

bs-GmBwm/GbtdvmtgU/1144/2013/67

ZwiLt 23 Rvbqwi 2014 Bs

Pioneer Shares & Securities Limited  
71/G, ggb moK, PÆMvg|

weiq: Av`k|

Kgkbi 23 Rvbqwi 2014 Bs ZwiLi Av`k bs- GmBwm/GbtdvmtgU/1144/2013/68 Gi mZ`wqZ  
Abjwc Avcbvi AeMwZ I cqvRbxq e`e`v Mnbi Rb` GZ`msM msh<sup>3</sup> Kiv n`jv|

evsjv`k wmkDwiUR I G · PÄ Kgkbi c`¶

tgvnv` tnfbmb Lvb  
Dc-cwiPvjK

weZibt

cavb wevnx KgKZv, PÆMvg óK G · PÄ wjwgUW

AeMwZi Rb` Abjwc:

- 1| wevnx cwiPvjK, AvBb, weGmBwm
- 2| wevnx cwiPvjK, mvfbj`vY, weGmBwm
- 3| wevnx cwiPvjK, GgAvBGm, weGmBwm
- 4| tPqvig`vb gtnv`qi `Bi, weGmBwm

Av`k

thnZ, Kigkb, Pioneer Shares & Securities Limited (mGmB m`m` bs-34) tK Zvi Avte`bμtg, wbowiZ kZvaxtb mKDiiUR μq weμq KgKvU cwiPvjv Kivi Rb` mKDiiUR I G · tPÄ Kigkb (AZ:ci ÖKigkb0 etj Dijø-LLZ) mKDiiUR I G · tPÄ Kigkb AvBb, 1993 (1993 m`bi 15 bs AvBb) Gi 10(1) G c`Ë fZve`j mKDiiUR I G · tPÄ Kigkb (÷K-Wjvi, ÷K-tevKvi I Abtgw`Z ciZibia) weagvjv, 2000 Gi weia 5(5) mn ciVZ ÷K-tevKvi/Wjvi tiwRôkb muidtKU c`vb KtiQ;

thnZ, Kigkbi 0Instant Watch Market Surveillance System” G Pioneer Shares & Securities Limited KZK MZ 22/05/2013 ZwiL “FAS Finance & Investment Limited” Gi 2500 tkqvi tjb`tb Short Sale Alert ciijwZ nq| cieZtZ D³ weiq mtfBj`vY wefM KZK `wLjKZ ciZte`b Abhvqx findings and contraventions wbjic:

“Pioneer Shares & Securities Limited (CSE Member#34) allowed short selling of of 2500 shares of FAS Finance & Investment Limited in the account of its’ client Mr. Sanjoy Datta (client code#994) as on 22.5.2013, details of which are given below:

| Name of Client | Client Code | Date of Sale | Sold Qty. | Available Holding as per DPA6 Report | Short Sale Quantity |
|----------------|-------------|--------------|-----------|--------------------------------------|---------------------|
| Sanjoy Datta   | 994         | 22-05-2013   | 2500      | 0                                    | 2500                |

It has been found from the BO-ISIN Holding Report (DPA6) that there was no shares of FASFIN in the BO account of the customer Mr. Sanjoy Datta (client code#994) on 21 May, 2013. As the broker executed buy and sale of the same instrument on the same date (date 22.05.2013), as a result DP49 report did not show any trade of FASFIN on 22 May, 2013.

It has been found from the transaction ledger of the customer Mr. Sanjoy Datta (client code#994), which was provided by the broker, that the client bought 2500 shares of FASFIN on 19 May, 2013. But as per simple trade report of InstantWatch of Market Surveillance System, the client did not buy any shares of FASFIN on 19 May, 2013.

The aforesaid activities show that Pioneer Shares & Securities Limited (CSE Member#34) has violated 1. regulation 4(1) of the Chiitagong Stock Exchange (Short-Sale) Regulations, 2005 2. weia 11 of mKDiiUR I G · tPÄ Kigkb (÷K Wjvi, óK tevKvi I Abtgw`Z ciZibia) weagvjv, 2000 3. cieavb 32(6) of WciRUii (e`enwiK) cieavbgvjv, 2003 and 4. Section 18 of the Securities and Exchange Ordinance, 1969.”

thnZ, Kigkb Dciw`jwLZ mKDiiUR AvBb ciicvjtb e`\_Zvi Rb` Pioneer Shares & Securities Limited Gi eive`i GKU show-cause-cum-hearing notice mÎ bs- SEC/Enforcement/1144/2013/426 ZwiL 14 RjvB 2013 Bs tciY Kti 04 AvM÷ 2013 Bs ZwiL kbvxi `b ah` Kti Ges ah`KZ ZwiL Pioneer Shares & Securities Limited Gi ciZibia Dci`Z nq c`fi gva`tg wjwLZ e³e` `wLj Ktib| hvZ Ab`tb`i gta`, wbtb³ weiq, wji D`jwL AvQ:-

Acì còvq `óe`-

côv-02

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“----- As regards to the sale of 2500 shares of FAS of our client Code 994, Client name Sanjoy Dutta Dt. 22-05-2013 we apologize for the matter because the transaction of sale was met from our clearing account and that occurred due to the problem of our back office software and oversight.”

th#nZ, Pioneer Shares & Securities Limited Gi wjwLZ e<sup>3</sup>e” t\_#K m-úó cZxqgvb nq th, ibvbx i tbwU#ki AwfthMmgn Pioneer Shares & Securities Limited xKvi K#i#Q hv wmwKDwiUR AvBb cwicvj#b e”\_Zv weavq section 22 of the Securities and Exchange Ordinance, 1969 Abhvqx kw-#hvM” Aciva Ges hv #lgvi A#hvM”;

th#nZ, Kigk#bi we#ePbvq, wmwKDwiUR AvBb cwicvj#b DvjwLZ e”\_Zvi Rb”, Z\_v c#RevRv#ii Dbq#bi c#kvcw#k evRv#ii ksLjv I -”QZv i#lvi -v#\_D<sup>3</sup> tevKvi/Wjvi tK Rwigv# Kiv c#qvRb I mgxPxb;

AZGe, tm#nZ, Kigkb, DvjwLZ hveZxq we#ePbvceK, Securities and Exchange Ordinance, 1969 (Ordinance No. XVII of 1969) Gi section 22 [hv The Securities and Exchange (Amendment) Act, 2000 Øviv m#kwaZ] G c`Ë #lgZve#j Pioneer Shares & Securities Limited Gi Dci 1 (GK) j#l UvKv Rwigv# avh” Kij hv AÎ Av#`#ki ZwiL n#Z 15 (c#bi) v`#bi g#a” Øewsjv#`k wmwKDwiUR I G · #PÄ Kigkbô Gi AbK#j Bm”KZ e”vsK WvdU/tc-AWv#ii gva”tg Kigk#b Rgv Ki#Z n#e|

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

Aa”vcK W: Gg Lvqia#j tnv#mb  
#Pqig”vb

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