SEC/Enforcement/994/2011/206 **By Special messenger**
April 30, 2014

1. Abdur Rahim , Suit no.-704, Paltan Tower (7th floor), 87 Purana Paltan Line, Dhaka-1000.
2. New Capital Finance & Commerce (MCS) Ltd., Suit no.-704, Paltan Tower (7th floor), 87 Purana Paltan Line, Dhaka-1000.
3. Empire Securities holding Ltd., 704, Paltan Tower (7th floor), 87 Purana Paltan Line, Dhaka-1000.
4.Equity Capital (MCS) Ltd., Suit no.-704, Paltan Tower (7th floor), 87 Purana Paltan Line, Dhaka-1000.
5. A.R. Consultation Ltd. Suit no.-704, Paltan Tower (7th floor), 87 Purana Paltan Line, Dhaka-1000.
6. Nahar Afroze Omar Ali Foundation, Suit no.-704, Paltan Tower (7th floor), 87 Purana Paltan Line, Dhaka-1000.
7. Badrun Nesa, Suit no.-704, Paltan Tower (7th floor), 87 Purana Paltan Line, Dhaka-1000.
8. Tashrat Rayat agro enterprise, Suit no.-704, Paltan Tower (7th floor), 87 Purana Paltan Line, Dhaka-1000.

Subject: Penalty Order: Non-compliance of Section 17 (e) (ii) (v) of Securities and Exchange Ordinance, 1969 in connection with share trading of PF1STMF

Dear Sir,

Commission's penalty orders No. SEC/Enforcement/994/2011/198-205 dated April , 2014 are enclosed herewith for your kind information and necessary action.

For Bangladesh Securities and Exchange Commission

Mustari Jahan
Deputy Director (Enforcement Dept.)

Distribution:
Chief Executive Officer, Dhaka Stock Exchange Limited
Chief Executive Officer, Chittagong Stock Exchange Limited
Chief Executive Officer, Prime Finance and Investment Limited (Merchant Banker), with a request to send the copy of the order to Mr.Abdur Rahim Code no.A0527

Copy for information:
P.O to Commissioner (Enforcement), BSEC
P.O to Executive Director (Surveillance), BSEC
P.O to Executive Director (MIS), BSEC
Chairman's office, BSEC

198.
Order

Whereas, on the basis of the investigation report of Dhaka Stock Exchange Limited on trading in shares of PHOENIX FINANCE 1ST MUTUAL FUND, a show cause-cum-hearing notice No. **SEC/Enforcement/994/2011/378** **dated** June 23, 2013 was issued to Tashrara-Rayat Agro Enterprise where Mr.Abdur Rahim is proprietor. Tashrara-Rayat Agro Enterprise bearing code no. 6946 is one of the clients of Bangladesh Commerce Bank Ltd. (Broker).The account has been operated by Mr.Abdur Rahim. In the show cause-cum-hearing notice among others following have been mentioned;-

Quote

Whereas, as per section 17(e)(ii) (iii) and (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969),"No person shall, for the purpose of inducing, dissuading, effecting, preventing or in any manner influencing or turning to his advantage, the sale or purchase of any security, directly or indirectly,-

do any act or practice or engage in a course of business, or omit to do any act which operates or would operate as a fraud, deceit or manipulation upon any person, in particular-

create a false and misleading appearance of active trading in any security;

effect any transaction in such security which involves no change in its beneficial ownership;

directly or indirectly effect a series of transactions in any security creating the appearance of active trading therein or of raising of price for the purpose of inducing its purchase by others or depressing its price for the purpose of inducing its sale by others;"

Whereas, an investigation has been conducted by DSE regarding trading in shares of PF1STMF by Abdur Rahim and associates.

Whereas, copy of the relevant part of the report is enclosed herewith.

Whereas, among others the following has been reported ;

" it was found that during 17.07.2011 to 27.07.2011 total trade volume of **PF1STMF** shares was 10,285,500 whereas, Mr. Rahim, along with 10 (ten) accounts associated with him traded **7649500** shares of **PF1STMF** which is almost 74% of total trade of that period. Particulars and trade details of those accounts are stated below:

S.L. No	Name of Member Company/ Merchant Bank	Name of Client	Client code	Relation with Abdur Rahim
1	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Empire Securities holding Ltd.	A 0484	Managing Director
2	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Equity Capital (MCS) Ltd.	A0459	Secretary
3	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Abdur Rahim	A0460	Own Account
4	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	A.R. Consultation Ltd.	A0490	Proprietor
5	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	New Capital Finance & Commerce (MCS) Ltd.	A0502	Secretary
6	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	NaharAroz-Omar Ali foundation	A0499	Executive Director
7	Uttara Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	A. R. Consultation Ltd.(	U5303	Proprietor
8	Uttara Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Abdur Rahim	U5304	Own Account
9	Bangladesh Commerce Bank ltd.	Badrun Nesa	6893	Wife of Abdur Rahim
10	Bangladesh Commerce Bank ltd.	Tashrara-Rayat Agro Enterprise	6946	Proprietor

Contravention: From the report it appears that, Mr. Abdur Rahim and his associates have violated

1. Section 17 (e) (v) of the Securities and Exchange ordinance, 1969 (XVII of 1969) as it has been observed that Mr. Rahim was involved directly and indirectly in share trading of PF1STMF by the following ways:

a. Mr. Abdur Rahim was involved directly and indirectly in a series of transaction of securities of PF1STMF in order to create the appearance of active trading of the said share

b. Significant amount securities of PF1STMF were traded by those accounts on some days, compared to the total trade of that day.

2. Section 17(e) (ii) of Securities and Exchange Ordinance, 1969, by creating a misleading appearance of active trading in shares of PF1STMF by effecting the trade volume of PF1STMF whereas, they only interchanged the ownership of shares within themselves and tried to influence the price and volume of PF1STMF shares.

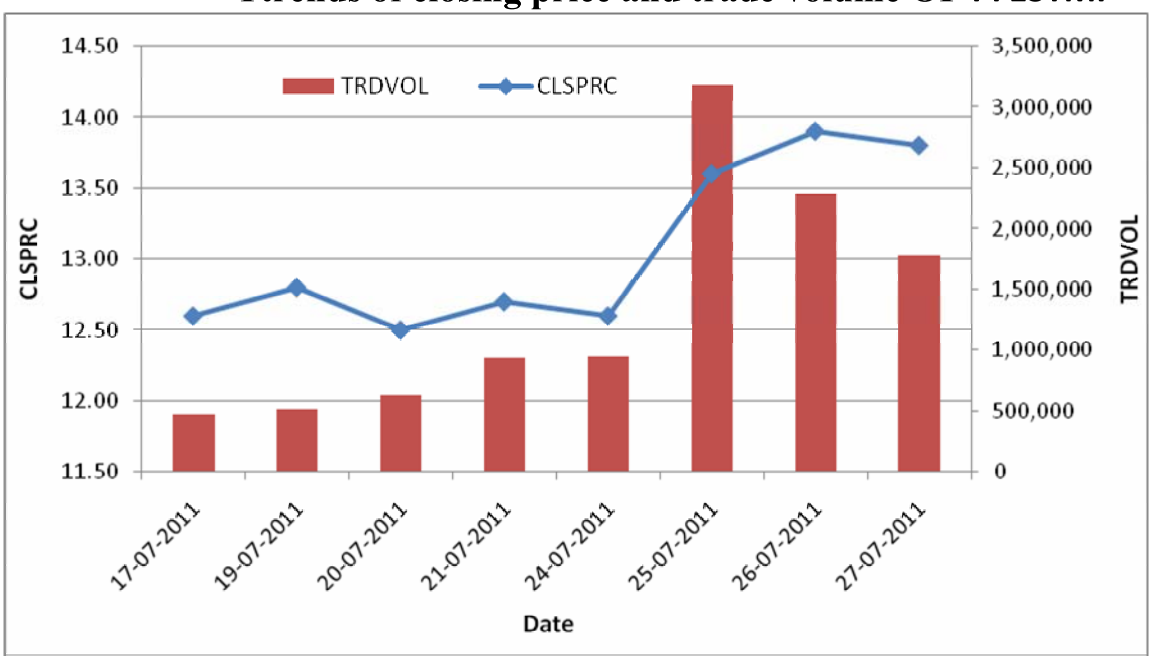
3. Section 17(e) (iii) of Securities and Exchange Ordinance, 1969, by effecting the transactions of PF1STMF shares which involves no change in beneficial ownership

Unquote

Whereas, the investigation team has reported the following among others which has been enclosed with the showcause cum hearing notice.

Trade Date	Total Trade By Mr. Rahim and Associates	Total Trade of PF1STMF	% of total trade done by Mr. Rahim and Associates
19-07-11	323500	516000	63%
20-07-11	392000	635000	62%
21-07-11	475500	940000	51%
24-07-11	249000	945000	26%
25-07-11	3472500	3181000	109%
26-07-11	1826500	2288000	80%
27-07-11	910500	1780500	51%
Total	**7649500**	**10285500**	74%

Ttrends of closing price and trade volume OF PF1STMF



Whereas, hearing has been conducted with Tashrara-Rayat Agro Enterprise. Abdur Rahim has attended the hearing. He has represented the accused. He has submitted an explanation letter. In the letter he has stated the following among others;

Quote

“webxZ wb‡e`b GB †h, Avwg wbg¯^v¶iKvix Ave`i iwng, wcZv- gZ: Igi Avjx, gvZv- bvnvi Avd‡ivR, wVKvbv: i“g bs- 26-27 (2q Zjv), 89 gwZwSj ev/G, XvKv- 1000| Avgvi wk¶v Rxeb †kl K‡i AvZ¥Kgms¯'v‡bi j‡¶¨ wewfb cwZôv‡bi D‡`¨v³v/cwiPvjK/Askx`vi nB| mswkó cwZôvb mgn gjZ cwRevRv‡i wewb‡qv‡Mi mv‡_ m¤ú³ wQj| 2010 m‡bi cwRevRv‡i cZ‡bi ci cwZôvb mg‡ni Ab¨vb¨ Askx`vi ev cwiPvjKMY cwZôv‡bi gjab D‡Ëvj‡bi Rb¨ Pvc w`‡Z _v‡K; B‡Zvg‡a¨ Avgvi c_g mšvb cwb‡Z W‡e gviv hvq| GKw`‡K mšvb nviv †kvK, Ab¨w`‡K Askx`vi‡`i Pv‡ci Kvi‡Y Avwg gvbwlKfv‡e Am¯' n‡q cwo| GgZve¯'vq wewb‡qvMKZ cwR D×v‡ii Rb¨ AvcvY †Póv Kwi| G Ki“b †cwi¶‡Z Avwg H mg‡q †h †jb‡`b Kwi Zv †Kvbµ‡gB Avgvi m¯' gw¯'‡¯' m¤úvw`Z nq bvB|

ZvQvov Avwg eÜ-evÜe, AvZ¥xq-¯Rb, fvB-‡evb, fMœcwZ, gvgvmn A‡b‡Ki KvQ †_‡K FY wb‡q evRv‡i wewb‡qvM Kwi| eZgv‡b Avgvi wb‡Ri I cwZôvb mg‡ni BKBwU cvq 10 †KwU UvKvi Dc‡i FbvZ¥K| m¤cwZ Avgvi AvZ¥xq ¯Rb UvKvi Rb¨ Pvc c‡qvM Ki‡j Avgvi gv †eBb †÷v‡K Avµvš n‡q c¨vivjvBR Ae¯'vq kh¨vkvqx| eZgv‡b A‡bK K‡ó GKgvÎ mšvb, ¯'x I gv‡K wb‡q w`bwZcvZ KiwQ| cwZw`b e¨vs‡Ki Fb, cwZôvb mg‡ni Askx`vi‡`i

UvKvi Rb¨ Pvc, AvZ¥xq-¯Rb‡`i Pv‡c eZgv‡b Avwg gvbwlKfv‡e Am¯| cwZwU gû‡Z AvZ¥nZ¨vi B‡”Q K‡i| wKš GKgvÎ AeS mšvb Avi gv‡qi g‡Li w`‡K ZwK‡q cviwQ bv| Ze I Rwb bv Avi KZ w`b GBfv‡e †e‡P _vKe| cwZwU gû‡Z B‡”Q K‡i AvZ¥nZ¨v Kwi|

Av‡iv D‡jL¨ †h, MZ 17/07/2013 Zwi‡L ïbvbxKv‡j Avgv‡K wRÁvmv Kiv n‡qwQj wfkb K¨wcUvj g¨v‡bR‡g›U Avgv‡K wP‡b wKbv| wfkb K¨wcUvj g¨v‡bR‡g›U wjt G Avgvi GKwU †KvW i‡q‡Q hvi bs- 3491| hw` Zviv Avgv‡K bvB wP‡b Zv n‡j Avgvi wewb‡qvM wnmve _v‡K wK K‡i|

ZvB Dc‡iv³ e³‡e¨i Av‡jv‡K Avgvi webxZ wb‡e`b Avgvi Aciva gvbweK `wó‡Kvb †_‡K we‡ePbv ceK ¶gv Kivi Av‡e`b KiwQ; hv‡Z K‡i Avgvi AeS wkï I gv‡K wb‡q †e‡P _vK‡Z cwi| Avi hw` GB Amn¨ gvbwmK hšbv mn¨ Ki‡Z bv cv‡i gZ¨i ¯'vqx wVKvbvq P‡j hvB Zvn‡j Avgvi AvZ¥v‡K gvd K‡i †`Iqvi Av‡e`b KiwQ Ges Avgvi mšvb I Avgvi gv‡qi Rb¨ †`vqv Kvgbv KiwQ|”

Unquote

Whereas, in the letter he has confessed the allegation, begged apology. He has stated that the reported transaction has been done by him in order to recover his invested capital from the market.

Whereas, Abdur Rahim has executed his alleged trade through ten number of accounts. One of the accounts is Tashrara-Rayat Agro Enterprise where Mr.Abdur Rahim is proprietor. Tashrara-Rayat Agro Enterprise bearing code no. 6946 is one of the clients of Bangladesh Commerce Bank Ltd. (Broker).The account has been operated by Mr.Abdur Rahim. In this account Abdur Rahim has traded huge quantity of shares of PHOENIX FINANCE

1ST MUTUAL FUND on the reported date and executed buy sell between the aforesaid codes including the account of Tashrara-Rayat Agro Enterprise and has created active trade, series of transaction in order to attract the other investors, manipulated the number of trade contract, trade volume and share price. He has traded through too many howlas so that number of trade contracts would increase significantly. Such type of transaction is the clear contravention of section 17 e (ii) and 17 e (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969).His explanation has not been accepted by the Commission..

