

SEC
Quarterly Review
July-September 2010

Securities and Exchange Commission
Bangladesh

SECURITIES AND EXCHANGE COMMISSION
Quarterly Review
July-September 2010

A Publication of the SEC

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CAPITAL MARKET NEWS

Securities and Exchange Commission (SEC)

Securities and Exchange Commission, the capital market regulator, was established in June 1993 through enactment of the Securities and Exchange Commission Act, 1993. The missions of the Commission are:

- Protecting the interest of investors in securities;
- Developing the capital and securities markets; and
- Framing of securities rules concerning above.

Major Events & Developments

During July-September 2010, major activities of the Securities and Exchange Commission (SEC) are furnished below:

Directive on Margin Issues:

On July 08, 2010 the Commission issued a directive to the Chittagong Stock Exchange Ltd and its members to the effect that; the members of the stock exchange should not extend credit facilities to their approved clients beyond 1(one) time of clients margin/clients deposit (i.e credit facilities should be on 1:1 basis) under the Margin Rules, 1999 which was effective from July11, 2010. On the same day, the Commission had refixed the maximum rate of margin loan ratio to 1: 1 for the Merchant Banker (Portfolio Manager). On August 31, 2010 the Commission further directed the stock brokers of Chittagong Stock Exchanges Limited under section 20A of the Securities and Exchange Commission Ordinance, 1969 that the limit of 15% that was fixed earlier should be read as 50% effective from 2nd September 2010. On the same day, the Commission also directed the merchant bankers including the portfolio managers registered under the Securities and Exchange Commission (Merchant Banker and Portfolio Manager) Rules, 1996 under section 20A of the Securities and Exchange Commission Ordinance, 1969 that the limit of 15% that was fixed earlier should be read as 50% effective from 2nd September 2010.

Directive on Netting or adjustment facilities of non-marginable securities:

On September 06, 2010 the Commission directed the Chittagong Stock Exchange Ltd and its members conducting business as stock brokers and the merchant bankers to the effect that ; a) Netting or adjustment facilities in any manner in respect of buy or sell of non-marginable securities as per the Margin Rules,1999, should remain suspended until further order. Such securities should not be allowed to buy against pre-matured sell proceeds of any marginable securities. b) The Dhaka Stock Exchange Ltd. Should calculate the Net Asset Value (NAV) of the listed securities based on the core operation related items of the respective companies, including Mutual Funds, based on the latest available financial statements, on weekly basis and disclose the same in the DSE's website at the end of last trading day of every week. The stock brokers of both DSE and CSE and the merchant bankers should consider such disclosed NAV for the purpose of calculating the maintenance margin of their customers based on the aforesaid Rules. c) The stock brokers and the merchant bankers concerned would apply the margin call requirements based on the above Rules in respect of applicable cases. In case of failure to respond to such calls by the concerned customers within September 30, 2010, the stock brokers and the merchant bankers should go for forced sell as per requirements of the said Rules.

Directive on declaration of lay-off the listed Companies:

The Commission issued a directive on July 04, 2010 regarding declaration of lay-off of the listed companies including the companies listed in the OTC of the bourses to the effect that; the companies that declare lay-off of their factory shall hold Extra Ordinary General Meeting (EGM), within one month of such declaration or within one month of issuance of the directive, as the case may be, to inform its shareholders the reasons behind such lay-off of the factory and to take decision on probable date reopening the factory and the future planning of the company regarding its operation. It was also mentioned that the company shall submit the relevant notice of EGM and the decision taken in the EGM to the Commission, Stock Exchanges and the shareholders concerned immediately upon issuance of the notice and holding of the EGM.

