

Av#`k

#h#nZ, K#gkb, ewj m#KD#i#UR #j#g#UW (#WGmB m`m` bs-153) tK Zvi Av#e`bμ#g, #bawiZ kZvax#b m#KD#i#UR μq #eμq KgKvÊ c#iPvjbv Kivi Rb` m#KD#i#UR I G· #PÄ K#gkb (AZ:c#i ÊK#gkbÊ e#j D#j#LZ) m#KD#i#UR I G· #PÄ K#gkb AvBb, 1993 (1993 m#bi 15 bs AvBb) Gi 10(1) G c`Ê #gZve#j m#KD#i#UR I G· #PÄ K#gkb (÷K-#Wjvi, ÷K-#evKvi I Ab#g#`Z c#Z#b#a) #e#agvjv, 2000 Gi #eia 5(5) mn c#VZ ÷K#evKvi/#Wjvi #i#R#ók#b m#U#d#KU c`vb K#i#Q;

#h#nZ, K#gkb Gi Av#`k bs SEC/SRI/99-864/282 dated October 10, 2010 Gi gva#g ewj m#KD#i#UR #j#g#UW (#WGmB m`m` bs-153) G c#i`k#bi Rb` GK#U K#g#U M#VZ nq Ges D<sup>3</sup> c#i`k#b K#g#Ui `#LjKZ c#Z#e`b Abhvqx findings and contraventions #bæi#c:

“7(e). Bali Securities Limited (DSE Member # 153) provided credit facilities to Md. Monir Hossain (Client code # 4988), Subodh Chandra Halder (Client code # 0911), Rasheda Akter Maya (0998), Md. Siddiquil Alam (Client code # 5002), Mohammed Badaruddin (5585) & Kazi Md. Giasuddin (Client code # 0043) to purchase shares without any Margin Loan Agreement.”

CONTRAVENTIONS: Through the aforesaid activities Bali Securities Ltd. (Member No. 153) violated the Rule 3(2) of Margin Rules, 1999.

#h#nZ, K#gkb Dc#i#Wj#LZ c#Z#e`b Abhvqx m#KD#i#UR AvBb c#icvj#b e`_Zvi `i`b ewj m#KD#i#UR #j#g#UW Gi eive#i GK#U show-cause-cum-hearing notice m# bs-SEC/Enforcement/861/2011/10 ZwiL 05 R#bqvix 2011 Bs #ciY K#i Ges 16 R#bqvix 2011 Bs Zwi#L kbvxi `b ah` K#i Ges ah`KZ Zwi#L D<sup>3</sup> #evKvi/#Wjvi Gi m#bqi GK#RiKD#Uf A#dmvi Dc#Z n#g c# bs ewj-25/2011/03 ZwiL 16 R#bqvix 2011 Bs Gi gva#g #j#LZ e<sup>3</sup>e` `#Lj K#ib# h#Z Ab#v#b`i g#a, #b#g#³ #elq, #ji D#j#L Av#Q:-

- (1) “#K#W bs-4988 Rbve g#bi #nv#mb B#Zg#a` Zvi e#Kqv mgšq K#i#Qb# f#el`#Z #Z#b #hb evK#Z e`emv bv Ki#Z c#i#b #m Rb` m#kó Ab#g#`Z c#Z#b#a#K mZK Kiv n#g#Q#
- (2) #K#W bs 0911, Rbve m#eva P>` nvj`vi Avg#`i #K#v#v#xi AvqKi Dc#`óv# #Z#b 3/4 gvm ci ci #K#U UvKvi Dci #UW K#i _v#Kb# m#aviYZ Zvi #Kvb e#Kqv _v#K bv# GmBm Gi c#i`k#Kv#j #Z#b #e#`k Ae`vb KivQ#j#b #earq`xN#`b Zvi e#Kqv #Qj# eZgv#b Zvi #Kvb e#Kqv bvB#
- (3) #K#W bs-998, #eMg iv#k`v Av<sup>3</sup>vi gvqv c#vB #K#U UvKvi Dci #UW K#i \_v#Kb# #UW #k#I Zvi #Kvb e#Kqv \_vK#j #Z#b `Z mgšq K#i #`b# eZgv#b Zvi #Kvb e#Kqv bvB#
- (4) #K#W bs-5002, Rbve m#I#Kj Avjg #bq#gZ Ges eo As#Ki #UW#i# Zvi #Kv#W m#aviYZ e#Kqv _v#K bv Ges eZgv#b Zvi #Kvb e#Kqv bvB#
- (5) #K#W bs-5585, Rbve #gvt e`i D#I#b #bq#gZ #UW#i# eZgv#b Zvi #Kvb e#Kqv bvB#
- (6) #K#W bs-0043, KvRx #gvt #Mqvm D#I#b #bq#gZ #UW#i# eZgv#b Zvi #Kvb e#Kqv bvB#