Whereas, the aforesaid activities are tantamount to non-compliance of securities law that appears deliberate and clear contravention of the section 17 (e) (ii) (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) attracting penal provision of section 22 of the Securities and Exchange Ordinance, 1969 .

Whereas, to protect the discipline and transparency of the capital market along with it's development the Commission deems it appropriate and necessary to impose penalty upon Tashrara-Rayat Agro Enterprise.

Now, therefore, Bangladesh Securities and Exchange Commission, in exercise of the power conferred by section 22 (amended by the Securities and Exchange (Amendment) Act, 2000) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) hereby imposes penalty for Tk.02.00 (Tk.Two) Lac upon Tashrara-Rayat Agro Enterprise which is to be deposited to the Commission in the form of Bank Draft/Payorder favouring 'Bangladesh Securities and Exchange Commission' within 15 days from the date of issuance of this order.

By order of the Bangladesh Securities and Exchange Commission

Professor Dr. M. Khairul Hossain
Chairman

199

Order

Whereas, on the basis of the investigation report of Dhaka Stock Exchange Limited on trading in shares of PHOENIX FINANCE 1ST MUTUAL FUND, a show cause-cum-hearing notice No. **SEC/Enforcement/994/2011/378** **dated** June 23, 2013 was issued to Mrs.Badrun Nesa who is wife of Mr.Abdur Rahim . Mrs.Badrun Nesa bearing code no. 6893 is one of the clients of Bangladesh Commerce Bank ltd. (Broker).The account has been operated by Mr.Abdur Rahim. In the show cause-cum-hearing notice among others following have been mentioned;-

Quote

Whereas, as per section 17(e)(ii) (iii) and (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969),"No person shall, for the purpose of inducing, dissuading, effecting, preventing or in any manner influencing or turning to his advantage, the sale or purchase of any security, directly or indirectly,-

do any act or practice or engage in a course of business, or omit to do any act which operates or would operate as a fraud, deceit or manipulation upon any person, in particular-

create a false and misleading appearance of active trading in any security;

effect any transaction in such security which involves no change in its beneficial ownership;

directly or indirectly effect a series of transactions in any security creating the appearance of active trading therein or of raising of price for the purpose of inducing its purchase by others or depressing its price for the purpose of inducing its sale by others;"

Whereas, an investigation has been conducted by DSE regarding trading in shares of PF1STMF by Abdur Rahim and associates.

Whereas, copy of the relevant part of the report is enclosed herewith.

Whereas, among others the following has been reported ;

" it was found that during 17.07.2011 to 27.07.2011 total trade volume of **PF1STMF** shares was 10,285,500 whereas, Mr. Rahim, along with 10 (ten) accounts associated with him traded **7649500** shares of **PF1STMF** which is almost 74% of total trade of that period. Particulars and trade details of those accounts are stated below:

S.L. No	Name of Member Company/ Merchant Bank	Name of Client	Client code	Relation with Abdur Rahim
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8	Uttara Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Abdur Rahim	U5304	Own Account
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Contravention: From the report it appears that, Mr. Abdur Rahim and his associates have violated

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2. Section 17(e) (ii) of Securities and Exchange Ordinance, 1969, by creating a misleading appearance of active trading in shares of PF1STMF by effecting the trade volume of PF1STMF whereas, they only interchanged the ownership of shares within themselves and tried to influence the price and volume of PF1STMF shares.

3. Section 17(e) (iii) of Securities and Exchange Ordinance, 1969, by effecting the transactions of PF1STMF shares which involves no change in beneficial ownership

Unquote

Whereas, the investigation team has reported the following among others which has been enclosed with the showcause cum hearing notice.

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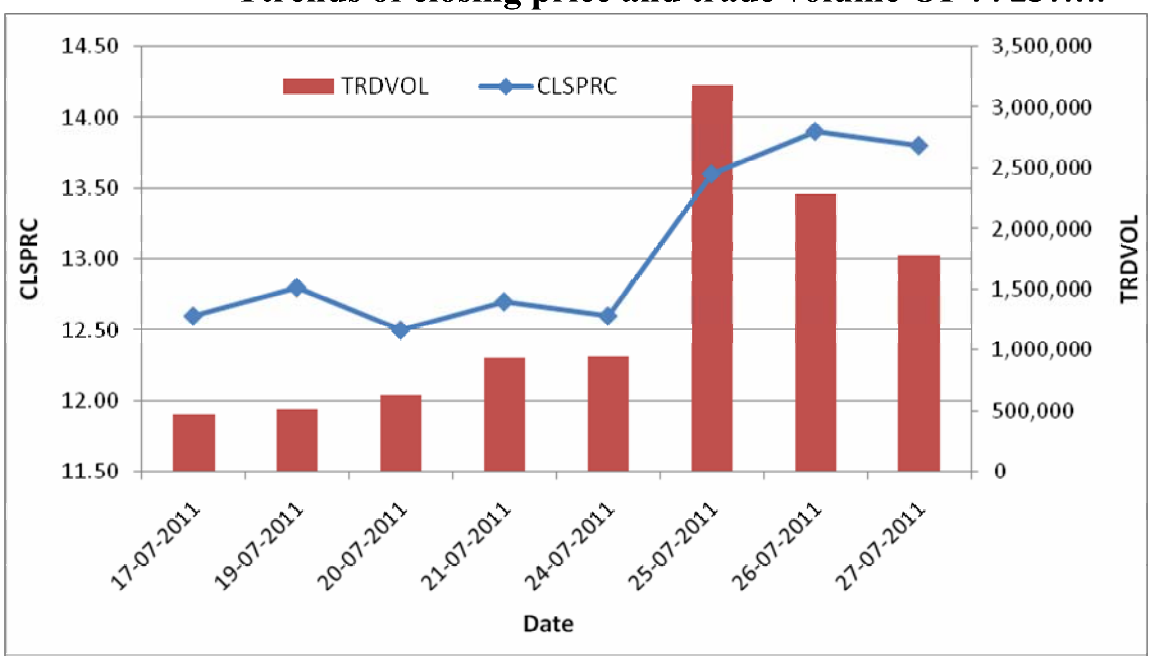

Whereas, hearing has been conducted with Mrs.Badrun Nesa.. Abdur Rahim has attended the hearing. He has represented the accused. He has submitted an explanation letter. In the letter he has stated the following among others;

Quote

“wbebxZ wb‡e`b GB †h, Avwg wbg ¯^v¶iKvix Ave`i iwng, wcZv- gZ: Igi Avjx, gvZv- bvnvi Avd‡ivR, wVKvbv: i“g bs- 26-27 (2q Zjv), 89 gwZwSj ev/G, XvKv- 1000| Avwg wk¶v Rxeb †kl K‡i AvZ¥Kgms¯’v‡bi j‡¶¨ wewfb cwZôv‡bi D‡`¨v³v/cwiPvjK/Askx`vi nB| msw¤kó cwZôvb mgn gjZ cwRevRv‡i wewb‡qv‡Mi mv‡_ m¤ú³ wQj| 2010 m‡bi cwRevRv‡i cZ‡bi ci cwZôvb mg‡ni Ab¨vb¨ Askx`vi ev cwiPvjKMY cwZôv‡bi gjab D‡Ëvj‡bi Rb¨ Pvc w`‡Z _v‡K; B‡Zvg‡a¨ Avgvi c_g mšvb cwb‡Z W‡e gviv hvq| GKw`‡K mšvb nviv †kvK, Ab¨w`‡K Askx`vi‡`i Pv‡ci Kvi‡Y Avwg gvbwlKfv‡e Am¯’ n‡q cwo| GgZve¯’vq wewb‡qvMKZ cwR D×v‡ii Rb¨ AvcvY †Póv Kwi| G Ki“b †cw¶‡Z Avwg H mg‡q †h †jb‡`b Kwi Zv †Kvbµ‡gB Avgvi m¯’ gw¯‘‡¯‹ m¤úvw`Z nq bvB|

ZvQvov Avwg eÜ-evÜe, AvZ¥xq-¯Rb, fvB-‡evb, fMœxcwZ, gvgvmn A‡b‡Ki KvQ †_‡K FY wb‡q evRv‡i wewb‡qvM Kwi| eZgv‡b Avgvi wb‡Ri I cwZôvb mg‡ni BKBwU cvq 10 †KwU UvKvi Dc‡i FbvZ¥K| m¤cwZ Avgvi AvZ¥xq ¯Rb UvKvi Rb¨ Pvc c‡qvM Ki‡j Avgvi gv †eBb †÷v‡K Avµvš— n‡q c¨vivjvBR Ae¯’vq kh¨vkvqx| eZgv‡b A‡bK K‡ó GKgvÎ mšvb, ¯x I gv‡K wb‡q w`bwZcvZ KiwQ| cwZw`b e¨vs‡Ki Fb, cwZôvb mg‡ni Askx`vi‡`i

UvKvi Rb¨ Pvc, AvZ¥xq-¯Rb‡`i Pv‡c eZgv‡b Avwg gvbwlKfv‡e Am¯’| cwZwU gû‡Z AvZ¥nZ¨vi B‡”Q K‡i| wKš GKgvÎ AeS mšvb Avi gv‡qi g‡Li w`‡K ZvwK‡q cvwiQ bv| ZeI Rwb bv Avi KZ w`b GBfv‡e †e‡P _vKe| cwZwU gû‡Z B‡”Q K‡i AvZ¥nZ¨v Kwi|

Av‡iv D‡jL¨ †h, MZ 17/07/2013 Zwi‡L ïbvbxKv‡j Avgv‡K wRÁvmv Kiv n‡qwQj wfkb K¨wcUvj g¨v‡bR‡g›U Avgv‡K wP‡b wKbv| wfkb K¨wcUvj g¨v‡bR‡g›U wjt G Avgvi GKwU †KvW i‡q‡Q hvi bs- 3491| hw` Zviv Avgv‡K bvB wP‡b Zv n‡j Avgvi wewb‡qvM wnmve _v‡K wK K‡i|

ZvB Dc‡iv³ e³‡e¨i Av‡jv‡K Avgvi webxZ wb‡e`b Avgvi Aciva gvbweK `wó‡Kvb †_‡K we‡ePbv ceK ¶gv Kivi Av‡e`b KiwQ; hv‡Z K‡i Avgvi AeS wkï I gv‡K wb‡q †e‡P _vK‡Z cvwi| Avi hw` GB Amn¨ gvbwmK hšbv mn¨ Ki‡Z bv cv‡i gZ¨i ¯vqx wVKvbvq P‡j hvB Zvn‡j Avgvi AvZ¥v‡K gvd K‡i †`Iqvi Av‡e`b KiwQ Ges Avgvi mšvb I Avgvi gv‡qi Rb¨ †`vqv Kvgbv KiwQ|”

Unquote

Whereas, in the letter he has confessed the allegation, begged apology. He has stated that the reported transaction has been done by him in order to recover his invested capital from the market.

Whereas, Abdur Rahim has executed his alleged trade through ten number of accounts. One of the accounts is Mrs.Badrun Nesa who is wife of Mr.Abdur Rahim . Mrs.Badrun Nesa bearing code no. 6893 is one of the clients of Bangladesh Commerce Bank ltd. (Broker).The account has been operated by Mr.Abdur Rahim. In this account Abdur Rahim has traded huge quantity of shares of PHOENIX FINANCE 1ST MUTUAL FUND on the reported date and executed buy sell between the aforesaid codes including the account of Mrs.Badrun Nesa and has created active trade, series of transaction in order to attract the other investors, manipulated the number of trade contract, trade volume and share price. He has traded through too many howlas so that number of trade contracts would increase significantly. Such type of transaction is the clear contravention of section 17 e (ii) and 17 e (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969).His explanation has not been accepted by the Commission..

Whereas, the aforesaid activities are tantamount to non-compliance of securities law that appears deliberate and clear contravention of the section 17 (e) (ii) (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) attracting penal provision of section 22 of the Securities and Exchange Ordinance, 1969 .

Whereas, to protect the discipline and transparency of the capital market along with it's development the Commission deems it appropriate and necessary to impose penalty upon Mrs.Badrun Nesa..

Now, therefore, Bangladesh Securities and Exchange Commission, in exercise of the power conferred by section 22 (amended by the Securities and Exchange (Amendment) Act, 2000) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) hereby imposes penalty for Tk.02.00 (Tk.Two) Lac upon Mrs.Badrun Nesa which is to be deposited to the Commission in the form of Bank Draft/Payorder favouring 'Bangladesh Securities and Exchange Commission' within 15 days from the date of issuance of this order.

By order of the Bangladesh Securities and Exchange Commission

Professor Dr. M. Khairul Hossain
Chairman

<u>**200**</u>

<u>**Order**</u>

Whereas, on the basis of the investigation report of Dhaka Stock Exchange Limited on trading in shares of PHOENIX FINANCE 1ST MUTUAL FUND, a show cause-cum-hearing notice No. **SEC/Enforcement/994/2011/378 dated** June 23, 2013 was issued to A.R. Consultation Ltd.where Mr.Abdur Rahim is proprietor. A.R. Consultation Ltd. bearing code no. A0490 is one of the clients of Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.).The account has been operated by Mr.Abdur Rahim. In the show cause-cum-hearing notice among others following have been mentioned;-

<u>**Quote**</u>

Whereas, as per section 17(e)(ii) (iii) and (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969),"No person shall, for the purpose of inducing, dissuading, effecting, preventing or in any manner influencing or turning to his advantage, the sale or purchase of any security, directly or indirectly,-

do any act or practice or engage in a course of business, or omit to do any act which operates or would operate as a fraud, deceit or manipulation upon any person, in particular-

create a false and misleading appearance of active trading in any security;

effect any transaction in such security which involves no change in its beneficial ownership;

directly or indirectly effect a series of transactions in any security creating the appearance of active trading therein or of raising of price for the purpose of inducing its purchase by others or depressing its price for the purpose of inducing its sale by others;"

Whereas, an investigation has been conducted by DSE regarding trading in shares of PF1STMF by Abdur Rahim and associates.

Whereas, copy of the relevant part of the report is enclosed herewith.