Directive on providing credit facilities by the bourses:

On July 22, 2010 the Commission issued a directive on providing credit facilities by the bourses to the effect that; the members of the stock exchanges shall not provide credit facilities exceeding Tk.5 (five) crore to each of their approved clients or their spouse or any of their dependent persons in single or joint name thereof collectively under the Margin Rules, 1999 and shall not provide credit facilities to their directors or their spouse or any of their dependent persons or stock-dealer concerned and the credit facilities exceeding the limit to be adjusted by August 31,2010 which was effective from July 25,2010. On July 25, 2010 the Commission issued another directive to the effect that the maximum credit limit provided by the stock brokers to each of their approved individual clients or their spouse or any of their dependent persons in single or joint name thereof collectively under the Margin Rules, 1999 shall be Tk.10 crore, in place of Tk.5 crore and the credit facilities exceeding Tk.10crore in favor of their approved individual clients or their spouse or any of their dependent persons or stock-dealer concerned shall be gradually adjusted by September 30,2010.

Notification on conversion of debt into ordinary shares of the listed companies:

On September 06, 2010 the Commission issued a notification imposing the following condition to the effect that; in case of conversion of existing debt into ordinary shares having no predetermined option by a listed company, the price of such conversion shall not be less than the average price of the related equity shares quoted on the stock exchanges during the six months preceding the date of the board meeting deciding for such conversion.

Issuing directive on opening complain cell in CSE:

On August 16, 2010 the Commission directs the Chittagong Stock Exchange Ltd in connection with opening Complain Cell by not later than September 01, 2010 to resolve complaint of investors against issuers of listed security and to submit the monthly report to the Commission within 10th day of following month, on the complaint so received and received by the Stock Exchange.

Investors' Education Program:

SEC conducts investors' education program twice a month throughout the year at SEC premise to create awareness among the general investors about capital market. During July-September 2010 eight Invertors'awarness program were organized by SEC, where a total of 300 investors participated in the said programs. Senior SEC officials made presentations on different topics related to capital market in the programs and responded to the queries of the participants. In order to enhance the participation of women investors in capital market, SEC has introduced separate investors' education program for women only.

Training program for Authorized Representatives:

In order to educate and train market participants, the Commission, in association with Dhaka Stock Exchange Ltd and Chittagong Stock Exchange Ltd., arranged training for authorized representatives of the members of Dhaka Stock Exchange Ltd on 18-19,21-22,25-26 July, 2010 at DSE and for authorized representatives of the members of Chittagong Stock Exchange Ltd on 07-08, 09-10 July,2010 04-05,18-19 August,2010 & 27-28 September,2010 at CSE Dhaka Office where a total of 700 authorized representatives attended. Senior officials of SEC, DSE and CSE conducted aforesaid programs highlighting securities laws, particularly issuance, trading and settlement of securities transaction, securities analysis and portfolio management etc.

CORPORATE FINANCE (CF)

CFD's activities for the quarter: July-September, 2010

Sl. No.	Particulars	Action taken	No. of Company
01.	Qualified audit report and/or CFD's observation on the audited financial statements.	Explanation sought from the companies	05
		Referred to Enforcement Department for necessary action against the companies as their clarification regarding auditors' qualified report and/or Commission's observations were not satisfactory.	05
		Companies referred to SRMIC Department for appropriate action since there was significant doubt about their ability to continue as going concern.	01
		Explanation sought from the statutory auditors.	01
		Caution letter issued to the statutory auditors.	01
02.	Time extension for submission of audited financial statements for the year ended on December 31, 2009.	Time not extended.	01
03.	Time extension for submission of financial statements for the quarter/half-year.	Time not extended.	07
04.	Presentation of half-yearly/quarterly financial statements for the quarter/half-	Advised to revise the half-year/quarterly financial statements in	42

	year ended on June 30, 2010 in accordance with BAS-34.	accordance with BAS- 34.	
05.	Non-submission of un-audited financial statements for the half-year/quarter ended on June 30, 2010.	The companies have been referred to Enforcement Department for appropriate action for non-submission of un-audited financial statements for the half-year/quarter ended on June 30, 2010.	06
06.	Clearance for re-appointment of existing auditors for the consecutive period exceeding three years.	Clearance accorded.	04

