

bs-GmBwm/Gbtdvmtdg>U/1146/2013/65

Zwilt 23 Rvbqwi 2014 Bs

WgGAvi mKDwiUR jgUW
iæg bs-214, ÷ K G · tPÄ weis
9/Gd gZSj ev/G
XvKv-1000|

elq: Atd`k|

Kgktdbi 23 Rvbqwi 2014 Bs ZwiLti Avtd`k bs- GmBwm/Gbtdvmtdg>U/1146/2013/66 Gi mZ`wqZ
Abjwc Avcbvi AeMwZ I ctdvRbxq e`e<sup>-</sup>v Mntbi Rb` GZ`msM msh³ Kiv ntjv|

esjvtd`k mKDwiUR I G · tPÄ Kgktdbi ctd

tgvnvds` mtiKi ingvb
Dc-cwiPvjK

weZibt

cavb wevnx KgKZv, XvKv óK G · tPÄ jgUW

AeMwZi Rb` Abjwc:

- 1| wevnx cwiPvjK, AvBb, weGmBwm
- 2| wevnx cwiPvjK, mvtfBj`vY, weGmBwm
- 3| wevnx cwiPvjK, GgAvBGm, weGmBwm
- 4| tPqvig`vb gtdv`tdi `ti, weGmBwm

Av`k

thnZ, Kigkb, DMR Securities Services Limited (WGB m`m` bs-014) tK Zvi Avte`bμtg, bawiz kZvaxb
mmKDiiUR μq weμq KgKvU ciiPvjv Kivi Rb` mmKDiiUR I G · tPÄ Kigkb (AZ:ci ÖKigkb e+j DljøLZ)
mmKDiiUR I G · tPÄ Kigkb AvBb, 1993 (1993 m#bi 15 bs AvBb) Gi 10(1) G c`E tlgZve+j mmKDiiUR I
G · tPÄ Kigkb (÷K-Wjvi, ÷K-tevKvi I Abtgw`Z ciZibia) weagvjv, 2000 Gi weia 5(5) mn ciVZ ÷K-tevKvi/Wjvi
tiWRôkb muiid#KU c`vb K+i#Q;

thnZ, Kigk#bi "Instant Watch Market Surveillance System" G DMR Securities Services Limited
KZK MZ 14/05/2013 ZwiL "PRIMETEX" Gi 4000 tkqvi tjb#`b Short Sale Alert cii j#Z nq |
cieZ#Z D³ weitq m#fBj`vY wefvM KZK `wLjKZ ciZte`b Abhqx findings and contraventions bgic:

"DMR Securities Services Limited (DSE Membership # 14) allowed short selling of 4,000 shares of
"PRIMETEX" on May 14, 2013 in the account of its client, Ankan Saha and Alo Rani Saha (client code #
02196). Details are shown below:

Name of Client	Client Code	Date of Sale	Sold Qty.	Available Holding as per DPA6 Report	Short Sale Quantity
Ankan Saha and Alo Rani Saha	02196	14/05/2013	4,000	0	4,000

Contravention: Through the aforesaid activity, DMR Securities Services Limited violated regulation 4(1) of the Dhaka Stock Exchange (Short-Sale) Regulations, 2006.

Some mismatch has been found between simple trade report (generated by InstantWatch) and Client Ledger Statement (generated by back office software of the stock broker) in respect of buy of 4,000 shares of "PRIMETEX" on May 08, 2013 in favor of client named Ankan Saha and Alo Rani Saha (client code # 02196, BO A/C # 1203320009735082). As per simple trade report of InstantWatch of Market Surveillance System, DMR Securities Services Limited did not buy any share of "PRIMETEX" on 08/05/2013. But, the Client Ledger Statement shows buy of 4,000 no. of shares of "PRIMETEX" on 08/05/2013. Moreover, DP49 report also shows no credit of "PRIMETEX" shares in the BO account of the client during 08-14 May 2013. Details are shown in the following table:

