bs-GmBwm/Gb‡dvm‡g›U/1139/2013/71 ZwiLt 23 Rvbqvwi 2014 Bs

Tamha Securities Limited
iæg bs-501, ÷K G· ‡PÄ wewìs
9/Gd gwZwSj ev/G
XvKv-1000|

welq: Av‡`k|

Kwgk‡bi 23 Rvbqvwi 2014 Bs Zvwi‡Li Av‡`k bs- GmBwm/Gb‡dvm‡g›U/1139/2013/72 Gi mZ¨vwqZ Abywjwc Avcbvi AeMwZ I c‡qvRbxq e¨e¯v Mn‡bi Rb¨ GZ`ms‡M msh³ Kiv n‡jv|

evsjv‡`k wmwKDwiwUR I G· ‡PÄ Kwgk‡bi c‡¶

†gvnv¤§` †nv‡mb Lvb
Dc-cwiPvjK

weZibt

cavb wbevnx KgKZv, XvKv óK G· ‡PÄ wjwg‡UW

AeMwZi Rb¨ Abywjwc:

1| wbevnx cwiPvjK, AvBb, weGmBwm
2| wbevnx cwiPvjK, mv‡fBj¨vÝ, weGmBwm
3| wbevnx cwiPvjK, GgAvBGm, weGmBwm
4| †Pqvig¨vb g‡nv`‡qi `ßi, weGmBwm

bs-GmBwm/Gb‡dvm©‡g›U/1139/2013/ 72 ZvwiL 23 Rvbyqvwi 2014 Bs

<u>Av‡`k</u>

‡h‡nZz, Kwgkb, Tamha Securities Limited (wWGmB m`m¨ bs-081) †K Zvi Av‡e`bµ‡g, wbawiZ kZ©vax‡b wmwKDwiwUR µq weµq KgKvÛ cwiPvjbv Kivi Rb¨ wmwKDwiwUR I G·‡PÄ Kwgkb (AZ:ci ÔKwgkbÕ e‡j DwjøwLZ) wmwKDwiwUR I G·‡PÄ Kwgkb AvBb, 1993 (1993 m‡bi 15 bs AvBb) Gi 10(1) G c`Ë ¶gZve‡j wmwKDwiwUR I G·‡PÄ Kwgkb (÷K-wWjvi, ÷K-‡evKvi I Ab‡gvw`Z cwZwbwa) wewagvjv, 2000 Gi wewa 5(5) mn cwVZ ÷K‡evKvi/wWjvi †iwR‡óªkb mvwU©wd‡KU c`vb K‡i‡Q;

‡h‡nZz, Kwgk‡bi ÒInstant Watch Market Surveillance System” G Tamha Securities Limited KZK MZ 12/05/2013 Zvwi‡L “SHAHJABANK” Gi 10,000 †kqvi †jb‡`‡b Short Sale Alert cwijw¶Z nq| cieZx‡Z D³ wel‡q mv‡fBj¨vÝ wefvM KZK `vwLjKZ cwZ‡e`b Abhvqx findings and contraventions wbgœiƒc:

"Tamha Securities Limited (DSE Member # 81) allowed short selling of 10,000 no. of shares of "SHAHJABANK" on May 12, 2013 in the account of its client, Arman Ibne Haq (client code # DST5714). Details are shown below:

Name of Client	Client Code	Date of Sale	Sold Qty.	Available Holding as per DPA6 Report	Short Sale Quantity
Arman Ibne Haq	DST5714	12/05/2013	10,000	0	10,000

Contravention: Through the aforesaid activity, Tamha Securities Limited violated regulation 4(1) of the Dhaka Stock Exchange (Short-Sale) Regulations, 2006.

