

SEC/Enforcement/652/2007/64
January 30, 2008

Meenhar Securities Limited
CSE Member No.121003
58, Agrabad, C/A
Chittagong-4100

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Chittagong Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Chittagong Stock Exchange Limited.

The Commission has decided to dispose of the matter by placing on record the Commission's dissatisfaction on the default/contravention made by you, with a warning to ensure compliance of Chittagong Stock Exchange (Member's Margin) Regulations, 2000 as well as to ensure that such activities will not occur 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 your above said default/contravention.

For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Chittagong Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 30, 2008

Island Securities Limited
CSE Member No.121005
Faruk Chamber (6th floor),
1403, Sk.Mujib Road,
Chamuhani
Chittagong

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Chittagong Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

SEC/Enforcement/652/2007/66
January 30, 2008

Chittagong Capital Ltd.
CSE Member No.121006
Crown Chamber (2nd & 3rd)
Asadgonj
Chittagong

Subject: **Depositing of client shares against member's margin to Exchange DP**

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For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Chittagong Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 30, 2008

North West Securities Ltd.
CSE Member No.121019
Jiban Bima Bhaban (5th floor)
56, Agrabad C/A
Chittagong.

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Chittagong Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 30, 2008

Salta Capital Ltd.
CSE Member No.121022
Manzur Building (2nd floor)
67 Agrabad C/A
Chittagong.

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Chittagong Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Chittagong Stock Exchange Limited.

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For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Chittagong Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 30, 2008

R.R. Securities Limited
CSE Member No.121042
9/H, Motijheel C/A
Ismail Mansion (2nd floor)
Room#207,
Dhaka-1000.

Subject: **Depositing of client shares against member's margin to Exchange DP**

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For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Chittagong Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 30, 2008

Peoples Investment Ltd.
CSE Member No.121052
City Heart (11th floor),
67, Naya Palton,
Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

It is appeared from the enquiry that you have contravened the regulation 5(1)(g) of the Chittagong Stock Exchange (Member's Margin) Regulations, 2000 by depositing clients' shares against member's margin as well as regulation 5(2) of the said Regulations by depositing un-endorsed instruments (shares) to the Exchange DP of Chittagong Stock Exchange Limited.

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For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Chittagong Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 30, 2008

National Securities & Consultants Ltd.
CSE Member No.121057
5, Rajuk Avenue
Printers Building (7th floor)
Motijheel C/A
Dhaka-1000.

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Chittagong Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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Associated Capital Securities Ltd.
CSE Member No.121063
Quadri Chamber (4th Floor)
37, Agrabad C/A
Chittagong

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

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Chief Executive Officer, Chittagong Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 30, 2008

Sohel Securities Ltd.
CSE Member No.121076
Finlay House (Ground Floor)
11, Agrabad C/A
Chittagong

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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For Securities and Exchange Commission

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Deputy Director

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Chief Executive Officer, Chittagong Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 30, 2008

Lankabangla Securities Ltd.
CSE Member No.121091
Shafi Bhaban (2nd floor)
1216/A, Sk. Mujib Road
Agrabad C/A
Chittagong

Subject: **Depositing of client shares against member's margin to Exchange DP**

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For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Chittagong Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 30, 2008

Mona Financial Consultancy & Securities Ltd.
CSE Member No.121103
Room No. 413 & 417, DSE Building
9-F, Motijheel C/A
Dhaka-1000

Subject: **Depositing of client shares against member's margin to Exchange DP**

Reference is made to the Commission's Order No.SEC/SRMID/99-898/1466 dated October 9, 2007 through which the Commission conducted an enquiry concerned with the mentioned subject.

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For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

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Chief Executive Officer, Chittagong Stock Exchange Limited
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P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

SEC/Enforcement/652/2007/76
January 30, 2008

Western Security Investment Management Ltd.
CSE Member No.121120
Shanewaz Bhaban (4th Floor), Room No.501
9/C, Motijheel C/A
Dhaka.

Subject: **Depositing of client shares against member's margin to Exchange DP**

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For Securities and Exchange Commission

Prodip Kumar Basak
Deputy Director

CC:

Chief Executive Officer, Chittagong Stock Exchange Limited
P. O. to Executive Director (SRMID), SEC
P. O. to Executive Director (R & D), SEC
P. O. to Executive Director (Surveillance), SEC
P. O. to Executive Director (CDS), SEC
P. O. to Executive Director (Registration), SEC
P. O. to Director (MIS), SEC
Chairman's Office, SEC

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January 30, 2008

Multisec Securities Ltd./First lead Securities Ltd.
CSE Member No.121122
Al-Hamrah Shopping City (6th Floor)
Zindabazar
Sylhet

Subject: **Depositing of client shares against member's margin to Exchange DP**

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Deputy Director

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Chairman's Office, SEC