

bs-GmBm/Gb#dm#gU/1105/2013/561

ZwiLt 07 A#±vei, 2013 Bs

WweGj mKDwiUR j#g#UW
WGmB m`m` bs-193
115-120, gZSj ev/G
XvKv-1000

elq: A#`k|

evsj#`k mKDwiUR A`vû G · #PÄ Klgk#bi 07 A#±vei, 2013 Bs Zwi#Li A#`k bs-
GmBm/Gb#dm#gU/1105/2013/560 Gi mZ`vqZ Abwj#c Avcbvi AeM#Z I c#qvRbxq e`e`v
Mn#bi Rb` GZ`ms#M msh³ Kiv n#jv|

evsj#`k mKDwiUR A`vû G · #PÄ Klgk#bi c#¶|,

Avej Kvjvg AvRv`
Dc-ciPvjK
Gb#dm#gU wefvM
#dvb: 9573914

weZibt

cavb webvnx KgKZv, XvKv óK G · #PÄ j#g#UW|

m`q AeM#Zi Rb` Abwj#c:

- 1| tPqvig`vb g#nv`#qi `Bi, weGmBm|
- 2| webvnx ciPvjK, AvBb wefvM, weGmBm|
- 3| webvnx ciPvjK, Gm Avi AvB wefvM, weGmBm|
- 4| webvnx ciPvjK, GgAvBGm wefvM, weGmBm |

A#`k

#h#nZ, Kigkb, Wiegj WmKDmUR Wjg#UW (WGbB m`m` bs-193) #K Zvi Av#e`bμ#g, Wbawiz kZvax#b WmKDmUR μq Wμq KgKv# c#iPvj# Kivi Rb` eisj#`k WmKDmUR A`U G · #PÄ Kigkb (AZ:ci ÖKigkb# e#j D#j#LZ) WmKDmUR I G · #PÄ Kigkb AvBb, 1993 (1993 m#bi 15 bs AvBb) Gi 10(1) G c`È #lgZve#j WmKDmUR I G · #PÄ Kigkb (÷K-Wjvi, ÷K-#evKvi I Ab#g#`Z c#Zib#) W#agvjv, 2000 Gi W# 5(5) mn c#VZ ÷K#evKvi/Wjvi #i#R#ókb m#U#d#KU c`vb K#i#Q;

#h#nZ, Kigkb Gi A#`k bs SEC/SRI/INS/DSE-MEM/2010/608 dated 06.12.2012 Gi gva#g Wiegj WmKDmUR Wjg#UW G c#i`k#bi Rb` GK#U Kig#U M#VZ nq Ges D<sup>3</sup> c#i`kb Kig#Ui `W#LjKZ c#Z#e`b Ab#vqx findings and contraventions Wbg#j#C:

Quote: “

- A. DBL Securities Ltd provided margin facilities to non-margin securities i.e. Z Category securities in favor of Mr. Abul Bashar Chy, CLIENT CODE # 4946 , BO ID # 1201630030580797 as furnished below:

Date	Trans. type	Script name	Qty.	Rate	Amount	Broker's Comm.	Ledger Balance	REMARKS
04/08/10	Opening Ledger Balance						-10,94,30,287.55	The said stock-broker provided loan facilities to purchase shares of Lafarge Surma Cement Limited (“Z” category/Non-Marginable Securities).
	Buy	LAFSURCEML	2,000	590.05	11,38,100	3,414.30	-11,05,71,801.85	
	Closing Ledger Balance						-12,23,29,669.95	

Contravention: Providing margin loan facilities to the above-mentioned client against “Z” category share, DBL Securities Ltd violated SEC Directive No. SEC/CMRRCD/2001-43/169 dated October 01, 2009.

- B. As per Commission’s Directive No. SEC/CMRRCD/2001-43/53 dated July 25, 2010 no member (stock broker) shall be extended Margin Loan facilities to their approved individual clients or their spouse or any of their dependent persons in single or joint name more than Tk. 10.00 (ten) crore. It was found from the summary ledger/portfolio statement of Mr. Abul Bashar Chy, CLIENT CODE # 4946 , BO ID # 1201630030580797 that the single client had been enjoying margin loan facilities for more than Tk. 10.00 (ten) crore from the said broker on various dates, the summary of which are furnished below:

to develop their knowledge in securities law so that such kind of inadvertent will never be repeated in future.

In this regard, we assure you that the incident was very unintentional and heavy pressure of trade volume and we beg apology for the said matter. So you are requested to exonerate us from this impact.

We refer to your letter no. BSEC /Enforcement /1008/2011/221 dated 19 March 2013 regarding two points for show cause cum notice for hearing: Non-compliance of securities related laws. In this respect we append below our responses to your queries for your kind consideration’.

Unquote.

þhþnZ, WwGj WmKDiiUR WjWgþUW Gi WjW LZ e³e³ t₋þK m⁻úó cZqgYb nq th, YbVxi tWUþki AifþhMmgn WwGj WmKDiiUR WjWgþUW WxKvi KþiþQ hv B³QKZ Ges WwLq, þjv WmKDiiUR AvBb cWicvjþb e⁻ Z_v Wwvq section 22 of Securities and Exchange Ordinance, 1969 Abhvq_x kW⁻þhVM⁻ Aciva Ges hv Wgvi AþhVM⁻;

þhþnZ, Kigkþbi WwPbvq, WmKDiiUR AvBb cWicvjþb DiiW LZ e⁻ Z_{vi} Rb⁻, Z_v cWRevRvþii Dbqþbi cWk_vcWk eWvþii ksLjv I⁻WQZv iWvi W⁻þ₋ D³ þevKvi/Wjvi tK RiWvYv Kiv cþqvRb I mgvPxþ;

AZGe, þmþnZ, Kigkb, DiiW LZ hveZxq WwLq WwPbvceK, Securities and Exchange Ordinance, 1969 (Ordinance No. XVII of 1969) Gi section 22 [hv The Securities and Exchange (Amendment) Act, 2000 Øviv msþkwaZ] G c⁻Ë WgZveþj WwGj WmKDiiUR WjWgþUW Gi Dci 01 (GK) j W UvKv RiWvYv avh⁻ Ki j hv A⁻ A⁻þ⁻þki ZW⁻iL nþZ 15 (cþbi) W⁻þ⁻þi gþa⁻ Øvsvjv⁻þ⁻k WmKDiiUR A⁻vÜ G⁻ þPÄ Kigkb⁻ Gi AbKþj Bm⁻KZ e⁻vsK WwU/þc-AWþii gva⁻þg Kigkþb Rgv KiþZ nþe|

eisjv⁻þ⁻k WmKDiiUR A⁻vÜ G⁻ þPÄ Kigkþbi
Avþ⁻kþg,

Aa⁻vcK W: Gg Lvqi⁻j þnvþmb
þPqvig⁻vþ

WwZibt
WwGj WmKDiiUR WjWgþUW
WwGmB m⁻m⁻ bs-193
115-120, gWZiSj eW/G
XvKv-1000