

SEC/Enforcement/652/2007/82
January 31, 2008

Shyamol Equity Management Ltd.
DSE Member No.03
Room No.319
9/E,Motijheel C/A, Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 31, 2008

S N M SECURITIES LTD.
DSE Member No.07
Room No.732
9/E,Motijheel C/A, Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

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Chief Executive Officer, Dhaka Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 31, 2008

EQUITY PARTNERS SECURITIES LTD.
DSE Member No.11
Suite No.1001-3
9/E, Motijheel C/A, Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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For Securities and Exchange Commission

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Deputy Director

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P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 31, 2008

ADIL SECURITIES LTD.
DSE Member No.17
Room No.720
Stock Exchange Building
9/E, Motijheel C/A, Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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For Securities and Exchange Commission

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P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 31, 2008

ARENA SECURITIES LTD.
DSE Member No.25
Modhumita Building (2nd floor)
160, Motijheel C/A
Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 31, 2008

SAR SECURITIES LTD.
DSE Member No.27
Room No.903
9/E, Motijheel C/A, Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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For Securities and Exchange Commission

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P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 31, 2008

ETBL SECURITIES & EXCHANGE LTD.

DSE Member No.31
Suvastu Tower (9th floor)
69/1, Panthapath
Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

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P. O. to Executive Director (R & D), SEC
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P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 31, 2008

RASHID INVESTMENT SERVICES LTD.

DSE Member No.35

Room No.601

Stock Exchange Building

9/F, Motijheel C/A, Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

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Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

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January 31, 2008

HAJI AHMAD BROTHERS SECURITIES LTD.

DSE Member No : 41
Room No.522, 529
9/E,Motijheel C/A, Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 31, 2008

RAPID SECURITIES LTD.

DSE Member No : 42
Room No : 620, 621 & 635
9/E, Motijheel C/A
Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 31, 2008

M- SECURITIES LTD.
DSE Member No : 44
Room No : 434
9/E,Motijheel C/A, Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

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For Securities and Exchange Commission

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P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 31, 2008

ARIES SECURITIES LTD.

DSE Member No.48
Room No : 411
Stock Exchange Building
9/F,Motijheel C/A
Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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For Securities and Exchange Commission

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P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

SEC/Enforcement/652/2007/94
January 31, 2008

Al-Muntaha Trading Co. Ltd.
DSE Member No.49
Room No.525
9/E, Motijheel C/A
Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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For Securities and Exchange Commission

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Deputy Director

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P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

SEC/Enforcement/652/2007/95
January 31, 2008

Imtiyaz Husain Securities Ltd.
Dse Member No.50
Room No.415, 702
Stock Exchange Building
9/F, Motijheel C/A
Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

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For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

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P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

SEC/Enforcement/652/2007/96
January 31, 2008

BANCO SECURITIES LTD.
DSE Membership No : 63
Ispahani Building (3rd Floor)
14-15, Motijheel C/A, Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 31, 2008

E- SECURITIES LTD.

DSE Member No : 66
Room No.509
Stock Exchange Building
9/F,Motijheel C/A,Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

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Deputy Director

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P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

SEC/Enforcement/652/2007/98
January 31, 2008

Popular Equities Ltd.
DSE Member No.68
Room No.902
9/E, Motijheel C/A
Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

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P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

SEC/Enforcement/652/2007/99

January 31, 2008

MULTI SECURITIES & SERVICES LTD.

DSE Member No : 75

Shareef Mansion (1st Floor)

56-57 Motijheel, C/A

Dhaka –1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

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P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/100
January 31, 2008

P F I SECURITIES LTD.
DSE Member No . 79
63, Dilkusha C/A (7th Floor)
Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

SEC/Enforcement/652/2007/101

January 31, 2008

LATIF SECURITIES LTD.

DSE Member No : 80

Room No : 310

Stock Exchange Building

9/F,Motijheel C/A,Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/102
January 31, 2008

UNIROYAL SECURITIES LTD.

DSE Member No : 89
Zaman Court (2nd Floor)
45, Dilkusha , Dhaka –1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

SEC/Enforcement/652/2007/103

January 31, 2008

MD. FAKHRUL ISLAM Securities Ltd.