Whereas, among others the following has been reported ;

" it was found that during 17.07.2011 to 27.07.2011 total trade volume of **PF1STMF** shares was 10,285,500 whereas, Mr. Rahim, along with 10 (ten) accounts associated with him traded **7649500** shares of **PF1STMF** which is almost 74% of total trade of that period. Particulars and trade details of those accounts are stated below:

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2	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Equity Capital (MCS) Ltd.	A0459	Secretary
3	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Abdur Rahim	A0460	Own Account
4	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	A.R. Consultation Ltd.	A0490	Proprietor
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8	Uttara Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Abdur Rahim	U5304	Own Account
9	Bangladesh Commerce Bank ltd.	Badrun Nesa	6893	Wife of Abdur Rahim
10	Bangladesh Commerce Bank ltd.	Tashrara-Rayat Agro Enterprise	6946	Proprietor

Contravention: From the report it appears that, Mr. Abdur Rahim and his associates have violated

1. Section 17 (e) (v) of the Securities and Exchange ordinance, 1969 (XVII of 1969) as it has been observed that Mr. Rahim was involved directly and indirectly in share trading of PF1STMF by the following ways:

a. Mr. Abdur Rahim was involved directly and indirectly in a series of transaction of securities of PF1STMF in order to create the appearance of active trading of the said share

b. Significant amount securities of PF1STMF were traded by those accounts on some days, compared to the total trade of that day.

2. Section 17(e) (ii) of Securities and Exchange Ordinance, 1969, by creating a misleading appearance of active trading in shares of PF1STMF by effecting the trade volume of PF1STMF whereas, they only interchanged the ownership of shares within themselves and tried to influence the price and volume of PF1STMF shares.

3. Section 17(e) (iii) of Securities and Exchange Ordinance, 1969, by effecting the transactions of PF1STMF shares which involves no change in beneficial ownership

Unquote

Whereas, the investigation team has reported the following among others which has been enclosed with the showcause cum hearing notice.

Trade Date	Total Trade By Mr. Rahim and Associates	Total Trade of PF1STMF	% of total trade done by Mr. Rahim and Associates
19-07-11	323500	516000	63%
20-07-11	392000	635000	62%
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26-07-11	1826500	2288000	80%
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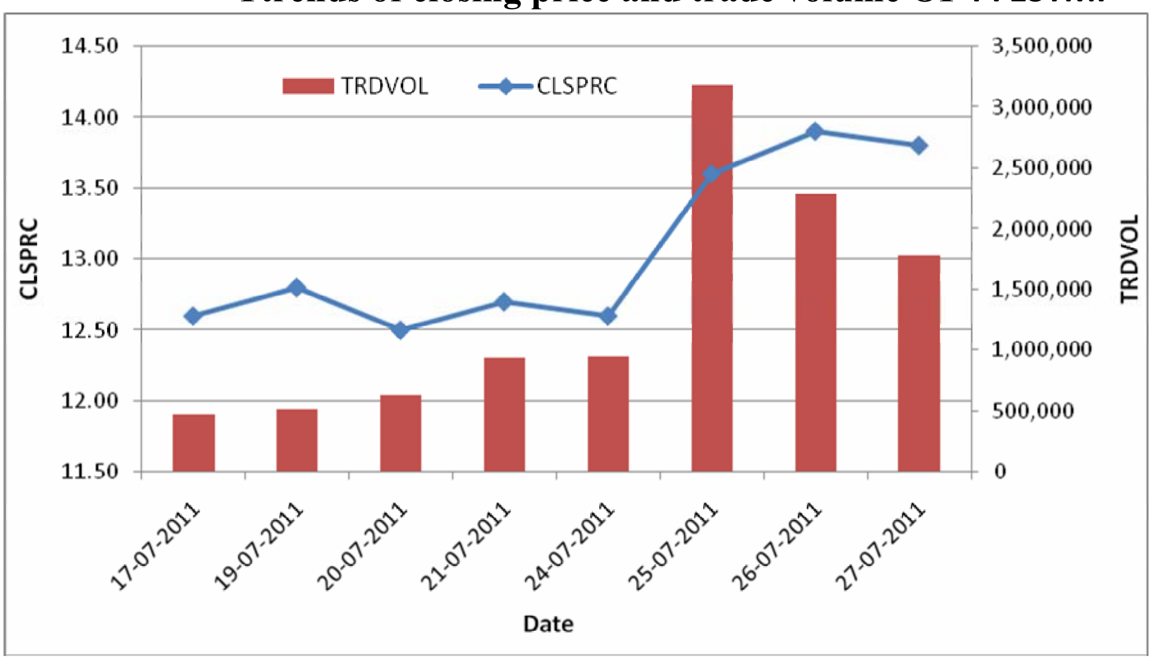
Total	**7649500**	**10285500**	74%

Ttrends of closing price and trade volume OF PF1STMF



Whereas, hearing has been conducted with A.R. Consultation Ltd.. Abdur Rahim has attended the hearing. He has represented the accused. He has submitted an explanation letter. In the letter he has stated the following among others;

Quote

“wbqZ wb‡e`b GB †h, Avwg wbg¯^v¶iKvix Ave`i ivwng, wcZv- gZ: Igi Avjx, gvZv- bvnvi Avd‡ivR, wVKvbv: i“g bs- 26-27 (2q Zjv), 89 gwZwSj ev/G, XvKv- 1000| Avwgi wk¶v Rxeb †kl K‡i AvZ¥Kgms¯’v‡bi j‡¶¨ wewfb cwZôv‡bi D‡`¨v³v/cwiPvjK/Askx`vi nB| msw¶ó cwZôvb mgn gjZ cwRevRv‡i wewb‡qv‡Mi mv‡_ m¤ú³ wQj| 2010 m‡bi cwRevRv‡i cZ‡bi ci cwZôvb mg‡ni Ab¨vb¨ Askx`vi ev cwiPvjKMY cwZôv‡bi gjab D‡Ëvj‡bi Rb¨ Pvc w`‡Z _v‡K; B‡Zvg‡a¨ Avgvi c_g mšvb cwb‡Z W‡e gvix hvq| GKw`‡K mšvb nviv †kvK, Ab¨w`‡K Askx`vi‡`i Pv‡ci Kvi‡Y Avwg gvbwmKfv‡e Am¯’ n‡q cwo| GgZve¯’vq wewb‡qvMKZ cwR D×v‡ii Rb¨ AvcvY †Póv Kwi| G Ki“b †cw¶‡Z Avwg H mg‡q †h †jb‡`b Kwi Zv †Kvbµ‡gB Avgvi m¯’ gw¯‡¯‹ m¤úvw`Z nq bvB|

ZvQvov Avwg eÜ-evÜe, AvZ¥xq-¯^Rb, fvB-‡evb, fMœcwZ, gvgvmn A‡b‡Ki KvQ †_‡K FY wb‡q evRv‡i wewb‡qvM Kwi| eZgv‡b Avgvi wb‡Ri I cwZôvb mg‡ni BKBwU cvq 10 †KwU UvKvi Dc‡i FbvZ¥K| m¤cwZ Avgvi AvZ¥xq ¯^Rb UvKvi Rb¨ Pvc c‡qvM Ki‡j Avgvi gv †eBb †÷v‡K Avµvš n‡q c¨vivjvBR Ae¯’vq kh¨vkvqx| eZgv‡b A‡bK K‡ó GKgvÎ mšvb, ¯x I gv‡K wb‡q w`bwZcvZ KiwQ| cwZw`b e¨vs‡Ki Fb, cwZôvb mg‡ni Askx`vi‡`i

UvKvi Rb¨ Pvc, AvZ¥xq-¯^Rb‡`i Pv‡c eZgv‡b Avwg gvbwmKfv‡e Am¯’| cwZwU gû‡Z AvZ¥nZ¨vi B‡”Q K‡i| wKš GKgvÎ AeS mšvb Avi gv‡qi g‡Li w`‡K ZvwK‡q cvwiwQ bv| ZeI Rwb bv Avi KZ w`b GBfv‡e †e‡P _vKe| cwZwU gû‡Z B‡”Q K‡i AvZ¥nZ¨v Kwi|

Av‡iv D‡jL¨ †h, MZ 17/07/2013 Zwi‡L ïbvbxKv‡j Avgv‡K wRÁvmv Kiv n‡qwQj wfkb K¨wcUvj g¨v‡bR‡g›U Avgv‡K wP‡b wKbv| wfkb K¨wcUvj g¨v‡bR‡g›U wjt G Avgvi GKwU †KvW i‡q‡Q hvi bs- 3491| hw` Zviv Avgv‡K bvB wP‡b Zv n‡j Avgvi wewb‡qvM wnmve _v‡K wK K‡i|

ZvB Dc‡iv³ e³‡e¨i Av‡jv‡K Avgvi webxZ wb‡e`b Avgvi Aciva gvbweK `wó‡Kvb †_‡K we‡ePbv ceK ¶gv Kivi Av‡e`b KiwQ; hv‡Z K‡i Avgvi AeS wkï I gv‡K wb‡q †e‡P _vK‡Z cvwi| Avi hw` GB Amn¨ gvbwmK hšbv mn¨ Ki‡Z bv cv‡i gZ¨i ¯^vqx wVKvbvq P‡j hvB Zvn‡j Avgvi AvZ¥v‡K gvd K‡i †`Iqvi Av‡e`b KiwQ Ges Avgvi mšvb I Avgvi gv‡qi Rb¨ †`vqv Kvgbv KiwQ|”

Unquote

Whereas, in the letter he has confessed the allegation, begged apology. He has stated that the reported transaction has been done by him in order to recover his invested capital from the market.

Whereas, Abdur Rahim has executed his alleged trade through ten number of accounts. One of the accounts is A.R. Consultation Ltd.where Mr.Abdur Rahim is proprietor. A.R. Consultation Ltd. bearing code no. A0490 is one of the clients of Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.).The account has been operated by Mr.Abdur Rahim.. In this account Abdur Rahim has traded huge quantity of shares of PHOENIX FINANCE 1ST MUTUAL FUND on the reported date and executed buy sell between the aforesaid codes including the account of A.R. Consultation Ltd.and has created active trade, series of transaction in order to attract the other investors, manipulated the number of trade contract, trade volume and share price. He has traded through too many howlas so that number of trade contracts would increase significantly. Such type of transaction is the clear contravention of section 17 e (ii) and 17 e (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969).His explanation has not been accepted by the Commission..

Whereas, the aforesaid activities are tantamount to non-compliance of securities law that appears deliberate and clear contravention of the section 17 (e) (ii) (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) attracting penal provision of section 22 of the Securities and Exchange Ordinance, 1969 .

Whereas, to protect the discipline and transparency of the capital market along with it's development the Commission deems it appropriate and necessary to impose penalty upon A.R. Consultation Ltd.

Now, therefore, Bangladesh Securities and Exchange Commission, in exercise of the power conferred by section 22 (amended by the Securities and Exchange (Amendment) Act, 2000) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) hereby imposes penalty for Tk.02.00 (Tk.Two) Lac upon A.R. Consultation Ltd. which is to be deposited to the Commission in the form of Bank Draft/Payorder favouring 'Bangladesh Securities and Exchange Commission' within 15 days from the date of issuance of this order.

By order of the Bangladesh Securities and Exchange Commission

Professor Dr. M. Khairul Hossain
Chairman

201
Order

Whereas, on the basis of the investigation report of Dhaka Stock Exchange Limited on trading in shares of PHOENIX FINANCE 1ST MUTUAL FUND, a show cause-cum-hearing notice No. **SEC/Enforcement/994/2011/378** **dated** June 23, 2013 was issued to NaharAroz-Omar Ali foundation where Mr.Abdur Rahim is Executive Director. NaharAroz-Omar Ali foundation bearing code no. A0499 is one of the clients of Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.).The account has been operated by Mr.Abdur Rahim. In the show cause-cum-hearing notice among others following have been mentioned;-

Quote

Whereas, as per section 17(e)(ii) (iii) and (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969),"No person shall, for the purpose of inducing, dissuading, effecting, preventing or in any manner influencing or turning to his advantage, the sale or purchase of any security, directly or indirectly,-

do any act or practice or engage in a course of business, or omit to do any act which operates or would operate as a fraud, deceit or manipulation upon any person, in particular-

create a false and misleading appearance of active trading in any security;

effect any transaction in such security which involves no change in its beneficial ownership;

directly or indirectly effect a series of transactions in any security creating the appearance of active trading therein or of raising of price for the purpose of inducing its purchase by others or depressing its price for the purpose of inducing its sale by others;"

Whereas, an investigation has been conducted by DSE regarding trading in shares of PF1STMF by Abdur Rahim and associates.

Whereas, copy of the relevant part of the report is enclosed herewith.

Whereas, among others the following has been reported ;

" it was found that during 17.07.2011 to 27.07.2011 total trade volume of **PF1STMF** shares was 10,285,500 whereas, Mr. Rahim, along with 10 (ten) accounts associated with him traded **7649500** shares of **PF1STMF** which is almost 74% of total trade of that period. Particulars and trade details of those accounts are stated below:

S.L. No	Name of Member Company/ Merchant Bank	Name of Client	Client code	Relation with Abdur Rahim
1	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Empire Securities holding Ltd.	A 0484	Managing Director
2	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Equity Capital (MCS) Ltd.	A0459	Secretary
3	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Abdur Rahim	A0460	Own Account
4	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	A.R. Consultation Ltd.	A0490	Proprietor
5	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	New Capital Finance & Commerce (MCS) Ltd.	A0502	Secretary
6	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	NaharAroz-Omar Ali foundation	A0499	Executive Director
7	Uttara Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	A. R. Consultation Ltd.(	U5303	Proprietor
8	Uttara Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Abdur Rahim	U5304	Own Account
9	Bangladesh Commerce Bank ltd.	Badrun Nesa	6893	Wife of Abdur Rahim
10	Bangladesh Commerce Bank ltd.	Tashrara-Rayat Agro Enterprise	6946	Proprietor

Contravention: From the report it appears that, Mr. Abdur Rahim and his associates have violated

1. Section 17 (e) (v) of the Securities and Exchange ordinance, 1969 (XVII of 1969) as it has been observed that Mr. Rahim was involved directly and indirectly in share trading of PF1STMF by the following ways:

a. Mr. Abdur Rahim was involved directly and indirectly in a series of transaction of securities of PF1STMF in order to create the appearance of active trading of the said share

b. Significant amount securities of PF1STMF were traded by those accounts on some days, compared to the total trade of that day.

2. Section 17(e) (ii) of Securities and Exchange Ordinance, 1969, by creating a misleading appearance of active trading in shares of PF1STMF by effecting the trade volume of PF1STMF whereas, they only interchanged the ownership of shares within themselves and tried to influence the price and volume of PF1STMF shares.

