

Av`k

thnZ, Kigkb, Slata Capital Limited (WGb m`m` bs-095) tK Zvi Avte`bμtg, wbaWiZ kZva#b mKDiiUR μq weμq KgKvU ciiPvjby Kivi Rb` mKDiiUR I G · #PÄ Kigkb (AZ:ci ÖKigkbô e#j D#jØLZ) mKDiiUR I G · #PÄ Kigkb AvBb, 1993 (1993 m#bi 15 bs AvBb) Gi 10(1) G c`È ¶gZve#j mKDiiUR I G · #PÄ Kigkb (÷K-Wjvi, ÷K-tevKvi I Abtgw`Z ciZibia) weagvjv, 2000 Gi weia 5(5) mn ciVZ ÷Ktevkvi/Wjvi tiwR#ókb mUrd#KU c`vb K#i#Q;

thnZ, Kigk#bi "Instant Watch Market Surveillance System" G Slata Capital Limited KZK MZ 08/04/2013 t_K 10/04/2013 ZwiLi g#a` cici wZb`b Eastern Bank Limited Gi tkqvi tjb#`b h\_vμtg 1 j¶ K#i 3 j¶ tkqvi Short Sale Alert ciij¶¶Z nq | cieZ#Z D³ weiq m#fBj`vY wefM KZK `wLjKZ ciZte`b Abhvq findings and contraventions wgi#c:

“Slata Capital Limited (DSE Member # 095) allowed short selling of 300000 shares of Eastern Bank Limited to its client Mr. Sharwar Hasan (client code # A2000) during 08-10 April 2013, details of which are given below:

Name of Client	Client code #	Date of Sale	Sold Qty.	Available Holding	Short sale Quantity
Sharwar Hasan	A2000	08/04/2013	1,00,000	0	1,00,000
Sharwar Hasan	A2000	09/04/2013	1,00,000	0	1,00,000
Sharwar Hasan	A2000	10/04/2013	1,00,000	0	1,00,000
Total			3,00,000	0	3,00,000

The involved authorized representative and stock broker must have been aware of the short sale of securities on the first instance on April 08, 2013. But the same incidence happened on April 09, 2013 and April 10, 2013. The activity by the stock broker is very much unusual and suspicious. There must be some bad intention or motive behind such short-selling of securities in three consecutive trading days although there was not a single share of EBL in the BO account of the client.

Contravention: Through the aforesaid activity, Salta Capital Limited (DSE Member # 095) violated the following securities related laws:

- Regulation 4(1) of the Dhaka Stock Exchange (Short-Sale) Regulations, 2006.
- weia 11 of mKDiiUR I G · #PÄ Kigkb (÷K Wjvi, óK tevKvi I Abtgw`Z ciZibia) weagvjv, 2000 by violating weia 1 and 6 of ØZiq Zdij of the said weagvjv”;

thnZ, Kigkb Dc#iwjØLZ ciZte`b Abhvq mKDiiUR AvBb c#icvj#b e`_Zvi Rb` Slata Capital Limited Gi eive#i GKU show-cause-cum-hearing notice mÎ bs- SEC/Enforcement/1129/2013/407 ZwiL 02 RjvB 2013 Bs tciY K#i Ges 08 RjvB 2013 Bs ZwiL kbvxi w`b avh` K#i Ges avh`KZ ZwiL Slata Capital Limited Gi ciZibia Dci`Z ntq 04 RjvB 2013 Bs ZwiLi c#i gva`g wjØLZ e³e` `wLj K#ib| h#Z Ab`v#i g#a`, wtbv³ weiq, wji D#jØL Av#Q:-

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côv-02

bs-GmBim/Gb#dvm#g>U/1129/2013/552

Zwilt 30 #m#P#i 2013 Bs

“-----taking advantage of some extra facilities that we gave to client in order to increase trade volume, client Mr. Sarwar Hasan misused it and sold Eastern Bank Limited’s 3,00,000 shares in three consecutive days that was beyond our expectation.

We would like to offer our sincere apology and request to pardon us in this occasion. We would also like to assure you that we would do whatever we need to in order to stop happening this again in future and we are determined to stop this to repeat.

Hope you would understand our position and give us a chance to correct ourselves”

#h#nZ, S lata Capital Limited Gi wjwLZ e³e” t_#K m_úó cZxqgvb nq th, ïbvxï tbwU#ki Awf#hvMmgn S lata Capital Limited xKvi K#i#Q hv wmwKDwiUR AvBb cwi cvj#b e”_Zv weavq section 22 of the Securities and Exchange Ordinance, 1969 Abhvqx kww_#hvM” Aciva Ges hv #lgvi A#hvM”;

#h#nZ, Kigk#bi we#ePbvq, wmwKDwiUR AvBb cwi cvj#b DvjwLZ e”_Zvi Rb”, Z_v c#RevRv#ii Dbq#bi c#kvcw#k evRv#ii ksLjv I ”QZv i#lvi _v#_D³ tevKvi/Wjvi tK Rwigv#v Kiv c#qvRb I mgxPxb;

AZGe, #m#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 ms#kwaZ] G c`È #lgZve#j S lata Capital Limited Gi Dci 5 (cvP) j#l UvKv Rwigv#v avh” Kij hv AÎ Av#`#ki Zwilt n#Z 15 (c#bi) w`#bi g#a” ØmwKDwiUR I G · #PÄ Kigkbô Gi AbK#j Bm”KZ e”vsK Wwdu/tc-AW#ii gva”#g Kigk#b Rgv Ki#Z n#e|

wmwKDwiUR I G · #PÄ Kigk#bi Av#`kμ#g,

Aa”vck W: Gg Lvqia#j tnv#mb
#Pqvig”vb

weZibt

mvjZv K”wicUvj wjw#UW

i/g bs-1002, gawgZv w#bgv nj we#`s (10g Zjv)

158-160 g#ZiSj e#G

XvKv-1000|