Dc#iv³ Ae⁻vq, Avgv#`i th mKj f j f"U n#q#Q Zv B"QvKZ bq Ges Avgiv GR#b" AvŠiKfv#e `tLZ| GB tci#Z AvbxZ Aif#hM n#Z Avgv#`i Ae"vniZ w`#q wclqU wbaúwÉ Kivi Rb" w#klfv#e Ab#iva Rvbw"Q| fweI"Z GmBm Gi wbbqg-Kvbb Abmib K#iB hveZxq KvR maúv`b Kivi e"vcv#i Avgv#`i c#Póv Ae"vnZ _vK#e|"

#h#nZ, ewj wmwKDwiUR wj#g#UW Gi wjwLZ e³e" t#K m-úo cZxqgvb nq th, ibvbx i tbwU#ki Aif#hMmgn ewj wmwKDwiUR wj#g#UW xKvi K#i#Q hv wmwKDwiUR AvBb c#icvj#b e"Zv weavq section 22 of the Securities and Exchange Ordinance, 1969 Abhvqx kw`#hM" Aciva, hv tKvbf#eB #lgv Kiv hvq bv;

#h#nZ, Kvgk#bi w#e#Pbvq, wmwKDwiUR AvBb c#icvj#b DwjwLZ e"Zvi Rb", Z_v c#RevRv#ii Dbq#bi cvkvcwk evRv#ii ksLjv I "QZv i#vi v#_D³ tevKvi/Wjvi tK R#igvbn Kiv c#qvRb I mgxPxb;

AZGe, t#nZ, Kvgkb, DwjwLZ hveZxq wclq w#e#PbvceK, Securities and Exchange Ordinance, 1969 (Ordinance No. XVII of 1969) Gi section 22 [hv The Securities and Exchange (Amendment) Act, 2000 Øviv ms#kwaZ] G c`É #lgZve#j mv` wmwKDwiUR wj#g#UW (wGmB m`m" bs-118) Gi Dci 1 (GK) j#UvKv R#igvbn avh" Kij hv AÎ Av#`#ki ZwiL n#Z 15 (c#bi) w`#bi g#a" ØmwKDwiUR I G · #PÄ KvgkbØ Gi AbK#j Bm"KZ e"vsK Wwdu/tc-AW#ii gva#g Kvgk#b Rgv Ki#Z n#e|

wmwKDwiUR I G · #PÄ Kvgk#bi Av#`kμ#g,

#gv: wRq#Dj nK tLv`Kvi
#Pqv#g`vb

wZibt

ewj wmwKDwiUR wj#g#UW

i#g bs-637-638

9/B g#Z#Sj e#G

XvKv-1000|

ewj wmwKDwiUR wjwg#UW
i"q bs-637-638
9/B gWZwSj ew/G
XvKv-1000|

weiq: Av#`k|

Kwgk#bi 28 #de"qvix, 2011 Bs Zwi#Li Av#`k bs GmBm/Gb#dvm#g>U/861/2011/126 Gi
mZ`vqZ Abwj#c Avcbvi AeMwZ I c#qvRbxq e"e<sup>-</sup>v Mn#bi Rb" GZ`ms#M msh³ Kiv n#jv|

wmwKDwiUR I G · #PÄ Kwgk#bi c#¶

gxi #gvkviid #nv#mb #P#aiX
cwiPvjK

weZibt

c #b wewxKgKZ@XKvóK G· #PÄ ywg#UW
c #b wewxKgKZ@PAMö óK G· #PÄ ywg#UW

AeMwZi Rb" Abj#c:

- 1| wbevnX cwiPvjK, mvi#fBj"vY, GmBm
- 2| wbevnX cwiPvjK, AvBb, GmBm
- 3| cwiPvjK, GgAvBGm, GmBm
- 4| cwiPvjK, GmAviAvB, GmBm
- 5| #Pqvigvb g#nv`#qi `Bi, GmBm