3. Section 17(e) (iii) of Securities and Exchange Ordinance, 1969, by effecting the transactions of PF1STMF shares which involves no change in beneficial ownership

Unquote

Whereas, the investigation team has reported the following among others which has been enclosed with the showcause cum hearing notice.

Trade Date	Total Trade By Mr. Rahim and Associates	Total Trade of PF1STMF	% of total trade done by Mr. Rahim and Associates
19-07-11	323500	516000	63%
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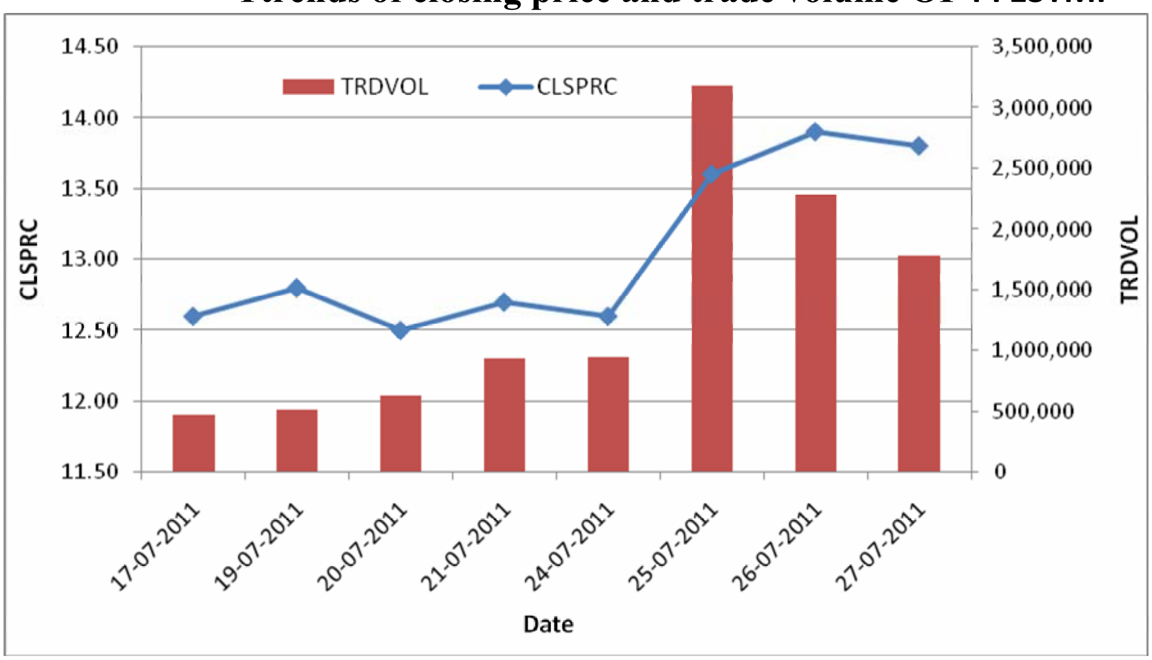
Ttrends of closing price and trade volume OF PF1STMF



Whereas, hearing has been conducted with NaharAroz-Omar Ali foundation. Abdur Rahim has attended the hearing. He has represented the accused. He has submitted an explanation letter. In the letter he has stated the following among others;

Quote

“wbebxZ wb‡e`b GB †h, Awg wbg ¯^v¶iKvix Ave`i iwng, wcZv- gZ: Igi Avjx, gvZv- bvnvi Avd‡ivR, wVKvbv: i“g bs- 26-27 (2q Zjv), 89 gwZwSj ev/G, XvKv- 1000| Avgvi wk¶v Rxeb †kl K‡i AvZ¥Kgms¯’v‡bi j‡¶¨ wewfb cwZôv‡bi D‡`¨v³v/cwiPvjK/Askx`vi nB| msw¶ß cwZôvb mgn gjZ cwiPvjbv‡i wewb‡qv‡Mi mv‡_ m¤ú³ wQj| 2010 m‡bi cwiPvjbv‡i cZ‡bi ci cwZôvb mg‡ni Ab¨vb¨ Askx`vi ev cwiPvjKMY cwZôv‡bi gjab D‡Ëvj‡bi Rb¨ Pvc w`‡Z _v‡K; B‡Zvg‡a¨ Avgvi c_g mšvb cwb‡Z W‡e gvix hvq| GKw`‡K mšvb nvivi †kvK, Ab¨w`‡K Askx`vi‡`i Pv‡ci Kvi‡Y Awg gvbwlKfv‡e Am¯’ n‡q cwo| GgZve¯’vq wewb‡qvMKZ cwR D×v‡ii Rb¨ AvcvY †Póv Kwi| G Ki“b †cw¶‡Z Awg H mg‡q †h †jb‡`b Kwi Zv †Kvbµ‡gB Avgvi m¯’ gw¯‘‡¯‹ m¤úwš`Z nq bvB|

ZvQvov Awg eÜ-evÜe, AvZ¥xq-¯^Rb, fvB-‡evb, fMœcwZ, gvgvmn A‡b‡Ki KvQ †_‡K FY wb‡q evRv‡i wewb‡qvM Kwi| eZgv‡b Avgvi wb‡Ri I cwZôvb mg‡ni BKBwU cvq 10 †KwwU UvKvi Dc‡i FbvZ¥K| m¤cwZ Avgvi AvZ¥xq ¯^Rb UvKvi Rb¨ Pvc c‡qvM Ki‡j Avgvi gv †eBb †÷v‡K Avµvš— n‡q c¨vivjvBR Ae¯’vq kh¨vkvqx| eZgv‡b A‡bK K‡ó GKgvÎ mšvb, ¯¿x I gv‡K wb‡q w`bwZcvZ KiwQ| cwZw`b e¨vs‡Ki Fb, cwZôvb mg‡ni Askx`vi‡`i

UvKvi Rb¨ Pvc, AvZ¥xq-¯^Rb‡`i Pv‡c eZgv‡b Awg gvbwlKfv‡e Am¯’| cwZwU gû‡Z AvZ¥nZ¨vi B‡”Q K‡i| wKš GKgvÎ AeS mšvb Avi gv‡qi g‡Li w`‡K ZwK‡q cviwQ bv| ZeI Rwb bv Avi KZ w`b GBfv‡e †e‡P _vKe| cwZwU gû‡Z B‡”Q K‡i AvZ¥nZ¨v Kwi|

Av‡iv D‡jL¨ †h, MZ 17/07/2013 Zwi‡L ïbvbxKv‡j Avgv‡K wRÁvmv Kiv n‡qwQj wfkb K¨wcUvj g¨v‡bR‡g›U Avgv‡K wP‡b wKbv| wfkb K¨wcUvj g¨v‡bR‡g›U wjt G Avgvi GKwU †KvW i‡q‡Q hvi bs- 3491| hw` Zviv Avgv‡K bvB wP‡b Zv n‡j Avgvi wewb‡qvM wnmve _v‡K wK K‡i|

ZvB Dc‡iv³ e³‡e¨i Av‡jv‡K Avgvi wbebxZ wb‡e`b Avgvi Aciva gvbweK `wó‡Kvb †_‡K we‡ePbv ceK ¶gv Kivi Av‡e`b KiwQ; hv‡Z K‡i Avgvi AeS wkï I gv‡K wb‡q †e‡P _vK‡Z cvwi| Avi hw` GB Amn¨ gvbwmK hšbv mn¨ Ki‡Z bv cv‡i gZ¨i ¯^vqx wVKvbvq P‡j hvB Zvn‡j Avgvi AvZ¥v‡K gvd K‡i †`Iqvi Av‡e`b KiwQ Ges Avgvi mšvb I Avgvi gv‡qi Rb¨ †`vqv Kvgbv KiwQ|”

Unquote

Whereas, in the letter he has confessed the allegation, begged apology. He has stated that the reported transaction has been done by him in order to recover his invested capital from the market.

Whereas, Abdur Rahim has executed his alleged trade through ten number of accounts. One of the accounts is NaharAroz-Omar Ali foundation where Mr.Abdur Rahim is Executive Director. NaharAroz-Omar Ali foundation bearing code no. A0499 is one of the clients of Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.). In this account Abdur Rahim has traded huge quantity of shares of PHOENIX FINANCE 1ST MUTUAL FUND on the reported date and executed buy sell between the aforesaid codes including the account of NaharAroz-Omar Ali foundation and has created active trade, series of transaction in order to attract the other investors, manipulated the number of trade contract, trade volume and share price. He has traded through too many howlas so that number of trade contracts would increase significantly. Such type of transaction is the clear contravention of section 17 e (ii) and 17 e (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969).His explanation has not been accepted by the Commission..

Whereas, the aforesaid activities are tantamount to non-compliance of securities law that appears deliberate and clear contravention of the section 17 (e) (ii) (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) attracting penal provision of section 22 of the Securities and Exchange Ordinance, 1969 .

Whereas, to protect the discipline and transparency of the capital market along with it's development the Commission deems it appropriate and necessary to impose penalty upon NaharAroz-Omar Ali foundation.

Now, therefore, Bangladesh Securities and Exchange Commission, in exercise of the power conferred by section 22 (amended by the Securities and Exchange (Amendment) Act, 2000) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) hereby imposes penalty for Tk.02.00 (Tk.Two) Lac upon NaharAroz-Omar Ali foundation which is to be deposited to the Commission in the form of Bank Draft/Payorder favouring 'Bangladesh Securities and Exchange Commission' within 15 days from the date of issuance of this order.

By order of the Bangladesh Securities and Exchange Commission

Professor Dr. M. Khairul Hossain
Chairman

Distribution:
Prime Finance Capital Management Limited (Merchant Bank)
63 Dilkusha C/A
Dhaka-1000

202
Order

Whereas, on the basis of the investigation report of Dhaka Stock Exchange Limited on trading in shares of PHOENIX FINANCE 1ST MUTUAL FUND, a show cause-cum-hearing notice No. **SEC/Enforcement/994/2011/378** **dated** June 23, 2013 was issued to Equity Capital (MCS) Ltd where Mr.Abdur Rahim is secretary. Equity Capital (MCS) Ltd bearing code no. A0459 is one of the clients of Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.).The account has been operated by Mr.Abdur Rahim. In the show cause-cum-hearing notice among others following have been mentioned;-

Quote

Whereas, as per section 17(e)(ii) (iii) and (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969),"No person shall, for the purpose of inducing, dissuading, effecting, preventing or in any manner influencing or turning to his advantage, the sale or purchase of any security, directly or indirectly,-

do any act or practice or engage in a course of business, or omit to do any act which operates or would operate as a fraud, deceit or manipulation upon any person, in particular-

create a false and misleading appearance of active trading in any security;

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directly or indirectly effect a series of transactions in any security creating the appearance of active trading therein or of raising of price for the purpose of inducing its purchase by others or depressing its price for the purpose of inducing its sale by others;"

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" it was found that during 17.07.2011 to 27.07.2011 total trade volume of **PF1STMF** shares was 10,285,500 whereas, Mr. Rahim, along with 10 (ten) accounts associated with him traded **7649500** shares of **PF1STMF** which is almost 74% of total trade of that period. Particulars and trade details of those accounts are stated below:

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3	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Abdur Rahim	A0460	Own Account
4	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	A.R. Consultation Ltd.	A0490	Proprietor
5	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	New Capital Finance & Commerce (MCS) Ltd.	A0502	Secretary
6	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	NaharAroz-Omar Ali foundation	A0499	Executive Director
7	Uttara Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	A. R. Consultation Ltd.(	U5303	Proprietor
8	Uttara Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Abdur Rahim	U5304	Own Account
9	Bangladesh Commerce Bank ltd.	Badrun Nesa	6893	Wife of Abdur Rahim
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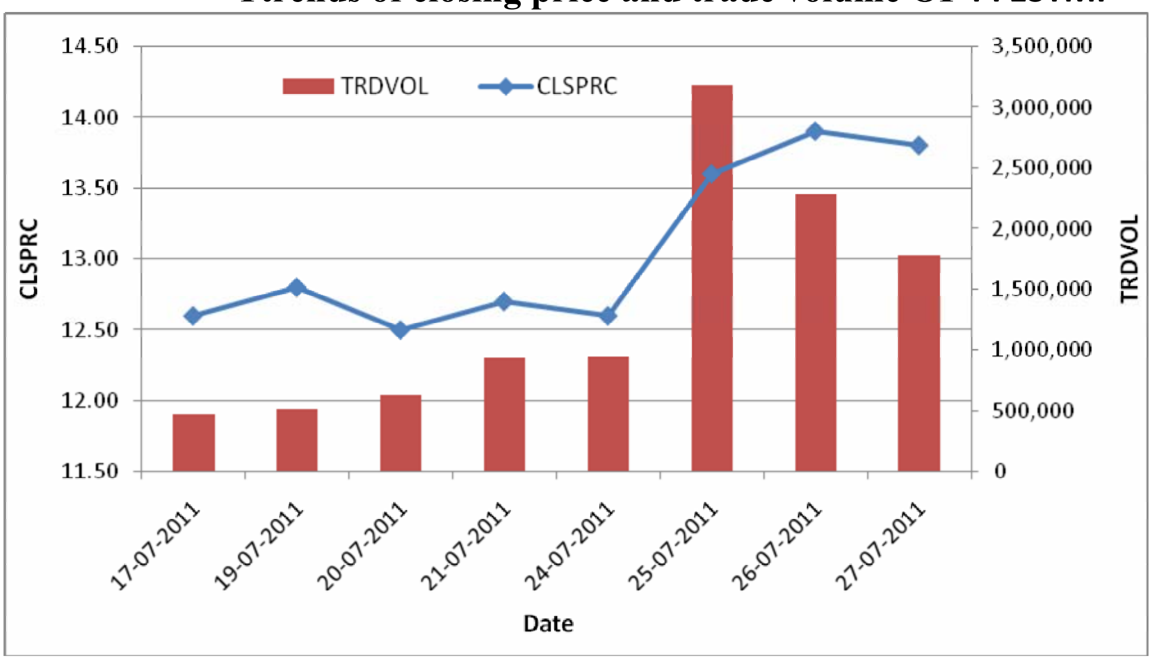


Whereas, hearing has been conducted with Equity Capital (MCS) Ltd.. Abdur Rahim has attended the hearing. He has represented the accused. He has submitted an explanation letter. In the letter he has stated the following among others;

