

bs- GmBim/GbtdmfgU/580/2007/926  
Rj vB 26, 2007 Bs

ti vR ÷ vWGW  
d`v : 02-9558561

Beftxg imwKDwi vJR vj t (÷ K vWj vi)  
vW/GmB m`m` bs-33  
i`g bs-424, 9/B, gvZiSj ev/G  
XvKv-1000

vel q: Avt`k

gtnv`q,

Kvgk`bi Rj vB 26, 2007 Bs Zvii tLi Avt`k bs GmBim/GbtdmfgU/580/2007/925 Gi mZ`vqZ Abij vc Avcbvi  
AeMvZ I c`qvRbxq e`e`v Mh`bi Rb` GZ` tns`M mshy` Kiv ntj v|

imwKDwi vJR I G. tPA Kvgk`bi c`q|

(fgvt gbmj i ngvb)  
Dc-cvii Pj K

**Avf`k**

thtnZ; wmwKDwi uJR I G. tPA Kugkb (AZ:ci 0Kugkb0 etj Duj w-Z), Beinxg wmwKDwi uJR wj t Gi Avte` bmtg, wbañi Z kZfxtb, ÷K-wWj vi wmwte KvR Kivi Rb` wmwKDwi uJR I G. tPA Kugkb AvBb, 1993 Gi aviv 10(1) G c0 E 9lgZvetj Ges wmwKDwi uJR I G. tPA Kugkb (÷K wWj vi, ÷K tetKvi I Abfgw` Z c0Znbwa) weagvj v, 2000 Gi weia 5(5) Gi Avl Zvq Beinxg wmwKDwi uJR wj t (AZtci “÷K-wWj vi 0 etj Duj w-Z) Gi AbKtj ÷K-wWj vi ubeÜb mb` bs ubeÜb- wmgK/wGmB/wWj vi /96/wJ-04 Zwi Lt 27 Rj 2001 Bs c0 vb Kti t0;

thtnZ; wmwKDwi uJR I G. tPA Kugkb (0K wWj vi, 0K tetKvi I Abfgw` Z c0Znbwa) weagvj v, 2000 Gi weia 15 I 16 Ges Securities and Exchange Ordinance, 1969 Gi section 6(1) Gi Aaxb c0 E Kugktbi Avf`k bs SEC/Surveillance/2003-411/223 Zwi Lt tg 10, 2007 Bs Abjvqx wbjp` cwi` k0Kvi x KgRZMY Beinxg wmwKDwi uJR wj t KZR tg 9, 2007 Bs Zwi tL XvKv ÷K G. tPA wj wgtUW G t\_iwcdUkM (evsj vt`k) wj t Gi tkqvi mq-wejq mspuvš-Books and Records cwi` k0 m=ubokti c0B Zt\_i wfwEtZ GKwU cwi` k0 c0Zte` b Kugktbi wBKU` wLj Kti;

thtnZ; D³ cwi` k0 c0Zte` b ntZ, Ab`vtb`i gta`, wmwKDwi uJR AvBtbi cwi cŠt wbtæv³ weI qw` cwi j wqZ nqt

“(1) Mr. Qaiser Ahmed Nasim (Client code No. 238) of the said stock-dealer bought 100 shares and sold 100 shares by netting of Therapeutics (Bangladesh) Ltd. on 9<sup>th</sup> May 2007 at DSE. It appeared that at 11:05:16 A.M. Ibrahim Securities Ltd. submitted sale order of 100 shares of Therapeutics (Bangladesh) Ltd. at price Tk.222 accordingly executed. Again at 11:57:29 A.M. the same client of the said stock-dealer submitted buy order of 60 shares aggressively at price Tk.335 and 40 shares at price Tk.330 accordingly executed at prices Tk.325 to Tk.335 in favor of client code 238. During the referred time many buy orders submitted and few of them executed at prices Tk.221 to Tk.335 in favor of client code 521, 238, 248, 1806, 292, 900, 313. As a result due to aggressive buy pressure price of the said share increased by 68% at those times, which were contrary to the market norms. Because on 9<sup>th</sup> May 2007 open, high, low and close price of the said share were Tk.199, 335, 199, 323.50. It also appeared from the buy/sale order that the client submitted buy order of 100 shares at price Tk.329.17 and sale order of 100 shares at price Tk.222 on 9<sup>th</sup> May 2007. In this regard stock-dealer’s involvement in the trading of the said shares influenced to increase the price by 68%;

(2) The stock-dealer did not receive any share against sold 100 shares of Therapeutics (Bangladesh) Ltd. from the client code 238. The client had no share of Therapeutics (Bangladesh) Ltd. in the stock-dealer stock. In this regard the said stock-dealer executed short sale of Therapeutics (Bangladesh) Ltd. in favor of client code 238;