It appears from the simple trade report of InstantWatch of Market Surveillance System and Instrument Ledger of the client named Arman Ibne Haq (client code # DST5714) that Tamha Securities Limited bought 10,000 shares of "SHAHJABANK" in the account of the client on May 07, 2013, but, DP49 report shows that no share of "SHAHJABANK" was credited to the BO account of the client on May 12, 2013 as per clearing & settlement cycle of the scrip. As per DP49 Report, 10,000 shares of "SHAHJABANK" were credited and the same quantities of shares were debited to and from the BO account of the client on May 08, 2013 and May 09, 2013 respectively. But, as per instrument ledger of the client, there was no transaction of "SHAHJABANK" in the account of the client on May 05, 2013 and May 09, 2013.

Contraventions: Through the aforesaid activities, Tamha Securities Limited violated cÖweavb 32 (5) and 32(6) of wWcwRUwi (e¨enwiK) cÖweavbgvjv, 2003."

‡h‡nZz, Kwgkb Dc‡iwjøwLZ wmwKDwiwUR AvBb cwicš'x‡b e¨_Zvi Rb¨ Tamha Securities Limited Gi eive‡i GKwU show-cause-cum-hearing notice mÎ bs- SEC/Enforcement/1139/2013/425 ZvwiL 14 RjvB 2013 Bs †ciY K‡i 21 RjvB 2013 Bs Zvwi‡L kbvbxi w`b avh¨ K‡i Ges avh¨KZ Zvwi‡L Tamha Securities Limited Gi cwZwbwa Dcw¯'Z n‡q c‡Îi gva¨‡g wjwLZ e³e¨ `vwLj K‡ib| hv‡Z Ab¨v‡b¨i g‡a¨, wb‡bv³ wel q¸wji D‡jøL Av‡Q:-

"-----we regret to inform you that due to an error in the settlement software, the Pay Out of the above mentioned shares had been allocated to a different BO ID. For the same software glitch there was a fault while Paying In the aforementioned shares. It must be mentioned that there was no inaccuracy in the Back Office Software.

Aci c„ôvq `ªóe¨-

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We have contacted software provider and complained about this issue and they have looked into the matter. They have assured us that there will be no such occurrence in the future.”

‡h‡nZz, Tamha Securities Limited Gi wjwLZ e³e¨ †_‡K m¯úó cZxqgvb nq †h, ïbvbxi †bwU‡ki Awf‡hvMmgn Tamha Securities Limited ¯xKvi K‡i‡Q hv wmwKDwiwUR AvBb cwicvj‡b e¨_Zv wbavq section 22 of the Securities and Exchange Ordinance, 1969 Abhvqx kw¯‡hvM¨ Aciva Ges hv ¶gvi A‡hvM¨;

‡h‡nZz, Kwgk‡bi we‡ePbvq, wmwKDwiwUR AvBb cwicvj‡b DwjøwLZ e¨_Zvi Rb¨, Z_v cwRevRv‡ii Dbq‡bi cvkvcvwk evRv‡ii ksLjv I ¯”QZv i¶vi ¯v‡_ D³ †evKvi/wWjvi †K Rwigvbv Kiv c‡qvRb I mgxPxb;

AZGe, †m‡nZz, Kwgkb, DwjøwLZ hveZxq welq 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`Ë ¶gZve‡j Tamha Securities Limited Gi Dci 1 (GK) j¶ UvKv Rwigvbv avh¨ Kij hv AÎ Av‡`‡ki ZwiL n‡Z 15 (c‡bi) w`‡bi g‡a¨ Ôewsjv‡`k wmwKDwiwUR I G·‡PÄ Kwgkbô Gi AbK‡j Bm¨KZ e¨vsK WvdU/†c-AW©v‡ii gva¨‡g Kwgk‡b Rgv Ki‡Z n‡e|

ewsjv‡`k wmwKDwiwUR I G·‡PÄ Kwgk‡bi Av‡`kµ‡g

Aa¨vcK W: Gg Lvqiæj †nv‡mb
‡Pqvig¨vb

wcZibt
Tamha Securities Limited
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XvKv-1000|