<u>Quote</u>

“webxZ wb‡e`b GB †h, Awg wbg ¯^v¶iKvix Ave`i iwng, wcZv- gZ: Igi Avjx, gvZv- bvnvi Avd‡ivR, wVKvbv: i“g bs- 26-27 (2q Zjv), 89 gwZwSj ev/G, XvKv- 1000| Avgvi wk¶v Rxeb †kl K‡i AvZ¥Kgms¯'v‡bi j‡¶¨ wewfb cwZôv‡bi D‡`¨v³v/cwiPvjK/Askx`vi nB| msweó cwZôvb mgn gjZ cwRevRv‡i wewb‡qv‡Mi mv‡_ m¤ú³ wQj| 2010 m‡bi cwRevRv‡i cZ‡bi ci cwZôvb mg‡ni Ab¨vb¨ Askx`vi ev cwiPvjKMY cwZôv‡bi gjab D‡Ëvj‡bi Rb¨ Pvc w`‡Z _v‡K; B‡Zvg‡a¨ Avgvi c_g mšvb cwb‡Z W‡e gviv hvq| GKw`‡K mšvb nviv †kvK, Ab¨w`‡K Askx`vi‡`i Pv‡ci Kvi‡Y Awg gvbwlKfv‡e Am¯^ n‡q cwo| GgZve¯'vq wewb‡qvMKZ cwR D×v‡ii Rb¨ AvcvY †Póv Kwi| G Ki“b †cw¶‡Z Awg H mg‡q †h †jb‡`b Kwi Zv †Kvbµ‡gB Avgvi m¯^ gw¯‡¯‹ m¤úwi`Z nq bvB|

ZvQvov Awg eÜ-evÜe, AvZ¥xq-¯^Rb, fvB-‡evb, fMœcwZ, gvgvmn A‡b‡Ki KvQ †_‡K FY wb‡q evRv‡i wewb‡qvM Kwi| eZgv‡b Avgvi wb‡Ri I cwZôvb mg‡ni BKBwU cvq 10 †KwU UvKvi Dc‡i FbvZ¥K| m¤cwZ Avgvi AvZ¥xq ¯^Rb UvKvi Rb¨ Pvc c‡qvM Ki‡j Avgvi gv †eBb †÷v‡K Avµvš n‡q c¨vivjvBR Ae¯'vq kh¨vkvqx| eZgv‡b A‡bK K‡ó GKgvÎ mšvb, ¯^x I gv‡K wb‡q w`bwZcvZ KiwQ| cwZw`b e¨vs‡Ki Fb, cwZôvb mg‡ni Askx`vi‡`i

UvKvi Rb¨ Pvc, AvZ¥xq-¯^Rb‡`i Pv‡c eZgv‡b Awg gvbwlKfv‡e Am¯^| cwZwU gû‡Z AvZ¥nZ¨vi B‡”Q K‡i| wKš GKgvÎ AeS mšvb Avi gv‡qi g‡Li w`‡K ZwK‡q cviwQ bv| ZeI Rwb bv Avi KZ w`b GBfv‡e †e‡P _vKe| cwZwU gû‡Z B‡”Q K‡i AvZ¥nZ¨v Kwi|

Av‡iv D‡jL¨ †h, MZ 17/07/2013 Zwi‡L ïbvbxKv‡j Avgv‡K wRÁvmv Kiv n‡qwQj wfkb K¨wcUvj g¨v‡bR‡g›U Avgv‡K wP‡b wKbv| wfkb K¨wcUvj g¨v‡bR‡g›U wjt G Avgvi GKwU †KvW i‡q‡Q hvi bs- 3491| hw` Zviv Avgv‡K bvB wP‡b Zv n‡j Avgvi wewb‡qvM wnmve _v‡K wK K‡i|

ZvB Dc‡iv³ e³‡e¨i Av‡jv‡K Avgvi webxZ wb‡e`b Avgvi Aciva gvbweK `wó‡Kvb †_‡K we‡ePbv ceK ¶gv Kivi Av‡e`b KiwQ; hv‡Z K‡i Avgvi AeS wkï I gv‡K wb‡q †e‡P _vK‡Z cvwi| Avi hw` GB Amn¨ gvbwmK hšbv mn¨ Ki‡Z bv cv‡i gZ¨i ¯^vqx wVKvbvq P‡j hvB Zvn‡j Avgvi AvZ¥v‡K gvd K‡i †`Iqvi Av‡e`b KiwQ Ges Avgvi mšvb I Avgvi gv‡qi Rb¨ †`vqv Kvgbv KiwQ|”

<u>Unquote</u>

Whereas, in the letter he has confessed the allegation, begged apology. He has stated that the reported transaction has been done by him in order to recover his invested capital from the market.

Whereas, Abdur Rahim has executed his alleged trade through ten number of accounts. One of the accounts is Equity Capital (MCS) Ltd where Mr.Abdur Rahim is secretary. Equity Capital (MCS) Ltd bearing code no. A0459 is one of the clients of Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.).The account has been operated by Mr.Abdur Rahim. In this account Abdur Rahim has traded huge quantity of shares of PHOENIX FINANCE 1ST MUTUAL FUND on the reported date and executed buy sell between the aforesaid codes including the account of Equity Capital (MCS) and has created active trade, series of transaction in order to attract the other investors, manipulated the number of trade contract, trade volume and share price. He has traded through too many howlas so that number of trade contracts would increase significantly. Such type of transaction is the clear contravention of section 17 e (ii) and 17 e (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969).His explanation has not been accepted by the Commission..

Whereas, the aforesaid activities are tantamount to non-compliance of securities law that appears deliberate and clear contravention of the section 17 (e) (ii) (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) attracting penal provision of section 22 of the Securities and Exchange Ordinance, 1969 .

Whereas, to protect the discipline and transparency of the capital market along with it's development the Commission deems it appropriate and necessary to impose penalty upon Equity Capital (MCS) Ltd..

Now, therefore, Bangladesh Securities and Exchange Commission, in exercise of the power conferred by section 22 (amended by the Securities and Exchange (Amendment) Act, 2000) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) hereby imposes penalty for Tk.02.00 (Tk.Two) Lac upon Equity Capital (MCS) Ltd which is to be deposited to the Commission in the form of Bank Draft/Payorder favouring 'Bangladesh Securities and Exchange Commission' within 15 days from the date of issuance of this order.

By order of the Bangladesh Securities and Exchange Commission

Professor Dr. M. Khairul Hossain
Chairman

203
Order

Whereas, on the basis of the investigation report of Dhaka Stock Exchange Limited on trading in shares of PHOENIX FINANCE 1ST MUTUAL FUND, a show cause-cum-hearing notice No. **SEC/Enforcement/994/2011/378** **dated** June 23, 2013 was issued to Empire Securities holding Ltd. where Mr.Abdur Rahim is Managing Director. Empire Securities holding Ltd. bearing code no. A 0484 is one of the clients of Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.).The account has been operated by Mr.Abdur Rahim. In the show cause-cum-hearing notice among others following have been mentioned;-

Quote

Whereas, as per section 17(e)(ii) (iii) and (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969),"No person shall, for the purpose of inducing, dissuading, effecting, preventing or in any manner influencing or turning to his advantage, the sale or purchase of any security, directly or indirectly,-

do any act or practice or engage in a course of business, or omit to do any act which operates or would operate as a fraud, deceit or manipulation upon any person, in particular-

create a false and misleading appearance of active trading in any security;

effect any transaction in such security which involves no change in its beneficial ownership;

directly or indirectly effect a series of transactions in any security creating the appearance of active trading therein or of raising of price for the purpose of inducing its purchase by others or depressing its price for the purpose of inducing its sale by others;"

Whereas, an investigation has been conducted by DSE regarding trading in shares of PF1STMF by Abdur Rahim and associates.

Whereas, copy of the relevant part of the report is enclosed herewith.

Whereas, among others the following has been reported ;

" it was found that during 17.07.2011 to 27.07.2011 total trade volume of **PF1STMF** shares was 10,285,500 whereas, Mr. Rahim, along with 10 (ten) accounts associated with him traded **7649500** shares of **PF1STMF** which is almost 74% of total trade of that period. Particulars and trade details of those accounts are stated below:

S.L. No	Name of Member Company/ Merchant Bank	Name of Client	Client code	Relation with Abdur Rahim
1	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Empire Securities holding Ltd.	A 0484	Managing Director
2	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Equity Capital (MCS) Ltd.	A0459	Secretary
3	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Abdur Rahim	A0460	Own Account
4	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	A.R. Consultation Ltd.	A0490	Proprietor
5	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	New Capital Finance & Commerce (MCS) Ltd.	A0502	Secretary
6	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	NaharAroz-Omar Ali foundation	A0499	Executive Director
7	Uttara Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	A. R. Consultation Ltd.(	U5303	Proprietor
8	Uttara Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Abdur Rahim	U5304	Own Account
9	Bangladesh Commerce Bank ltd.	Badrun Nesa	6893	Wife of Abdur Rahim
10	Bangladesh Commerce Bank ltd.	Tashrara-Rayat Agro Enterprise	6946	Proprietor

Contravention: From the report it appears that, Mr. Abdur Rahim and his associates have violated

1. Section 17 (e) (v) of the Securities and Exchange ordinance, 1969 (XVII of 1969) as it has been observed that Mr. Rahim was involved directly and indirectly in share trading of PF1STMF by the following ways:

a. Mr. Abdur Rahim was involved directly and indirectly in a series of transaction of securities of PF1STMF in order to create the appearance of active trading of the said share

b. Significant amount securities of PF1STMF were traded by those accounts on some days, compared to the total trade of that day.

2. Section 17(e) (ii) of Securities and Exchange Ordinance, 1969, by creating a misleading appearance of active trading in shares of PF1STMF by effecting the trade volume of PF1STMF whereas, they only interchanged the ownership of shares within themselves and tried to influence the price and volume of PF1STMF shares.

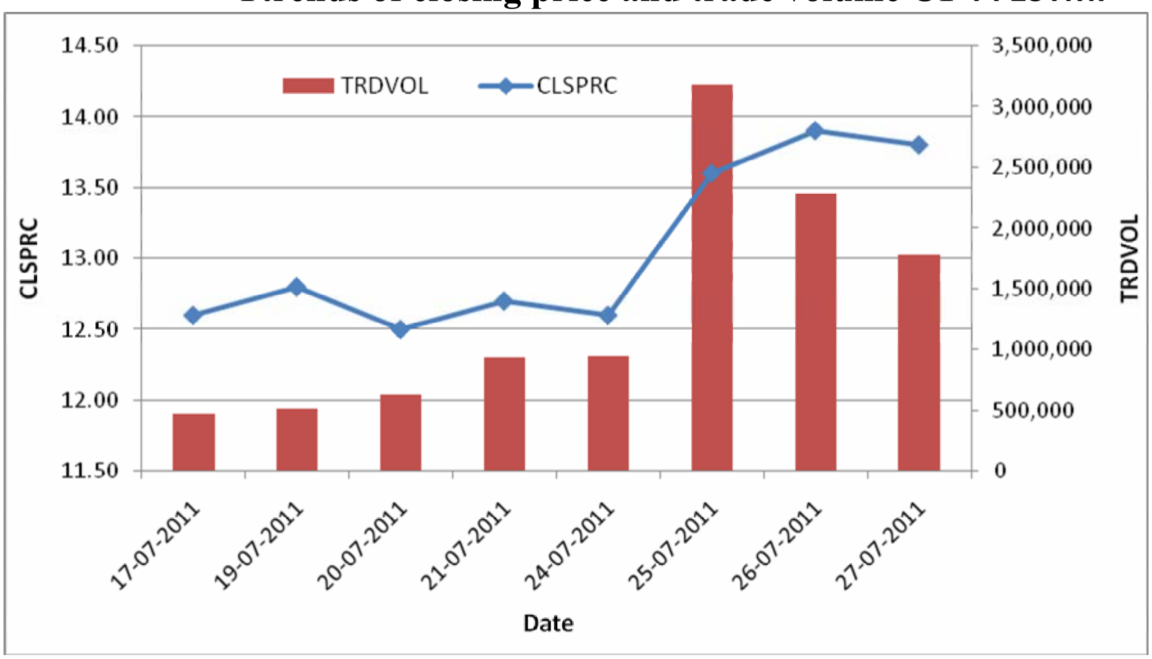
3. Section 17(e) (iii) of Securities and Exchange Ordinance, 1969, by effecting the transactions of PF1STMF shares which involves no change in beneficial ownership

Unquote

Whereas, the investigation team has reported the following among others which has been enclosed with the showcause cum hearing notice.