(3) The stock-dealer did not receive any amount for bought 230 shares of Therapeutics (Bangladesh) Ltd. (Z category share) from the clients. Debit balance appeared in financial ledger of the clients, but the stock-dealer did not maintain margin agreement with the clients. Mentionable that money netting was not allowed for z group shares trading”;

thtnZ; D³ ÷K wWj vi, Dctiv³ KvhRj vtci gva`tg, wmwKDwi uJR I G. tPA Kugkb (0K wWj vi, 0K tetKvi I Abfgw` Z c0Znbwa) weagvj v, 2000 Gi AvPiY weia 7 Ges weia 11, Settlement of Stock Exchange Transactions Regulations, 1998 Gi regulation 13 Ges Margin Rules, 1999 Gi rule 3 f½ Kti t0 hv wmwKDwi uJR I G. tPA Kugkb (0K wWj vi, 0K tetKvi I Abfgw` Z c0Znbwa) weagvj v, 2000 Gi weia 12 Ges Securities and Exchange Ordinance, 1969 Gi section 22 Gi Aaxb kw` #hM` Aciva;

thtnZ; Avtj vP ÷K-WJj vtii Dctiv<sup>3</sup> Acivtai Rb<sup>3</sup> mmKDwi uJR I G. tPA Kugkb (ók wWj vi, óK teikvi I Abtjgw<sup>3</sup> Z cözibwa) weagvj v, 2000 Gi wea 12 Ges Securities and Exchange Ordinance, 1969 Gi section 22 Gi Aaxb KviY`kfbv I i bvx i tbnJK bs SEC/Enforcement/580/2007/482 Zwi Lt tg 20, 2007 Bs Bmj Kiv nq Ges tg 28, 2007 Bs Zwi tL D<sup>3</sup> i bvx AbjôZ nq;

thtnZ; D<sup>3</sup> i bvx tZ AskMthbKvi x ÷K-WJj vtii Abtjgw<sup>3</sup> Z cözibwa Rbve tgrt kun`j Bmj vg Gi gva`tg`wLj KZ ctî (mî I Zwi L wenxb) wævj wLZ e`vL`v cö vb Kiv nq hv mtSH RbK bv ni qvq Kugk tbi woku MthbthvM<sup>3</sup> etj weteiPZ nqibot

“.....Your goodselves observation in this regard is highly appreciated by our management because we are being protected by your strong surveillance. But I can assure you the said trading of (TBL) was a mistaken operation operated by Mr. Shahidul Islam.

Thereby we are assuring you, we will remain vigilant so that repetition of such kind of trading does not reoccur your good self co-operation in this regard will be highly appreciated.”

thtnZ; mmKDwi uJR mspvš-AvBb I Dnvi Aaxb Rvi xKZ wea-weavb cwi cvj tB D<sup>3</sup> ÷K-WJj vtii D<sup>3</sup> e`\_Zv mmKDwi uJR I G. tPA Kugkb (ók wWj vi, óK teikvi I Abtjgw<sup>3</sup> Z cözibwa) weagvj v, 2000 Gi wea 12 Ges Securities and Exchange Ordinance, 1969 Gi section 22 Gi Aaxb kw`thvM<sup>3</sup> Aciva; Ges

thtnZ; Kugk tbi wetePbvq, mmKDwi uJR AvBb I Dnvi AaxtB Rwi KZ wea-weavb cwi cvj tB Duj wLZ e`\_Zvi Rb<sup>3</sup>, Z\_v cvj RevRvti i ksLj v I ^QZv i tvi t`\_D<sup>3</sup> ÷K-WJj vi tK Rwi gvbv Kiv cöqvRb I mgxPxb;

AZGe, tmtnZ; Kugkb, Duj wLZ hveZixq welq wetePbvceK mmKDwi uJR AvBb mspvš-Duj wLZ wea-weavb f½ Kivq Behtxg mmKDwi uJR wj t tK mmKDwi uJR I G. tPA Kugkb (÷K wWj vi, ÷K teikvi I Abtjgw<sup>3</sup> Z cözibwa) weagvj v, 2000 Gi wea 12 Ges Securities and Exchange Ordinance, 1969 Gi section 22 Gi AaxtB 1,00,000/- (GK j t) UvKv Rwi gvbv avh<sup>3</sup> Kij hv Aî Avt tki 15 (c tbi) w tbi gta<sup>3</sup> mmKDwi uJR I G. tPA Kugkbô Gi Abktj BmjKZ e`vsK WtdU/tc-AWt<sup>3</sup> i gva`tg Kugk tB Rgv Kitz nte|

mmKDwi uJR I G. tPA Kugk tbi ct t-

dvi “K Avng` wmiî Kx  
tPqvi g`vb

wEZi bt

Behtxg mmKDwi uJR wj t (÷K wWj vi)  
wWGMb m`m` bs-33  
i`g bs-424, 9/B, gwZwSj ev/G  
XvKv-1000

