



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন
Bangladesh Securities and Exchange Commission

Jiban Bima Tower, 10 Dilkusha C/A, Dhaka-1000, Bangladesh

Phone (PABX): 0088-02 9568101-2, 0088-02 9561525, Fax: 0088-02 9563721, 717660

SEC/Enforcement/1045/2012/172

March 07 , 2013

Mr. S M Faruque
Authorised Representative
Nouvelle Securities Ltd
DSE Member No. 112
Room No.719
Stock Exchange Building
9/F,Motijheel C/A
Dhaka-1000.

Sub: Penalty Order: Violation of Articles 1 and 6 of the Securities and Exchange Commission Act, 1993 (Act No. 17 of 1993), and Section 42(1) of the Securities and Exchange Commission Regulations, 2003.

Commission's penalty order No. SEC/Enforcement/1045/2012/171 dated March 07, 2013 is enclosed herewith for your kind information and necessary action.

For Bangladesh Securities and Exchange Commission

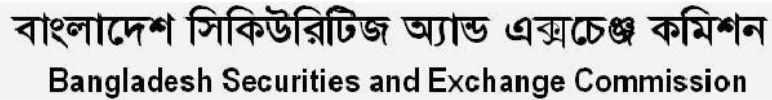
Mustari Jahan
Deputy Director (Enforcement Dept.)

Distribution:

Chief Executive Officer, Dhaka Stock Exchange Limited
Chief Executive Officer, Nouvelle Securities Limited

Copy to:

P.O to Commissioner (Enforcement), BSEC
P.O to Executive Director (Surveillance), BSEC
P.O to Director (Registration), BSEC with request for necessary action
Chairman's office, BSEC



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Order

“Mr. S M Faruque, Authorized Representative and DP In charge of Nouvelle Securities Ltd (DSE Member # 112) was involved in transfer of securities from other accounts to his own account just before the record date and return those shares after the record date. In some cases some corporate benefits was credited in his account, which are still there.

Date	Received Quantity	Delivered Quantity	Remarks	Name of the instrument
27.02.2012	5			AB Bank Ltd Record Date: 01.03.2012
04.03.2012		5		
10.05.2012	1		Corporate Action	
15.05.2012	4			IFIC Bank Ltd Record Date: 17.05.2012
20.05.2012		4		
22.04.2012	4			Islami Bank Ltd Record Date: 24.04.2012
25.04.2012		4		
27.05.2012	1		Corporate Action	
01.04.2012	1			UCBL
04.04.2012		1		Record Date: 03.04.2012



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Bangladesh Securities and Exchange Commission

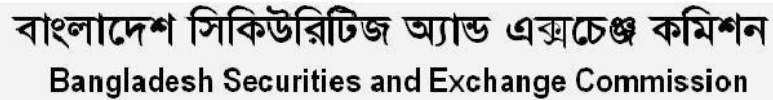
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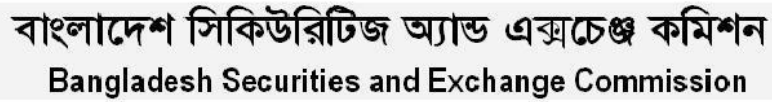
12.04.2012	500			ICB Islamic Bank Ltd
17.04.2012		500		Record Date: 16.04.2012
29.04.2012	48			Alarafa Islami Bank Ltd Record Date: 02.05.2012
03.05.2012		48		
29.05.2012	10		Corporate Action	
26.02.2012	5			Prime Bank Ltd Record Date: 05.03.2012
06.03.2012		5		
08.04.2012	1		Corporate Action	
28.02.2012	1			Southeast Bank Ltd Record Date: 29.02.2012
01.03.2012		1		
23.02.2012	1			Dhaka Bank Ltd Record Date: 28.02.2012
26.02.2012	9			
29.02.2012		10		
03.04.2012	3		Corporate Action	
05.03.2012	6			
17.04.2012	1		Corporate Action	NCCBL Record Date: 07.03.2012
14.02.2012	1			Dutch Bangla Ltd Record Date: 20.02.2012
22.02.2012		1		
20.03.2012	1			Mutual Trust Bank Ltd Record Date: 22.03.2012
28.03.2012		1		
09.05.2012	5			Standard Bank Ltd Record Date: 10.05.2012
04.03.2012		6		One Bank Ltd Record Date: 06.03.2012
07.03.2012	6			
04.04.2012	1		Corporate Action	
26.02.2012	5			Bank Asia Ltd Record Date: 29.02.2012
01.03.2012		5		
22.04.2012	1		Corporate Action	
16.05.2012	1			EXIM Bank Ltd Record Date: 22.05.2012
23.05.2012		1		
05.03.2012	3			Prime Finance Ltd Record Date: 07.03.2012
08.03.2012		3		
10.04.2012	1		Corporate Action	
26.04.2012	1			Jamuna Bank Ltd Record Date: 02.05.2012
03.05.2012		1		
04.03.2012	1			IPDC Bank Ltd Record Date: 07.03.2012
08.03.2012		1		



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Whereas, from the investigation report and the written confession of S M Faruque it is **proved** that the mentioned allegation of violating ২১৮(১) আইন (২১৮(১) আইন) (২১৮(১) আইন) ১৯৭৩, ২০০০



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Whereas, the aforesaid activities are tantamount to non-compliance of securities law, appeared to be deliberate and clear contravention of the above mentioned Articles 11 and 12. Therefore the said non compliance attracts penal provision of Article 12 of the Securities Law of Georgia (Law of Georgia No. 4113, dated 1997, as amended), Article 53 of the Criminal Code of Georgia (Law of Georgia No. 2125, dated 1999, as amended) and Article 18 of the Securities Law of Georgia (Law of Georgia No. 4113, dated 1997, as amended).

Now, therefore, Bangladesh Securities and Exchange Commission, in exercise of the power conferred by ~~para~~ 12 of the ~~Securities and Exchange Commission (Regulation) Act, 1993~~ hereby cancels Authorized Representative Registration Certificate no. SEC/AR/DSE/2007/404, issued on February 18, 2007 to S M Faruque . This shall have immediate effect.

Professor Dr. M. Khairul Hossain
Chairman

Mr. S M Faruque
Authorised Representative
Nouvelle Securities Ltd,DSE Member No. 112
Room No.719,Stock Exchange Building,9/F,Motijheel C/A
Dhaka-1000