Trade Date	Total Trade By Mr. Rahim and Associates	Total Trade of PF1STMF	% of total trade done by Mr. Rahim and Associates
19-07-11	323500	516000	63%
20-07-11	392000	635000	62%
21-07-11	475500	940000	51%
24-07-11	249000	945000	26%
25-07-11	3472500	3181000	109%
26-07-11	1826500	2288000	80%
27-07-11	910500	1780500	51%
Total	**7649500**	**10285500**	74%

Ttrends of closing price and trade volume OF PF1STMF



Whereas, hearing has been conducted with Empire Securities holding Ltd.. Abdur Rahim has attended the hearing. He has represented the accused. He has submitted an explanation letter. In the letter he has stated the following among others;

Quote

“webxZ wb‡e`b GB †h, Avwg wbg¯^v¶iKvix Ave`i iwng, wcZv- gZ: Igi Avjx, gvZv- bvnvi Avd‡ivR, wVKvbv: i“g bs- 26-27 (2q Zjv), 89 gwZwSj ev/G, XvKv- 1000| Avgvi wk¶v Rxeb †kl K‡i AvZ¥Kgms¯’v‡bi j‡¶¨ wewfb cwZôv‡bi D‡`¨v³v/cwiPvjK/Askx`vi nB| mswkó cwZôvb mgn gjZ cwRevRv‡i wewb‡qv‡Mi mv‡_ m¤ú³ wQj| 2010 m‡bi cwRevRv‡i cZ‡bi ci cwZôvb mg‡ni Ab¨vb¨ Askx`vi ev cwiPvjKMY cwZôv‡bi gjab D‡Ëvj‡bi Rb¨ Pvc w`‡Z _v‡K; B‡Zvg‡a¨ Avgvi c_g mšvb cwb‡Z W‡e gviv hvq| GKw`‡K mšvb nviv †kvK, Ab¨w`‡K Askx`vi‡`i Pv‡ci Kvi‡Y Avwg gvbwlKfv‡e Am¯’ n‡q cwo| GgZve¯’vq wewb‡qvMKZ cwR D×v‡ii Rb¨ AvcvY †Póv Kwi| G Ki“b †cw¶‡Z Avwg H mg‡q †h †jb‡`b Kwi Zv †Kvbµ‡gB Avgvi m¯’ gw¯‡¯‹ m¤úvw`Z nq bvB|

ZvQvov Avwg eÜ-evÜe, AvZ¥xq-¯^Rb, fvB-‡evb, fMœcwZ, gvgvmn A‡b‡Ki KvQ †_‡K FY wb‡q evRv‡i wewb‡qvM Kwi| eZgv‡b Avgvi wb‡Ri I cwZôvb mg‡ni BKBwU cvq 10 †KwU UvKvi Dc‡i FbvZ¥K| m¤cwZ Avgvi AvZ¥xq ¯^Rb UvKvi Rb¨ Pvc c‡qvM Ki‡j Avgvi gv †eBb †÷v‡K Avµvš- n‡q c¨vivjvBR Ae¯’vq kh¨vkvqx| eZgv‡b A‡bK K‡ó GKgvÎ mšvb, ¯x I gv‡K wb‡q w`bwZcvZ KiwQ| cwZw`b e¨vs‡Ki Fb, cwZôvb mg‡ni Askx`vi‡`i

UvKvi Rb¨ Pvc, AvZ¥xq-¯^Rb‡`i Pv‡c eZgv‡b Avwg gvbwlKfv‡e Am¯’| cwZwU gû‡Z AvZ¥nZ¨vi B‡”Q K‡i| wKš GKgvÎ AeS mšvb Avi gv‡qi g‡Li w`‡K ZwK‡q cvwiwQ bv| Ze I Rwb bv Avi KZ w`b GBfv‡e †e‡P _vKe| cwZwU gû‡Z B‡”Q K‡i AvZ¥nZ¨v Kwi|

Av‡iv D‡jL¨ †h, MZ 17/07/2013 Zwi‡L ïbvbxKv‡j Avgv‡K wRÁvmv Kiv n‡qwQj wfkb K¨wcUvj g¨v‡bR‡g›U Avgv‡K wP‡b wKbv| wfkb K¨wcUvj g¨v‡bR‡g›U wjt G Avgvi GKwU †KvW i‡q‡Q hvi bs- 3491| hw` Zviv Avgv‡K bvB wP‡b Zv n‡j Avgvi wewb‡qvM wnmve _v‡K wK K‡i|

ZvB Dc‡iv³ e³‡e¨i Av‡jv‡K Avgvi wwebxZ wb‡e`b Avgvi Aciva gvbweK `wó‡Kvb †_‡K we‡ePbv ceK ¶gv Kivi Av‡e`b KiwQ; hv‡Z K‡i Avgvi AeS wkï I gv‡K wb‡q †e‡P _vK‡Z cvwi| Avi hw` GB Amn¨ gvbwmK hšbv mn¨ Ki‡Z bv cv‡i gZ¨i ¯^vqx wVKvbvq P‡j hvB Zvn‡j Avgvi AvZ¥v‡K gvd K‡i †`Iqvi Av‡e`b KiwQ Ges Avgvi mšvb I Avgvi gv‡qi Rb¨ †`vqv Kvgbv KiwQ|”

Unquote

Whereas, in the letter he has confessed the allegation, begged apology. He has stated that the reported transaction has been done by him in order to recover his invested capital from the market.

Whereas, Abdur Rahim has executed his alleged trade through ten number of accounts. One of the account is Empire Securities holding Ltd. where Mr.Abdur Rahim is Managing Director. Empire Securities holding Ltd. bearing code no. A 0484 is one of the clients of Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.).The account has been operated by Mr.Abdur Rahim.In this account Abdur Rahim has traded huge quantity of shares of PHOENIX FINANCE 1ST MUTUAL FUND on the reported date and executed buy sell between the aforesaid codes including the account of Empire Securities holding Ltd and has created active trade, series of transaction in order to attract the other investors, manipulated the number of trade contract, trade volume and share price. He has traded through too many howlas so that number of trade contracts would increase significantly. Such type of transaction is the clear contravention of section 17 e (ii) and 17 e (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969).His explanation has not been accepted by the Commission..

Whereas, the aforesaid activities are tantamount to non-compliance of securities law that appears deliberate and clear contravention of the section 17 (e) (ii) (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) attracting penal provision of section 22 of the Securities and Exchange Ordinance, 1969 .

Whereas, to protect the discipline and transparency of the capital market along with it's development the Commission deems it appropriate and necessary to impose penalty upon Empire Securities holding Ltd..

Now, therefore, Bangladesh Securities and Exchange Commission, in exercise of the power conferred by section 22 (amended by the Securities and Exchange (Amendment) Act, 2000) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) hereby imposes penalty for Tk.02.00 (Tk.Two) Lac upon Empire Securities holding Ltd. which is to be deposited to the Commission in the form of Bank Draft/Payorder favouring 'Bangladesh Securities and Exchange Commission' within 15 days from the date of issuance of this order.

By order of the Bangladesh Securities and Exchange Commission

Professor Dr. M. Khairul Hossain
Chairman

204
Order

Whereas, on the basis of the investigation report of Dhaka Stock Exchange Limited on trading in shares of PHOENIX FINANCE 1ST MUTUAL FUND, a show cause-cum-hearing notice No. **SEC/Enforcement/994/2011/378** **dated** June 23, 2013 was issued to New Capital Finance & Commerce (MCS) Ltd where Mr.Abdur Rahim is secretary. New Capital Finance & Commerce (MCS) Ltd bearing code no. A0502 is one of the clients of Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.).The account has been operated by Mr.Abdur Rahim. In the show cause-cum-hearing notice among others following have been mentioned;-

Quote

Whereas, as per section 17(e)(ii) (iii) and (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969),"No person shall, for the purpose of inducing, dissuading, effecting, preventing or in any manner influencing or turning to his advantage, the sale or purchase of any security, directly or indirectly,-

do any act or practice or engage in a course of business, or omit to do any act which operates or would operate as a fraud, deceit or manipulation upon any person, in particular-

create a false and misleading appearance of active trading in any security;

effect any transaction in such security which involves no change in its beneficial ownership;

directly or indirectly effect a series of transactions in any security creating the appearance of active trading therein or of raising of price for the purpose of inducing its purchase by others or depressing its price for the purpose of inducing its sale by others;"

Whereas, an investigation has been conducted by DSE regarding trading in shares of PF1STMF by Abdur Rahim and associates.

Whereas, copy of the relevant part of the report is enclosed herewith.

Whereas, among others the following has been reported ;

" it was found that during 17.07.2011 to 27.07.2011 total trade volume of **PF1STMF** shares was 10,285,500 whereas, Mr. Rahim, along with 10 (ten) accounts associated with him traded **7649500** shares of **PF1STMF** which is almost 74% of total trade of that period. Particulars and trade details of those accounts are stated below:

S.L. No	Name of Member Company/ Merchant Bank	Name of Client	Client code	Relation with Abdur Rahim
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2	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Equity Capital (MCS) Ltd.	A0459	Secretary
3	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Abdur Rahim	A0460	Own Account
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5	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	New Capital Finance & Commerce (MCS) Ltd.	A0502	Secretary
6	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	NaharAroz-Omar Ali foundation	A0499	Executive Director
7	Uttara Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	A. R. Consultation Ltd.(	U5303	Proprietor
8	Uttara Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Abdur Rahim	U5304	Own Account
9	Bangladesh Commerce Bank ltd.	Badrun Nesa	6893	Wife of Abdur Rahim
10	Bangladesh Commerce Bank ltd.	Tashrara-Rayat Agro Enterprise	6946	Proprietor

Contravention: From the report it appears that, Mr. Abdur Rahim and his associates have violated

1. Section 17 (e) (v) of the Securities and Exchange ordinance, 1969 (XVII of 1969) as it has been observed that Mr. Rahim was involved directly and indirectly in share trading of PF1STMF by the following ways:

a. Mr. Abdur Rahim was involved directly and indirectly in a series of transaction of securities of PF1STMF in order to create the appearance of active trading of the said share

b. Significant amount securities of PF1STMF were traded by those accounts on some days, compared to the total trade of that day.

2. Section 17(e) (ii) of Securities and Exchange Ordinance, 1969, by creating a misleading appearance of active trading in shares of PF1STMF by effecting the trade volume of PF1STMF whereas, they only interchanged the ownership of shares within themselves and tried to influence the price and volume of PF1STMF shares.

3. Section 17(e) (iii) of Securities and Exchange Ordinance, 1969, by effecting the transactions of PF1STMF shares which involves no change in beneficial ownership

Unquote

Whereas, the investigation team has reported the following among others which has been enclosed with the showcause cum hearing notice.

Trade Date	Total Trade By Mr. Rahim and Associates	Total Trade of PF1STMF	% of total trade done by Mr. Rahim and Associates
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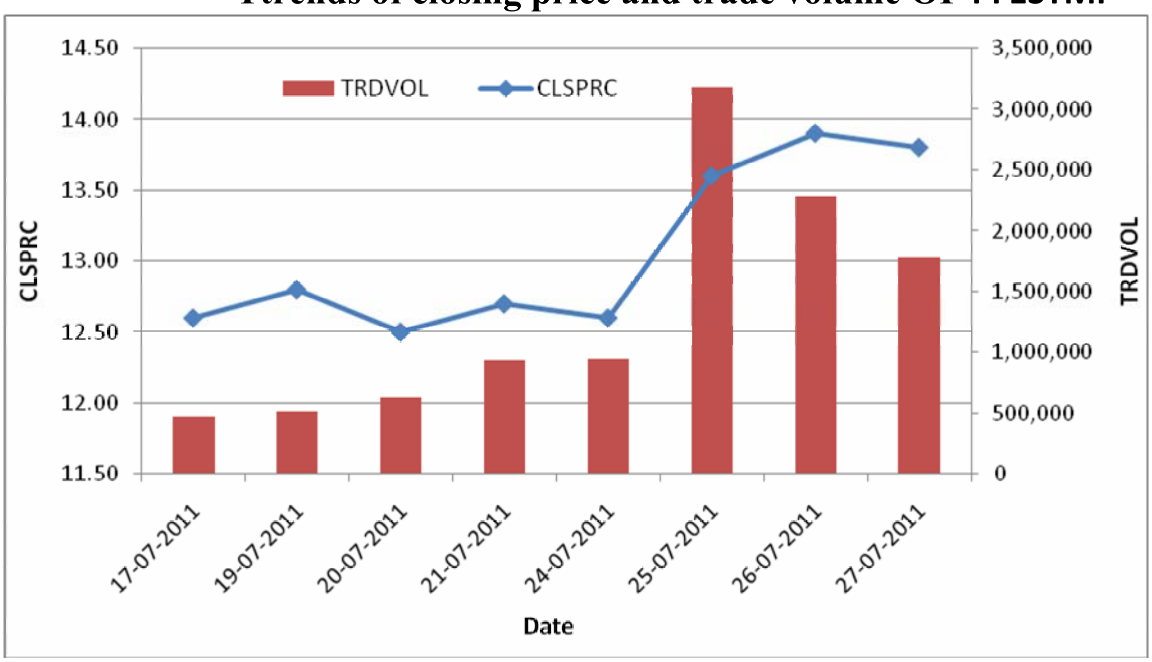
27-07-11	910500	1780500	51%
Total	**7649500**	**10285500**	74%

Ttrends of closing price and trade volume OF PF1STMF



Whereas, hearing has been conducted with New Capital Finance & Commerce (MCS) Ltd. Abdur Rahim has attended the hearing. He has represented the accused. He has submitted an explanation letter. In the letter he has stated the following among others;

Quote

“wbebxZ wb‡e`b GB †h, Awg wbg ¯v¶iKvix Ave`i iwng, wcZv- gZ: Igi Avjx, gvZv- bvnvi Avd‡ivR, wVKvbv: i“g bs- 26-27 (2q Zjv), 89 gwZwSj ev/G, XvKv- 1000| Avgvi wk¶v Rxeb †kl K‡i AvZ¥Kgms¯’v‡bi j‡¶¨ wewfb cwZôv‡bi D‡`¨v³v/cwiPvjK/Askx`vi nB| msw¶ß cwZôvb mgn gjZ cwiPvjK cwiPvjK cwZôvb mgn gjZ cwRevRv‡i wewb‡qv‡Mi mv‡_ m¤ú³ wQj| 2010 m‡bi cwRevRv‡i cZ‡bi ci cwZôvb mg‡ni Ab¨vb¨ Askx`vi ev cwiPvjKMY cwZôv‡bi gjab D‡Ëvj‡bi Rb¨ Pvc w`‡Z _v‡K; B‡Zvg‡a¨ Avgvi c_g mšvb cwb‡Z W‡e gviv hvq| GKw`‡K mšvb nviv †kvK, Ab¨w`‡K Askx`vi‡`i Pv‡ci Kvi‡Y Awg gvbwlKfv‡e Am¯’ n‡q cwo| GgZve¯’vq wewb‡qvMKZ cwR D×v‡ii Rb¨ AvcvY †Póv Kwi| G Ki“b †cw¶‡Z Awg H mg‡q †h †jb‡`b Kwi Zv †Kvbµ‡gB Avgvi m¯ gw¯‡‹ m¤úwi`Z nq bvB|

ZvQvov Awg eÜ-evÜe, AvZ¥xq-¯Rb, fvB-‡evb, fMœcwZ, gvgvmn A‡b‡Ki KvQ †_‡K FY wb‡q evRv‡i wewb‡qvM Kwi| eZgv‡b Avgvi wb‡Ri I cwZôvb mg‡ni BKBwU cvq 10 †KwwU UvKvi Dc‡i FbvZ¥K| m¤cwZ Avgvi AvZ¥xq ¯Rb UvKvi Rb¨ Pvc c‡qvM Ki‡j Avgvi gv †eBb †÷v‡K Avµvš n‡q c¨vivjvBR Ae¯’vq kh¨vkvqx| eZgv‡b A‡bK K‡ó GKgvÎ mšvb, ¯x I gv‡K wb‡q w`bwZcvZ KiwQ| cwZw`b e¨vs‡Ki Fb, cwZôvb mg‡ni Askx`vi‡`i

UvKvi Rb¨ Pvc, AvZ¥xq-¯Rb‡`i Pv‡c eZgv‡b Awg gvbwlKfv‡e Am¯’| cwZwU gû‡Z AvZ¥nZ¨vi B‡”Q K‡i| wKš GKgvÎ AeS mšvb Avi gv‡qi g‡Li w`‡K ZwK‡q cvwiQ bv| ZeI Rwb bv Avi KZ w`b GBfv‡e †e‡P _vKe| cwZwU gû‡Z B‡”Q K‡i AvZ¥nZ¨v Kwi|

Av‡iv D‡jL¨ †h, MZ 17/07/2013 Zwi‡L ïbvbxKv‡j Avgv‡K wRÁvmv Kiv n‡qwQj wfkb K¨wcUvj g¨v‡bR‡g›U Avgv‡K wP‡b wKbv| wfkb K¨wcUvj g¨v‡bR‡g›U wjt G Avgvi GKwU †KvW i‡q‡Q hvi bs- 3491| hw` Zviv Avgv‡K bvB wP‡b Zv n‡j Avgvi wewb‡qvM wnmve _v‡K wK K‡i|

ZvB Dc‡iv³ e³‡e¨i Av‡jv‡K Avgvi wbebxZ wb‡e`b Avgvi Aciva gvbweK `wó‡Kvb †_‡K we‡ePbv ceK ¶gv Kivi Av‡e`b KiwQ; hv‡Z K‡i Avgvi AeS wkï I gv‡K wb‡q †e‡P _vK‡Z cwi| Avi hw` GB Amn¨ gvbwmK hšbv mn¨ Ki‡Z bv cv‡i gZ¨i ¯vqx wVKvbvq P‡j hvB Zvn‡j Avgvi AvZ¥v‡K gvd K‡i †`Iqvi Av‡e`b KiwQ Ges Avgvi mšvb I Avgvi gv‡qi Rb¨ †`vqv Kvgbv KiwQ|”

Unquote

Whereas, in the letter he has confessed the allegation, begged apology. He has stated that the reported transaction has been done by him in order to recover his invested capital from the market.

Whereas, Abdur Rahim has executed his alleged trade through ten number of accounts. One of the account is New Capital Finance & Commerce (MCS) Ltd. where Mr.Abdur Rahim is secretary. New Capital Finance & Commerce (MCS) Ltd bearing code no. A0502 is one of the clients of Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.).The account has been operated by Mr.Abdur Rahim. In this account Abdur Rahim has traded huge quantity of shares of PHOENIX FINANCE 1ST MUTUAL FUND on the reported date in order to manipulate the number of trade contract, trade volume and share price. Such type of transaction is the clear contravention of section 17 e (ii) and 17 e (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969).His explanation has not been accepted by the Commission.

Whereas, the aforesaid activities are tantamount to non-compliance of securities law that appears deliberate and clear contravention of the section 17 (e) (ii) (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) attracting penal provision of section 22 of the Securities and Exchange Ordinance, 1969 .

Whereas, to protect the discipline and transparency of the capital market along with it's development the Commission deems it appropriate and necessary to impose penalty upon New Capital Finance & Commerce (MCS) Ltd..

Now, therefore, Bangladesh Securities and Exchange Commission, in exercise of the power conferred by section 22 (amended by the Securities and Exchange (Amendment) Act, 2000) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) hereby imposes penalty for Tk.02.00 (Tk.Two) Lac upon New Capital Finance & Commerce (MCS) Ltd. which is to be deposited to the Commission in the form of Bank Draft/Payorder favouring 'Bangladesh Securities and Exchange Commission' within 15 days from the date of issuance of this order.

By order of the Bangladesh Securities and Exchange Commission

Professor Dr. M. Khairul Hossain
Chairman

Distribution:
Prime Finance Capital Management Limited (Merchant Bank)
63 Dilkusha C/A
Dhaka-1000

205

Order

Whereas, on the basis of the investigation report of Dhaka Stock Exchange Limited on trading in shares of PHOENIX FINANCE 1ST MUTUAL FUND, a show cause-cum-hearing notice No. **SEC/Enforcement/994/2011/378 dated** June 23, 2013 was issued to Mr.Abdur Rahim and his associates to appear at the hearing accusing for violating section 17 (e) (ii) (iii) (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969). In the show cause-cum-hearing notice among others following have been mentioned;-

Quote

Whereas, as per section 17(e)(ii) (iii) and (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969),"No person shall, for the purpose of inducing, dissuading, effecting, preventing or in any manner influencing or turning to his advantage, the sale or purchase of any security, directly or indirectly,-

do any act or practice or engage in a course of business, or omit to do any act which operates or would operate as a fraud, deceit or manipulation upon any person, in particular-

create a false and misleading appearance of active trading in any security;

effect any transaction in such security which involves no change in its beneficial ownership;

directly or indirectly effect a series of transactions in any security creating the appearance of active trading therein or of raising of price for the purpose of inducing its purchase by others or depressing its price for the purpose of inducing its sale by others;"

Whereas, an investigation has been conducted by DSE regarding trading in shares of PF1STMF by Abdur Rahim and associates.

Whereas, copy of the relevant part of the report is enclosed herewith.

Whereas, among others the following has been reported ;

" it was found that during 17.07.2011 to 27.07.2011 total trade volume of **PF1STMF** shares was 10,285,500 whereas, Mr. Rahim, along with 10 (ten) accounts associated with him traded **7649500** shares of **PF1STMF** which is almost 74% of total trade of that period. Particulars and trade details of those accounts are stated below:

S.L. No	Name of Member Company/ Merchant Bank	Name of Client	Client code	Relation with Abdur Rahim
1	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Empire Securities holding Ltd.	A 0484	Managing Director
2	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Equity Capital (MCS) Ltd.	A0459	Secretary
3	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Abdur Rahim	A0460	Own Account
4	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	A.R. Consultation Ltd.	A0490	Proprietor
5	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	New Capital Finance & Commerce (MCS) Ltd.	A0502	Secretary
6	Prime Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	NaharAroz-Omar Ali foundation	A0499	Executive Director
7	Uttara Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	A. R. Consultation Ltd.(	U5303	Proprietor
8	Uttara Finance and Investment Ltd. (traded through Vision Capital Management ltd.)	Abdur Rahim	U5304	Own Account
9	Bangladesh Commerce Bank ltd.	Badrun Nesa	6893	Wife of Abdur Rahim
10	Bangladesh Commerce Bank ltd.	Tashrara-Rayat Agro Enterprise	6946	Proprietor

Contravention: From the report it appears that, Mr. Abdur Rahim and his associates have violated

1. Section 17 (e) (v) of the Securities and Exchange ordinance, 1969 (XVII of 1969) as it has been observed that Mr. Rahim was involved directly and indirectly in share trading of PF1STMF by the following ways:

a. Mr. Abdur Rahim was involved directly and indirectly in a series of transaction of securities of PF1STMF in order to create the appearance of active trading of the said share

b. Significant amount securities of PF1STMF were traded by those accounts on some days, compared to the total trade of that day.

2. Section 17(e) (ii) of Securities and Exchange Ordinance, 1969, by creating a misleading appearance of active trading in shares of PF1STMF by effecting the trade volume of PF1STMF whereas, they only interchanged the ownership of shares within themselves and tried to influence the price and volume of PF1STMF shares.

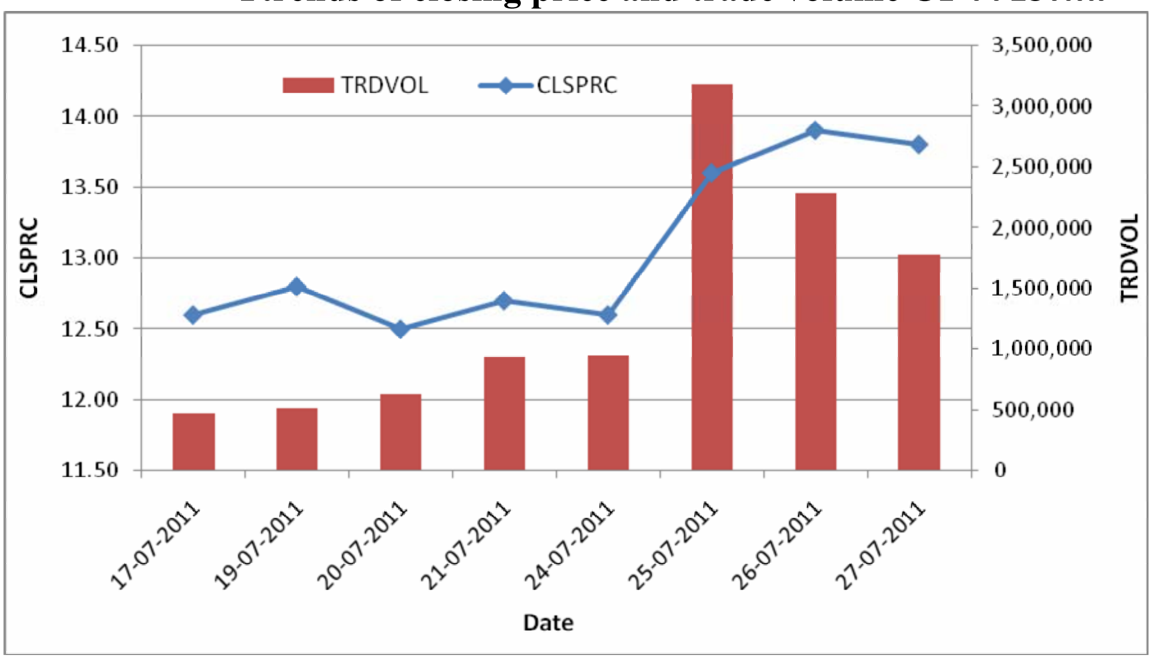
3. Section 17(e) (iii) of Securities and Exchange Ordinance, 1969, by effecting the transactions of PF1STMF shares which involves no change in beneficial ownership

Unquote

Whereas, the investigation team has reported the following among others which has been enclosed with the showcause cum hearing notice.

Trade Date	Total Trade By Mr. Rahim and Associates	Total Trade of PF1STMF	% of total trade done by Mr. Rahim and Associates
19-07-11	323500	516000	63%
20-07-11	392000	635000	62%
21-07-11	475500	940000	51%
24-07-11	249000	945000	26%
25-07-11	3472500	3181000	109%
26-07-11	1826500	2288000	80%
27-07-11	910500	1780500	51%
Total	**7649500**	**10285500**	74%

Ttrends of closing price and trade volume OF PF1STMF



Trade Date	Trade Time	Instrument Code	Howla No	Trade Volume	Trade Price	Buyer Code	Buyer Client	Seller Code	Seller Client
19-Jul-11	14:25:28	PF1STMF	2900101	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900102	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900103	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900104	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900105	500	12.8	DSESCM	A0459	DSESCM	A0490

19-Jul-11	14:25:28	PF1STMF	2900106	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900107	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900108	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900109	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900110	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900111	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900112	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900113	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900114	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900115	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900116	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900117	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900118	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900119	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900120	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900121	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900122	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900123	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900124	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900125	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900126	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900127	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900128	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900129	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900130	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900131	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900132	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900133	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900134	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900135	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900136	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900137	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900138	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900139	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900140	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:25:28	PF1STMF	2900141	500	12.8	DSESCM	A0459	DSESCM	A0490
19-Jul-11	14:46:05	PF1STMF	2900177	36000	12.9	DSEBCB	6893	DSESCM	A0460
19-Jul-11	14:48:15	PF1STMF	2900182	10000	12.9	DSEBCB	6893	DSESCM	A0460
19-Jul-11	14:48:15	PF1STMF	2900183	10000	12.9	DSEBCB	6893	DSESCM	A0460
19-Jul-11	14:48:15	PF1STMF	2900184	3500	12.9	DSEBCB	6893	DSESCM	A0460

Total	80000					

Source: DSE Surveillance Data

Trade Date	Trade Time	Instrument Code	Howla No	Trade Volume	Trade Price	Buyer Code	Buyer Client	Seller Code	Seller Client
20-Jul-11	13:34:14	PF1STMF	2900081	1000	12.8	DSESCM	A0459	DSESCM	A0460
20-Jul-11	13:34:14	PF1STMF	2900088	1000	12.8	DSESCM	A0459	DSESCM	A0460
20-Jul-11	13:36:54	PF1STMF	2900089	4000	12.8	DSESCM	A0484	DSESCM	A0460
20-Jul-11	13:36:54	PF1STMF	2900090	1000	12.8	DSESCM	A0484	DSESCM	A0460
20-Jul-11	13:39:27	PF1STMF	2900097	5000	12.8	DSESCM	A0490	DSESCM	A0460
20-Jul-11	13:39:27	PF1STMF	2900098	1000	12.8	DSESCM	A0490	DSESCM	A0460
20-Jul-11	13:48:22	PF1STMF	2900110	4500	12.8	DSEBCB	6946	DSESCM	A0460
20-Jul-11	13:48:22	PF1STMF	2900111	1000	12.8	DSEBCB	6946	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900119	5000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900120	1000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900124	5000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900125	1000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900127	5000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900128	1000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900130	5000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900131	1000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900133	5000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900134	1000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900136	5000	12.8	DSEBCB	6893	DSESCM	A0460
Trade Date	Trade Time	Instrument Code	Howla No	Trade Volume	Trade Price	Buyer Code	Buyer Client	Seller Code	Seller Client
20-Jul-11	13:49:04	PF1STMF	2900137	1000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900139	5000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900140	1000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900142	5000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900143	1000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900145	5000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900146	1000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900148	3500	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900149	1000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900151	1000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900153	1000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900155	1000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900157	1000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900159	1000	12.8	DSEBCB	6893	DSESCM	A0460

20-Jul-11	13:49:04	PF1STMF	2900161	1000	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	13:49:04	PF1STMF	2900163	500	12.8	DSEBCB	6893	DSESCM	A0460
20-Jul-11	14:24:14	PF1STMF	2900227	2500	12.7	DSESCM	A0459	DSESCM	A0460
20-Jul-11	14:24:14	PF1STMF	2900232	1000	12.7	DSESCM	A0459	DSESCM	A0460
20-Jul-11	14:24:14	PF1STMF	2900233	500	12.7	DSESCM	A0459	DSESCM	A0460
20-Jul-11	14:26:35	PF1STMF	2900234	4500	12.7	DSESCM	A0490	DSESCM	A0460
20-Jul-11	14:26:35	PF1STMF	2900235	1000	12.7	DSESCM	A0490	DSESCM	A0460
20-Jul-11	14:26:35	PF1STMF	2900236	5000	12.7	DSESCM	A0490	DSESCM	A0460
20-Jul-11	14:26:35	PF1STMF	2900237	1000	12.7	DSESCM	A0490	DSESCM	A0460
20-Jul-11	14:26:35	PF1STMF	2900238	5000	12.7	DSESCM	A0490	DSESCM	A0460
20-Jul-11	14:26:35	PF1STMF	2900239	1000	12.7	DSESCM	A0490	DSESCM	A0460
20-Jul-11	14:26:35	PF1STMF	2900240	3500	12.7	DSESCM	A0490	DSESCM	A0460
20-Jul-11	14:35:16	PF1STMF	2900242	500	12.7	DSESCM	A0499	DSESCM	A0460
20-Jul-11	14:35:16	PF1STMF	2900243	1000	12.7	DSESCM	A0499	DSESCM	A0460
20-Jul-11	14:35:16	PF1STMF	2900244	5000	12.7	DSESCM	A0499	DSESCM	A0460
20-Jul-11	14:35:16	PF1STMF	2900245	1000	12.7	DSESCM	A0499	DSESCM	A0460
20-Jul-11	14:35:16	PF1STMF	2900246	3000	12.7	DSESCM	A0499	DSESCM	A0460
Total				119000					