DSE Member No : 90

PBL Tower (13th Floor)

17 (New) Gulshan North C/A

Dhaka-1212

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/104

January 31, 2008

ARAFAT SECURITIES LTD.

DSE Membership No : 94

59/3/3,Purana Paltan

Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/105

January 31, 2008

DHANMONDI SECURITIES LTD.

DSE Membership No : 98

Room No : 903 (8th Floor)

Modhumita Building

158-160 Motijheel C/A, Dhaka –1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/106

January 31, 2008

ARC SECURITIES LTD.

DSE Member No.100

Room No.513

9/E,Motijheel C/A

Dhaka - 1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/107

January 31, 2008

NOUVELLE SECURITIES LTD.

DSE Member No : 112

Room No. 719, Stock Exchange Building

9/F Motijheel C/A, Dhaka 1000

Alam Arcade (2nd Floor)

43 North Gulshan, Dhaka

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/108
January 31, 2008

CMSL SECURITIES LTD.
DSE Member No.113
Suite No. 702 (7th Floor)
28, Dilkusha, Dhaka

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

SEC/Enforcement/652/2007/109

January 31, 2008

ANF MANAGEMENT Co. LTD.

DSE Member No.117

Room No : 504

Stock Exchange Building

9/F,Motijheel C/A,Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/110

January 31, 2008

SAAD SECURITIES LTD.

DSE Member No : 118

Room No : 730

9/E, Motijheel C/A

Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/111

January 31, 2008

R.N.I SECURITIES LTD.

DSE Member No : 128

Room No : 728

9/E, Motijheel C/A

Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/112
January 31, 2008

LANKABANGLA SECURITIES LTD.

DSE Member No : 132

Room No : 322

9/E, Motijheel C/A, Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/113

January 31, 2008

M0SHIHOR SECURITIES LTD.

DSE Member No : 134

Dilkusha Center (13th & 14th Floor)

Suite No . 1304, 1401,

28, Dilkusha C/A (13th & 14th Floor), Dhaka

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/114
January 31, 2008

SECURITIES BROKING & MANAGEMENT SERVICES LTD.

DSE Member No : 136

Room No : 220

9/E, Motijheel C/A, Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/115

January 31, 2008

ALLIANCE SECURITIES & MANAGEMENT LTD.

DSE Membership No : 137

Room No : 323

9/E, Motijheel C/A

Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/116

January 31, 2008

HEDAYETULLAH SECURITIES LTD.

DSE Member No : 140

Room No : 432

9/E, Motijheel C/A

Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/117

January 31, 2008

MIDWAY SECURITIES LTD.

DSE Member No :142

Room No : 508

Stock Exchange Building

9/F, Motijheel C/A,Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/118

January 31, 2008

Joytun Securities International Ltd.

DSE Member No.148

Room No.1033 (9th Floor)

9/E, Motijheel C/A

Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/119

January 31, 2008

SHAKIL RIZVI STOCK LTD.

DSE Member No : 149

Room No : 905

9/E, Motijheel C/A

Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/120

January 31, 2008

Gateway Equity Resources Ltd.

DSE Member No.157

Room No.215, Stock Exchange Building

9/F, Motijheel C/A

Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/121

January 31, 2008

TRUSTRY ASSOCIATES COMPANY LTD.

DSE Member No : 162

Room No.527

9/E,Motijheel C/A, Dhaka –1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/122
January 31, 2008

SES COMPANY LTD.

DSE Member No : 163

**Noor Tower (5th Floor), 1/F Free School Street
73, Sonargaon Road, Dhaka-1205**

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/123

January 31, 2008

MONA FINANCIAL CONSULTANCY & SECURITIES LTD.

DSE Member No : 164

Room No : 413, 417 & 317

Stock Exchange Building

9/F, Motijheel C/A Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/124

January 31, 2008

RISING SECURITIES LTD.

DSE Member No : 170

Room No : 438

9/E, Motijheel C/A, Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/125

January 31, 2008

BLI SECURITIES LTD.

