

Av`k

thnZ, Kigkb, cGBPc ÷Km GÜ mKDUR jgUW (mGmB m`m` bs-31) tK Zvi Ave`bmtg, bawiz kZvaxb mKDUR mq emq KgKvÊ ciPvjv Kivi Rb` mKDUR I G · PÄ Kigkb (AZ:ci Kigkb e`j D`jLZ) mKDUR I G · PÄ Kigkb AvBb, 1993 (1993 m`bi 15 bs AvBb) Gi 10(1) G c`Ê gZve`j mKDUR I G · PÄ Kigkb (÷K-Wjvi, ÷K-tevKvi I Abtg`Z ciZibia) wtagvjv, 2000 Gi wa 5(5) mn ciVZ ÷K-tevKvi/Wjvi tiRók mUd`KU c`vb KtiQ;

thnZ, Kigkb Gi Av`k bs SEC/SRI/INS/CSE-MEM/2010/95 dated June 06, 2011 Gi gva`tg cGBPc ÷Km GÜ mKDUR jgUW G ci`k`bi Rb` GKU KigU MvZ nq Ges D<sup>3</sup> ci`kb KigUi `vLjKZ ciZte`b Abhvq findings and contraventions wæi`c:

“PHP Stocks & Securities Limited (CSE Member # 31) provided credit facilities to the following clients to purchase non-marginable securities:

SL NO.	NAME OF CLIENTS	CLIENT CODE	NAME OF SECURITES
1	Dr. Md. Zahed Hossain Chowdhury	G790	Federal Insurance
2	Dr. Mohammad Sirajul Haque	G787	Federal Insurance
3	Md. Faisal	G901	Ambee Pharmaceuticals
4	Quazi Mukter Ahmed	G380	Hakkani Pulp & Paper Limited & Federal Insurance.

Contravention: Through the aforesaid activities PHP Stocks & Securities Limited (CSE Member # 31) violated Commission’s Order No. SEC/CMRRCD/2001-43/42 dated June 15, 2010.”

thnZ, Kigkb DciwLZ ciZte`b Abhvq mKDUR AvBb ciicvj`b e`\_Zvi `i`b cGBPc ÷Km GÜ mKDUR jgUW Gi eive`i GKU show-cause-cum-hearing notice mÎ bs- SEC/Enforcement/9008/2011/699 ZwIL 19 A`vei 2011 Bs tciY Kti Ges 02 b`fai 2011 Bs Zwi`L kbvxi `b avh` Kti Ges avh`KZ Zwi`L D<sup>3</sup> tevKvi/Wjvi Gi e`e`vcbv ciPvjK Dci`Z nq 30 A`vei 2011 Bs Zwi`Li c`fi gva`tg wjLZ e³e` `vLj Ktibl h`Z Ab`b`i g`a`, b`gv³ w`lq, wji D`jL AvQ:-

“--Honorable hearing, we are all human being and to err is human. As human being our err is not intentional and we are really sorry for that.

Concern issue: Order No. SEC/CMRRCD/2001-43/42. It means no margin which securities PE is above forty but we provide margin very few of our clients unintentionally and their particulars are given below:

SL NO.	CLIENT CODE	NAME OF CLIENTS	Clients net fund	Non margin instrument	Value of non margin instrument

01	G790	Dr. Md. Zahed Hossain Chowdhury	1222925.42	1000 Federal Insurance	192300
02	G787	Dr. Mohammad Sirajul Haque	1607661.55	1000 Federal Insurance	191760
03	G901	Md. Faisol	898103	700 Ambee Pharma	295127
04	G380	Quazi Mukter Ahmed	2047771.44	1000 Hakka 2000 Federal	419120

Now we humbly request and pray the honorable commission not to take any disciplinary action against PHP Stocks & Securities Limited---

তহনZ, াcGBPic ÷Km GŪ াmKDাiাUR াjাgাUW Gi াjাLZ e³e" ত_াK m"úó cZxqgvb nq th, াbvbxi তbাUাki াvাfthMmgn াcGBPic ÷Km GŪ াmKDাiাUR াjাgাUW "xKvi KাiাQ hv াmKDাiাUR াBb cাicvjাb e"Zv াeavq section 22 of the Securities and Exchange Ordinance, 1969 াbhvqx kv"াhvM" াciva Ges hv াgvi াhvM";

তহনZ, Kাgkাbi াeাPbvq, াmKDাiাUR াBb cাicvjাb DাjাLZ e"Zvi Rb", Z_v cাRevRvাii Dbqাbi ckvvcwk evRvাii ksLjv I "QZv iাgvi "া_ D³ তevKvi/Wjvi তK Rাigvbv Kiv cাqvRb I mgxPxb;

AZGe, তহনZ, Kাgkb, DাjাLZ hveZxq াelq াeাPbvceK, Securities and Exchange Ordinance, 1969 (Ordinance No. XVII of 1969) Gi section 22 [hv The Securities and Exchange (Amendment) Act, 2000 াviv msাkাaZ] G c`E াgZveাj াcGBPic ÷Km GŪ াmKDাiাUR াjাgাUW Gi Dci 1 (GK) j াg UvKv Rাigvbv avh" Kij hv াA াvা`াki ZাiL nাZ 15 (cাbi) া`াbi gাa" াmKDাiাUR I G · াPĂ KাgkbŌ Gi াBkাj Bm"KZ e"vsK WdU/তc-াWাii gva"গ Kাgkাb Rgv KিZ nাe|

াmKDাiাUR I G · াPĂ Kাgkাbi াvা`kμg,

াa"vcK W: Gg Lvqi"j তnvাmb
াPqig"vb

াeZibt

াcGBPic ÷Km GŪ াmKDাiাUR াjাgাUW

াcGBPic nvER

31 াvMev` e/G

PUMvg|