Source: DSE Surveillance Data

Trade Date	Trade Time	Instrument Code	Howla No	Trade Volume	Trade Price	Buyer Code	Buyer Client	Seller Code	Seller Client
25-Jul-11	12:06:45	PF1STMF	2900268	3000	13	DSESCM	A0460	DSESCM	A0490
25-Jul-11	13:09:55	PF1STMF	2900458	8500	13	DSESCM	A0484	DSESCM	A0460
25-Jul-11	13:10:54	PF1STMF	2900466	77500	13	DSESCM	A0490	DSESCM	A0460
25-Jul-11	14:27:29	PF1STMF	2900813	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900814	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900815	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900816	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900817	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900818	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900819	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900820	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900821	500	13.6	DSESCM	A0490	DSEBCB	6946

25-Jul-11	14:27:29	PF1STMF	2900822	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900823	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900824	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900825	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900826	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900827	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900828	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900829	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900830	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900831	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900832	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900833	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900834	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900835	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900836	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900837	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900838	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900839	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900840	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900841	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900842	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900843	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900844	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900845	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900846	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900847	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900848	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900849	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900850	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900851	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900852	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900853	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900854	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900855	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900856	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900857	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900858	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900859	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900860	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900861	500	13.6	DSESCM	A0490	DSEBCB	6946

25-Jul-11	14:27:29	PF1STMF	2900862	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900863	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900864	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900865	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900866	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900867	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900868	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900869	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900870	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900871	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900872	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:29	PF1STMF	2900873	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900874	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900875	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900876	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900877	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900878	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900879	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900880	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900881	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900882	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900883	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900884	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900885	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900886	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900887	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900888	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900889	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900890	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900891	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900892	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900893	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900894	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900895	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900896	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900897	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900898	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900899	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900900	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900901	500	13.6	DSESCM	A0490	DSEBCB	6946

25-Jul-11	14:27:30	PF1STMF	2900902	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900903	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900904	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900905	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900906	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900907	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900908	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900909	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900910	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900911	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900912	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900913	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900914	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900915	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900916	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900917	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900918	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900919	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900920	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900921	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900922	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900923	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900924	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900925	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900926	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900927	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900928	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900929	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900930	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900931	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900932	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900933	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900934	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900935	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900936	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900937	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900938	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900939	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900940	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900941	500	13.6	DSESCM	A0490	DSEBCB	6946

25-Jul-11	14:27:30	PF1STMF	2900942	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900943	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900944	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900945	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900946	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900947	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900948	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900949	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900950	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900951	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900952	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900953	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900954	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900955	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900956	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900957	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900958	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:30	PF1STMF	2900959	500	13.6	DSESCM	A0490	DSEBCB	6946
25-Jul-11	14:27:49	PF1STMF	2900960	2500	13.6	DSESCM	A0460	DSEBCB	6946
25-Jul-11	14:28:06	PF1STMF	2900975	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901008	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901016	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901019	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901021	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901023	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901024	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901025	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901026	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901027	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901028	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901029	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901030	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901031	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901032	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901033	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901034	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901035	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901036	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901037	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901038	5000	13.7	DSESCM	A0459	DSEBCB	6893

25-Jul-11	14:34:35	PF1STMF	2901039	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901040	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901041	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901042	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901043	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901044	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901045	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901046	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901047	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901048	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901049	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:35	PF1STMF	2901050	1500	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:34:52	PF1STMF	2901051	3500	13.7	DSESCM	A0460	DSEBCB	6893
25-Jul-11	14:34:52	PF1STMF	2901053	2000	13.7	DSESCM	A0460	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901054	3000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901058	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901060	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901062	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901064	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901066	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901068	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901070	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901072	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901074	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901076	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901077	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901078	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901079	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901080	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901081	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:35:09	PF1STMF	2901082	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:39:44	PF1STMF	2901089	5000	13.7	DSESCM	A0460	DSEBCB	6893
25-Jul-11	14:40:31	PF1STMF	2901097	5000	13.7	DSESCM	A0460	DSEBCB	6893
25-Jul-11	14:40:31	PF1STMF	2901100	5000	13.7	DSESCM	A0460	DSEBCB	6893
25-Jul-11	14:40:31	PF1STMF	2901101	5000	13.7	DSESCM	A0460	DSEBCB	6893
25-Jul-11	14:40:31	PF1STMF	2901102	5000	13.7	DSESCM	A0460	DSEBCB	6893
25-Jul-11	14:40:31	PF1STMF	2901103	5000	13.7	DSESCM	A0460	DSEBCB	6893
25-Jul-11	14:40:31	PF1STMF	2901104	5000	13.7	DSESCM	A0460	DSEBCB	6893
25-Jul-11	14:40:31	PF1STMF	2901105	5000	13.7	DSESCM	A0460	DSEBCB	6893
25-Jul-11	14:40:31	PF1STMF	2901106	5000	13.7	DSESCM	A0460	DSEBCB	6893

25-Jul-11	14:40:31	PF1STMF	2901107	5000	13.7	DSESCM	A0460	DSEBCB	6893
25-Jul-11	14:40:31	PF1STMF	2901108	3500	13.7	DSESCM	A0460	DSEBCB	6893
25-Jul-11	14:43:55	PF1STMF	2901168	1500	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:55	PF1STMF	2901171	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:55	PF1STMF	2901173	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:55	PF1STMF	2901175	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:55	PF1STMF	2901177	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:55	PF1STMF	2901179	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:55	PF1STMF	2901181	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:55	PF1STMF	2901183	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:55	PF1STMF	2901185	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901187	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901189	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901191	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901193	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901195	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901197	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901199	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901201	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901203	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901205	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901207	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901209	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901210	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901211	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901212	5000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:43:56	PF1STMF	2901213	3000	13.7	DSESCM	A0459	DSEBCB	6893
25-Jul-11	14:46:28	PF1STMF	2901215	5000	13.6	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:46:28	PF1STMF	2901216	5000	13.6	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:46:28	PF1STMF	2901217	5000	13.6	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:46:28	PF1STMF	2901218	5000	13.6	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:46:28	PF1STMF	2901219	5000	13.6	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:46:28	PF1STMF	2901220	5000	13.6	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:46:28	PF1STMF	2901221	5000	13.6	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:46:28	PF1STMF	2901222	5000	13.6	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:46:28	PF1STMF	2901223	5000	13.6	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:46:28	PF1STMF	2901224	5000	13.6	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:48:00	PF1STMF	2901225	9000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:05	PF1STMF	2901239	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:05	PF1STMF	2901240	5000	13.5	DSESCM	A0460	DSESCM	A0459

25-Jul-11	14:55:05	PF1STMF	2901241	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:05	PF1STMF	2901242	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:05	PF1STMF	2901243	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:05	PF1STMF	2901244	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:05	PF1STMF	2901245	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:05	PF1STMF	2901246	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:05	PF1STMF	2901247	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:05	PF1STMF	2901248	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:05	PF1STMF	2901249	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:05	PF1STMF	2901250	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:06	PF1STMF	2901251	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:06	PF1STMF	2901252	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:06	PF1STMF	2901253	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:06	PF1STMF	2901254	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:06	PF1STMF	2901255	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:06	PF1STMF	2901256	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:06	PF1STMF	2901257	5000	13.5	DSESCM	A0460	DSESCM	A0459
25-Jul-11	14:55:06	PF1STMF	2901258	5000	13.5	DSESCM	A0460	DSESCM	A0459
Total				747000					

Source: DSE Surveillance Data

Whereas, hearing has been conducted with Abdur Rahim. Abdur Rahim has attended the hearing. He has represented the others also. He has submitted an explanation letter. In the letter he has stated the following among others;

Quote

“webxZ wb‡e`b GB †h, Awg wbg ¯v¶iKvix Ave`i iwng, wcZv- gZ: Igi Avjx, gvZv- bvnvi Avd‡ivR, wVKvbv: i“g bs- 26-27 (2q Zjv), 89 gwZwSj ev/G, XvKv- 1000| Avgvi wk¶v Rxeb †kl K‡i AvZ¥Kgms¯v‡bi j‡¶¨ wewfb cwZôv‡bi D‡`¨v³v/cwiPvjK/Askx`vi nB| mswkó cwZôvb mgn gjZ cwRevRv‡i wewb‡qv‡Mi mv‡_ m¤ú³ wQj| 2010 m‡bi cwRevRv‡i cZ‡bi ci cwZôvb mg‡ni Ab¨vb¨ Askx`vi ev cwiPvjKMY cwZôv‡bi gjab D‡Ëvj‡bi Rb¨ Pvc w`‡Z _v‡K; B‡Zvg‡a¨ Avgvi c_g mšvb cwb‡Z W‡e gviv hvq| GKw`‡K mšvb nviv †kvK, Ab¨w`‡K Askx`vi‡`i Pv‡ci Kvi‡Y Awg gvbwlKfv‡e Am¯ n‡q cwo| GgZve¯vq wewb‡qvMKZ cwR D×v‡ii Rb¨ AvcvY †Póv Kwi| G Ki“b †cw¶‡Z Awg H mg‡q †h †jb‡`b Kwi Zv †Kvbµ‡gB Avgvi m¯ gw¯‡¯‹ m¤úw`Z nq bvB|

ZvQvov Awg eÜ-evÜe, AvZ¥xq-¯Rb, fvB-‡evb, fMœcwZ, gvgvmn A‡b‡Ki KvQ †_‡K FY wb‡q evRv‡i wewb‡qvM Kwi| eZgv‡b Avgvi wb‡Ri I cwZôvb mg‡ni BKBwU cvq 10 †KwU UvKvi Dc‡i FbvZ¥K| m¤cwZ Avgvi AvZ¥xq ¯Rb UvKvi Rb¨ Pvc c‡qvM Ki‡j Avgvi gv †eBb †÷v‡K Avµvš n‡q c¨vivjvBR Ae¯vq kh¨vkvqx| eZgv‡b A‡bK K‡ó GKgvÎ mšvb, ¯x I gv‡K wb‡q w`bwZcvZ KiwQ| cwZw`b e¨vs‡Ki Fb, cwZôvb mg‡ni Askx`vi‡`i

UvKvi Rb¨ Pvc, AvZ¥xq-¯Rb‡`i Pv‡c eZgv‡b Awg gvbwlKfv‡e Am¯| cwZwU gû‡Z AvZ¥nZ¨vi B‡”Q K‡i| wKš GKgvÎ AeS mšvb Avi gv‡qi g‡Li w`‡K ZwK‡q cvwiQ bv| ZeI Rwb bv Avi KZ w`b GBfv‡e †e‡P _vKe| cwZwU gû‡Z B‡”Q K‡i AvZ¥nZ¨v Kwi|

Av‡iv D‡jL¨ †h, MZ 17/07/2013 Zwi‡L ïbvbxKv‡j Avgv‡K wRÁvmv Kiv n‡qwQj wfkb K¨wcUvj g¨v‡bR‡g›U Avgv‡K wP‡b wKbv| wfkb K¨wcUvj g¨v‡bR‡g›U wjt G Avgvi GKwU †KvW i‡q‡Q hvi bs- 3491| hw` Zviv Avgv‡K bvB wP‡b Zv n‡j Avgvi wewb‡qvM wnmve _v‡K wK K‡i|

ZvB Dc‡iv³ e³‡e¨i Av‡jv‡K Avgvi webxZ wb‡e`b Avgvi Aciva gvbweK `wó‡Kvb †_‡K we‡ePbv ceK ¶gv Kivi Av‡e`b KiwQ; hv‡Z K‡i Avgvi AeS wkï I gv‡K wb‡q †e‡P _vK‡Z cwi| Avi hw` GB Amn¨ gvbwmK hšbv mn¨ Ki‡Z bv cv‡i gZ¨i ¯vqx wVKvbvq P‡j hvB Zvn‡j Avgvi AvZ¥v‡K gvd K‡i †`Iqvi Av‡e`b KiwQ Ges Avgvi mšvb I Avgvi gv‡qi Rb¨ †`vqv Kvgbv KiwQ|”

Unquote

Whereas, in the letter he has confessed the allegation, begged apology. He has stated that the reported transaction has been done by him in order to recover his invested capital from the market.

Whereas, different codes directly related to Abdur Rahim were the counterparty of the trade. He has traded between the codes he maintained in different name and has created active trade, series of transaction in order to attract the other investors, manipulated the number of trade contract, trade volume and share price. He has traded through too many howlas so that number of trade contracts would increase significantly. Such type of transaction is the clear contravention of section 17 e (ii) and 17 e (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969).His explanation has not been accepted by the Commission.

Whereas, the aforesaid activities are tantamount to non-compliance of securities law that appears deliberate and clear contravention of the section 17 (e) (ii) (v) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) attracting penal provision of section 22 of the Securities and Exchange Ordinance, 1969 .

Whereas, to protect the discipline and transparency of the capital market along with it's development the Commission deems it appropriate and necessary to impose penalty upon Mr.Abdur Rahim.

Now, therefore, Bangladesh Securities and Exchange Commission, in exercise of the power conferred by section 22 (amended by the Securities and Exchange (Amendment) Act, 2000) of the Securities and Exchange Ordinance, 1969 (XVII of 1969) hereby imposes penalty for Tk.10.00 (Tk.Ten) Lac upon Mr.Abdur Rahim which is to be deposited to the Commission in the form of Bank Draft/Payorder favouring ‘Bangladesh Securities and Exchange Commission’ within 15 days from the date of issuance of this order.

By order of the Bangladesh Securities and Exchange Commission

Professor Dr. M. Khairul Hossain
Chairman