DSE Member No.175

Printers Building (7th Floor)

5, Rajuk Avenue

Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/126

January 31, 2008

ANCHOR SECURITIES LTD.

DSE Membership No : 177

Room No : 712

Stock Exchange Building

9/F, Motijheel C/A, Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/127
January 31, 2008

BEXIMCO SECURITIES LTD.
DSE Membership No : 178
17, Dhanmondi R/A
Road No-02, Dhaka-1205

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

SEC/Enforcement/652/2007/128

January 31, 2008

J K C Securities Ltd.

DSE Member No.179

Room No.1001 (9th Floor)

Modhumita Building

158-160, Motijheel C/A

Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/129

January 31, 2008

RAZZAK SECURITIES LTD.

DSE Member No : 184

Room No : 206

Stock Exchange Building

9/F, Motijheel C/A, Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/130

January 31, 2008

M. RAHMAN SECURITIES LTD.

DSE Member No : 185

Zareen Mansion (3rd Floor)

55, Motijheel C/A

Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/131
January 31, 2008

GLOBE SECURITIES LTD.
DSE Member No : 189
Room No. 302
Stock Exchange Building
9/F, Motijheel C/A, Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

SEC/Enforcement/652/2007/132

January 31, 2008

SALAM AND COMPANY LTD.

DSE Member No :190

Room No : 201 & 205

Stock Exchange Building

9/F,Motijheel C/A,Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/133
January 31, 2008

EMINENT SECURITIES LTD.
DSE Membership No : 191
Room No : 313
Stock Exchange Building
9/F, Motijheel C/A, Dhaka -1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

SEC/Enforcement/652/2007/134

January 31, 2008

JAHAN SECURITIES LTD.

DSE Member No : 195

Room No : 213

Stock Exchange Building

9/F,Motijheel C/A

Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/135

January 31, 2008

STOCK & BOND LTD.

DSE Member No. 199

Room No. 724

Stock Exchange Building

9/F, Motijheel C/A, Dhaka -1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/136

January 31, 2008

Synthia Securities Ltd.

DSE Member No.204

Modhumita Building (7th Floor)

158-160 Motijheel C/A

Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/137

January 31, 2008

WIFANG SECURITIES LTD.

DSE Member No. 210

Modhumita Building (8th Floor)

185-160, Motijheel C/A

Dhaka -1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/138

January 31, 2008

SHARP SECURITIES LTD.

DSE Member No. 216

Samabaya Sadan (4th Floor)

9/D, Motijheel C/A, Dhaka -1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/139

January 31, 2008

RASTI SECURITIES CONSULTANT LTD.

DSE Member No. 217

Suite No. 601, Modhumita Building (5th Floor)

158-160 Motijheel C/A, Dhaka -1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/140

January 31, 2008

CONMARK LTD.

DSE Member No. 228

Modhumita Building (2nd Floor)

158-160 Motijheel C/A

Dhaka -1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Dhaka Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak

Deputy Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (SRMID), SEC

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (CDS), SEC

P. O. to Executive Director (Registration), SEC

P. O. to Director (MIS), SEC

Chairman's Office, SEC

SEC/Enforcement/652/2007/141
January 31, 2008

Dhaka Stock Exchange Ltd.
Stock Exchange Building
9/F, Motijheel C/A
Dhaka-1000

Attention: **Chief Executive Officer**

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Dhaka Stock Exchange (Member's Margin) Regulations, 2000 by receiving clients' shares against member's margin as well as regulation 5(2) of the said Regulations by receiving un-endorsed instruments (shares).

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Dhaka Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

SEC/Enforcement/652/2007/142
January 31, 2008

Chittagong Stock Exchange Ltd.
1080 Sheikh Mujib Road
Agrabad
Chittagong.

Attention: **Chief Executive Officer**

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Chittagong Stock Exchange (Member's Margin) Regulations, 2000 by receiving clients' shares against member's margin as well as regulation 5(2) of the said Regulations by receiving un-endorsed instruments (shares).

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Chittagong Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC