SEC/Enforcement/943/2011/87 **March 12, 2012**

Sinha Securities Limited
DSE's Membership No. 67
Rahman Mansion (3rd floor)
161, Motijheel C/A
Dhaka-1000.
Attention: Managing Director/CEO

Subject: Warning: Non-compliance of Rule 3(1) and 3(2) of the Margin Rules, in connection with trading in shares of National Tea Company Ltd.

Dhaka Stock Exchange Limited has conducted an investigation regarding unusual trading in shares of National Tea Company Limited.

The investigation team randomly checked and verified the documents collected from different member companies. Findings of the investigation are as follows:

"In respect of the following clients, **Sinha Securities Limited (Member No- 67)** allowed to buy shares of 'NTC' by using credit facilities. This is mentioned here that, as per the client BO account opening form for the following client codes, it was found that those client maintaining cash account with the **Sinha Securities Limited (Member No- 67)**. The details are given below-

Client code	Name	Buy Date	Buy Qty	Rate	Amount used to buy NTC	Ledger Balance at the end of the day
42900	Ranjan Kumer Biswas	19.04.11	100	5861.66	586,166.22	-6,367.17
45248	Tania Sultana	11.04.11	60	5036.06	302,163.84	-16,802.12
9157	ASM Nazrul Islam	19.04.11	40	5,867.50	234,699.80	-131,371.27
58420	Abul Kalam	13.04.11	10	5125.50	51,255.00	-142,326.68
1072	Mohammad Jamal Hossain	10.04.11	10	5027.01	50,270.10	-67,395.62

Contravention: Through the aforesaid activities, Sinha Securities Limited (Member No- 67) has violated the Rule 3(1) and 3(2) of the Margin Rules, 1999."

The Commission has decided to dispose off the proceedings against you by placing on record the Commission's dissatisfaction on the defaults/contraventions made with a warning to ensure compliance of all securities related laws in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected as a result of the aforesaid default.

For Securities and Exchange Commission

Mustari Jahan
Deputy Director (Enforcement Dept.)

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