

nviæb wmwKDwiUR wjwgUW
iæg bs-606, XvKv óK G · tPÄ wjwgUW
9/Gd, gwZSj ev/G , XvKv -1000

welq: Avt`k|

Kwgkabi 31 AvM÷ 2014 Bs ZwiLi Avt`k bs- GmBwm/GbtdvmtgU/2014/2041/592
Gi mZ`wqZ Abwjic Avcbvi AeMwZ I cqvRbxq e`e`v Mnabi Rb` GZ`msM msh³ Kiv
ntjv|

evsjvt`k wmwKDwiUR A`vU G · tPÄ Kwgkabi ct¶

†gvt BDmd fBqv
Dc-cwiPvjK

wEZibt

cavb wbevnX KgKZv, XvKv óK G · tPÄ wjwgUW
cavb wbevnX KgKZv, PÆMvg óK G · tPÄ wjwgUW

AeMwZi Rb` Abwjic:

- 1| wbevnX cwiPvjK, AvBb, weGmBwm
- 2| wbevnX cwiPvjK, mvtfBj`vY, weGmBwm
- 3| wbevnX cwiPvjK, GgAvBGm, weGmBwm
- 4/ tPqig`vb gtnv`tqi`Bi, weGmBwm

bs-GmBm/Gb#dvm#gU/2014/2041/592
Bs

ZwiLt 31 AvM÷ 2014

Av#`k

#h#nZ, Kigkb, Harun Securities Limited (WGbB UAvim bs-005) tK Zvi Av#e`bμtg, bawiz kZvaxb imiKDiiUR μq iemq KgKvU ciiPvjv Kivi Rb` imiKDiiUR I G·#PÄ Kigkb (AZ:ci ôKigkb e#j DiijLZ) imiKDiiUR I G·#PÄ Kigkb AvBb, 1993 (1993 m#bi 15 bs AvBb) Gi 10(1) G c`É tlgZve#j imiKDiiUR I G·#PÄ Kigkb (÷K-Wjvi, ÷K-teiKvi I Abtgw`Z ciiZibia) ieiagvjv, 2000 Gi iela 5(5) mn ciiVZ ÷K-teiKvi/Wjvi tiR#ókb miiUd#KU c`vb K#i#Q;

#h#nZ, Kigkb Gi Av#`k bs SEC/SRI/DSE-POLICY/14/2010/256 dated August 17, 2010 Gi wb#`©k tgvzv#eK Dhaka Stock Exchange Limited #K Harun Securities Limited cii`k#bi Rb` ejv nq Ges D³ cii`kb Kigui `vLjKZ ciZ#e`b Abhq findings and contraventions ibgi#c:

“1.The monitoring team observed negative balances in some directors, employees (including authorized representatives) and their family members’ ledgers of the member company. Some of these are shown below:

Code	Date	Day End Ledger Balance	Remarks
415	26/02/2013	-50,804.22	Director
999	31/07/2013	-25,735.42	Father of AR Sanjib Sen
1113	09/07/2013	-23,397.76	Brother of AR Md. Mahabub Khan
1401	31/07/2013	-5,035.90	Sister of AR Sanjib Sen
1403	11/07/2013	-17,157.76	Mother of AR Sanjib Sen
1953	18/07/2013	-29,996.56	Wife of AR Nasib Ahammad
748	09/07/2013	-38,804.89	Brother of AR Md. Fazlul Karim
2088	18/07/2013	-11,062.15	Sister of AR Md. Mahabub Khan
6875	30/07/2013	-21,561.72	Mother of AR Md. Fazlul Karim

Contravention: Through the aforesaid activity it seemed that Harun Securities Ltd. (DSE Member # 005) violated:

- SEC directive No:- SEC/CMRRCD/2001-43/31 dated March 23, 2010.
- imiKDiiUR I G·#PÄ Kigkb (óK-Wjvi, óK-teiKvi I Abtgw`Z ciiZibia) ieiagvjv, 2000 Gi iela 4(2)(4) Abhq Deed of Agreement Gi clause-5.

2. Harun Securities Ltd. did not provide margin facility to their clients. But the monitoring team observed negative balances in some clients ledger some of which are shown below:

2bs Ackþb tbþMuf e`vþjÝ-Gi AwaKisk GKvDU mab mgbq Kiv nBqþQ |GB e`vcvþi tKvavb BþbmþcKkb tbwUþki ci KþVvi Ae`vþb AvþQ| hvþZ bZb Kþi tKvb iKg tbþMuf e`vþjÝ t`lqv bv nq | GLvþb DþjL` th, gvþKU wbggLx n lqv AþbþKB Avgv`i mvþ_ þhvMþhvM KviþZþQb bv|

3bs Ackþb tRW M`þci tkqv tbþMuf e`vþjÝ G µq Kiv nþ`Q bv|

Rbþei AeMzi Rb` Avþivl Rvbþbv hvBþZþQ , weMZ bþfþai-2012 Bs ZwiþLi cþe tKvavbþi th, e`ve`vcK wQþjb Zvi A-`wZv l Aeþnjvi Rb` GB me A-wbgg ,w j mab nþqvQj Ges tKvavbþi ZvþK H me Kviþbi Rb` MZ 28/11/2012 Bs ZwiL nBþZ PvKix t_þK Ae`vniZ w`þqvQþjb |

Rbþei AeMzi Rb` Rvbþbv hvBþZþQ th, fiel`r -G tKvavbþi Avi GB aiþbi tKvb te-AvBib KvþR Avkq ckq w`þebv| AþZþZi f j l te-AvBib KvþRi Rb` Avgiv wlv cv_x | `qv Kþi GB wlvþq wlv mþ`i tPvþL tþþL gvRbv Kviþeb| **Unquote**

Harun Securities Limited Gi wjwLZ e³e` Kigkþbi weþPbvq MnbþhvM` nqib, hv mwKDwiUR AvBb ciicvjþb e`\_Zv weavq section 22 of the Securities and Exchange Ordinance, 1969 Abhvq kv`þhvM` Aciva Ges hv wlvvi AþhvM`;

þhþnZ, Kigkþbi weþPbvq, mwKDwiUR AvBb ciicvjþb DþjwLZ e`\_Zvi Rb`, Z_v ciRevRvþii Dbqþbi cvkvcmk evRvþii ksljv l w`QZv i wlvv vþ_ D³ tevKviwlvvi tK Rvþgvbv Kiv cþqvRb l mgvþb;

AZGe, tmþnZ, Kigkb, DþjwLZ hveZxq wlvq weþPbvceK, Securities and Exchange Ordinance, 1969 (Ordinance No. XVII of 1969) Gi section 22 [hv The Securities and Exchange (Amendment) Act, 2000 Øviv mþkwaZ] G c`E wlvveþj Harun Securities Limited Gi Dci 3 (wZb) j wlv UvKv Rvþgvbv avh` Kij hv Aþ Avþ`þki ZwiL nþZ 15 (cþbi) w`þbi gþa` evsjv`k mwKDwiUR AvvU G · þPÄ Kigkb Gi AbKþj Bm`KZ e`vsK WvDU/tc-AWvþii gva`þg Kigkþb Rgv KiþZ nþe|

evsjv`k mwKDwiUR AvvU G · þPÄ Kigkþbi Avþ`kµþg,

Aa`vcK W: Gg Lvqiæj tnvþmb
þPqvig`vb

wvZibt
nvæb mwKDwiUR wjwLZ
iæg bs 606, XvKv óK G · þPÄ wjwLZ
9/Gd, gwZwSj ev/G, XvKv|