violation of any rules/law was raised against us. We also always try to comply with all the related laws properly and this is an inadvertent mistake.

Considering the above, we would be grateful to your kindly accept the above explanation and exempt us from the aforementioned allegation."

‡h‡nZz, Uªv÷ G‡mvwm‡qUm †Kvs¤úvbx wjwg‡U‡Wi Dc‡iv³ e³e¨ ‡_‡K cZxqgvb nq †h, Dc¯'vcZ Awf‡hvMmgn mwVK ‡m‡nZz G‡¶‡Î Uªv÷ G‡mvwm‡qUm †Kvs¤úvbx wjwg‡U‡Wi e¨vL¨v Kwgk‡bi wbKU MÖnY‡hvM¨ we‡ewPZ nqwb;

Pjgvb cô¨v-5

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côv-5

‡h‡nZ, Uwó G‡mwm‡qUm †Kv¤úvbx wjwg‡UW Dc‡iv³ KgKv‡Ûi d‡j Dhaka Stock Exchange (Short Sale) Regulation, 2006 Gi regulation 4(1) Ges Rule 3(2) of Margin Rules, 1999 fsM K‡i‡Q, hv wmwKDwiwUR AvB‡bi cwicš’x;

‡h‡nZ, Uwó G‡mwm‡qUm †Kv¤úvbx wjwg‡UW Gi Dc‡iv³ KgKvÛ Securities and Exchange Ordinance, 1969 Gi section 22 Abhvqx kw¯‡hvM¨ Aciva;

‡h‡nZ, Kwgk‡bi we‡ePbvq, wmwKDwiwUR AvBb cwicvj‡b DwjwLZ e¨_Zvi Rb¨, Z_v cwRevRv‡ii Dbq‡bi cvkvcwk evRv‡ii ksLjv I ¯’QZv i¶vi ¯v‡_ D³ †evKvi/wWjvi †K Rwigvbv Kiv c‡qvRb I mgxPxb;

AZGe, †m‡nZ, Kwgkb, DwjwLZ hveZxq we lq we‡ePbvceK, Securities and Exchange Ordinance, 1969 (Ordinance No. XVII of 1969) Gi section 22 [hv The Securities and Exchange (Amendment) Act, 2000 Øviv ms‡kwaZ] G c`Ë ¶gZve‡j Uwó G‡mwm‡qUm †Kv¤úvbx wjwg‡UW (wWGmB m`m¨ bs-162) Gi Dci 5 (cvP) j¶ UvKv Rwigvbv avh¨ Kij hv AÎ Av‡`‡ki ZwiL n‡Z 15 (c‡bi) w`‡bi g‡a¨ ÔwmwKDwiwUR I G·‡PÄ KwgkbÕ Gi AbK‡j Bm¨KZ e¨vsK WvdU/†c-AW©v‡ii gva¨‡g Kwgk‡b Rgv Ki‡Z n‡e;

wmwKDwiwUR I G·‡PÄ Kwgk‡bi Av‡`kµ‡g,

‡gv: wRqvDj nK †Lv›`Kvi
‡Pqvig¨vb

weZibt
Uwó G‡mwm‡qUm †Kv¤úvbx wjwgUW
i“g bs#527/528(3q Zjv)
wWGmB G‡b· wewìs
9/B, gwZwSj ev/G
XvKv-1000|