Client Code	Date	Buy/Sell	Quantity as per SEC Surveillance	Quantity as per the ledger	No. of Mismatched share
02196	08/05/2013	Buy	0	4,000	4,000

Contraventions: Through the aforesaid activities, DMR Securities Services Limited violated (i) Section 18 of the Securities and Exchange Ordinance, 1969, (ii) Rule 8 (1) of the Securities and Exchange Rules, 1987 and (iii) mmKDiiUR I G · tPÄ Kigkb (÷K-Wjvi, öK tevKvi I Abtgw`Z ciZibia) weagvjv, 2000 (ØZxq Zdmmj) Gi weia 1 and 5."

Acicôvq`ôe-

côv-02

bs-GmBm/Gbtdm#g>U/1146/2013/

ZwiLt

Rvbqwi 2014 Bs

thnZ, Kigkb Dc+iwjøLZ mKDwiUR AvBb cii cvj#b e" _Zvi Rb" DMR Securities Services Limited Gi eive+i GKU show-cause-cum-hearing notice mÎ bs- SEC/Enforcement/1146/2013/463 ZwiL 22 RjvB 2013 Bs tciY K+i 01 AvM÷ 2013 Bs ZwiL kbvxi w`b avh" K+i Ges avh"KZ ZwiL DMR Securities Services Limited Gi cizibia DcLZ n#g c#i i gva"tg wjLZ e³e" `wLj K+ib| hvZ Ab"v#i g#a", wbbv³ wlg, wji D#jØL Av#Q:-

"-----4000 shares of Prime Textile Ltd. was wrongly bought in code # 2649 but sold in the relative code # 2196 of the buyer. Tasa report & B.O opening form are enclosed.

We corrected the buy 4000 Shares of Prime Textile Ltd. in our back office and transferred to code # 2196 and subsequently sold from that code. Related papers enclosed.

We apologize for the mistake & oversight and assure you that we shall take proper care so that such mistake does not occur in future. We give warning to all of our Authorized Representative in this matter."

thnZ, DMR Securities Services Limited Gi wjLZ e³e" t_K m`úó cZxggb nq th, ivbxi tbwU#ki AwfthvMngn DMR Securities Services Limited xKvi K+i#Q hv mKDwiUR AvBb cii cvj#b e" \_Zv weavq section 22 of the Securities and Exchange Ordinance, 1969 Abhvqx kv`thvM" Aciva Ges hv wlgvi A#hvM";

thnZ, Kigk#bi wetePbvq, mKDwiUR AvBb cii cvj#b DvjøLZ e" _Zvi Rb", Z_v cRevRv#ii Dbq#bi cvkvcwk evRv#ii ksljv I "QZv i wlv i v#_ D³ tevKvi/wjvi tK Rwigbv Kiv c#qvRb I mgxPxb;

AZGe, thnZ, Kigkb, DvjøLZ hveZxq wlg wetePbvceK, Securities and Exchange Ordinance, 1969 (Ordinance No. XVII of 1969) Gi section 22 [hv The Securities and Exchange (Amendment) Act, 2000 Øviv ms#kvwZ] G c`È wgzv#j DMR Securities Services Limited Gi Dci 1 (GK) j wlv Rwigbv avh" Kij hv AÎ Av#`#ki ZwiL n#Z 15 (c#bi) w`#bi g#a" õwsjv#`k mKDwiUR I G · #PÄ Kigkbó Gi AbK+j Bm"KZ e"vsk WdU/tc-AWv#ii i gva"tg Kigk#b Rgv Ki#Z n#e|

ewsjv#`k mKDwiUR I G · #PÄ Kigk#bi Av#`kµ#g

Aa"vcK W: Gg Lvqiaj tn#mb
#Pqigvb

wZibt

wGgAvi mKDwiUR wjg#UW

iæg bs-214, ÷K G · #PÄ wv`is

9/Gd gZiSj ev/G

XvKv-1000|