Capital Raising:

Private Limited Company:

During July-September, 2010 the Commission accorded consent to the following private limited companies to raise capital for the amount stated in the table below:

Serial No	Name of the Company	Applied for	Consent letter issued on	Amount (in Tk.)
1	Orion Laboratories Limited	Ordinary Shares of Tk. 50,00,00,000.00	18.07.2010	Tk. 50,00,00,000.00
2	PHP Power Generation Plant Limited	Ordinary Shares of Tk. 15,00,00,000.00	18.07.2010	Tk. 15,00,00,000.00
3	Fiber @ Homes Limited	Ordinary Shares of Tk. 24,00,00,000.00	18.07.2010	Tk. 24,00,00,000.00
4	Summit Uttaranchol Power Co. Ltd.	Ordinary Shares of Tk. 7,86,78,800.00	04.08.2010	Tk. 7,86,78,800.00
5	Neptune Airlines Limited	Ordinary Shares of Tk. 10,00,00,000.00	06.08.2010	Tk. 10,00,00,000.00
6	Borak Real Estate Limited	Ordinary Shares of Tk. 49,99,50,000.00	29.07.2010	Tk. 49,99,50,000.00
7	Navana Real Estate Limited	Bonus Shares of Tk. 20,00,00,000.00	21.07.2010	Tk. 20,00,00,000.00

8	HG Aviations Limited	Ordinary Shares of Tk. 19,00,00,000.00	04.08.2010	Tk. 19,00,00,000.00
9	Generation Next Fashions Limited	Ordinary Shares of Tk. 5,00,00,000.00	29.08.2010	Tk. 5,00,00,000.00
10	Neptune Airlines Limited	Ordinary Shares of Tk. 10,00,00,000	05.08.2010	Tk. 10,00,00,000.00
11	Destiny-2000 Limited	Ordinary Shares of Tk. 22,31,00,000	05.08.2010	Tk. 22,31,00,000.00
12	Pidilite Speciality Chemicals (BD) Ltd.	Ordinary Shares of Tk. 2,54,67,200	23.08.2010	Tk. 2,54,67,200.00
13	Rangpur Dairy & Food Products Ltd.	Ordinary Shares of Tk. 3,94,31,000	26.09.2010	Tk. 3,94,31,000.00
14	ACI Godrej Agrovate Private Limited	Ordinary Shares of Tk. 6,00,00,000.00	08.08.2010	Tk. 6,00,00,000.00
15	Matin Spinning Mills Ltd.	Ordinary Shares of Tk. 56,50,00,000.00	30.09.2010	Tk. 56,50,00,000.00
16	Emirates Cement Bangladesh Limited	Ordinary Shares of Tk. 158,92,99,720	06.09.2010	Tk. 158,92,99,720.00
17	Emirates Power Company Limited	Ordinary Shares of Tk. 23,09,36,000	06.09.2010	Tk. 23,09,36,000.00
18	International Leasing Securities Limited	Ordinary Shares of Tk. 9,00,00,000.00	29.09.2010	Tk. 9,00,00,000.00
19	Southeast Bank Securities Limited	Ordinary Shares of Tk. 100,00,00,000.00	29.09.2010	Tk. 100,00,00,000.00

20	Matin Spinning Mills Ltd.	Ordinary Shares of Tk. 16,50,00,000.00	10.10.2010	Tk. 16,50,00,000.00
21	Shahjalal Islami Bank Securities Ltd.	Ordinary Shares of Tk. 45,00,00,000	29.09.2010	Tk. 45,00,00,000.00
	Total			29543137280.00

Public Limited Company:

During July-September, 2010 the Commission accorded consent to the following public limited companies to raise capital for the amount stated in the table below:

SL No.	Name of the Company	Applied for	Consent letter issued on	Amount in Tk.
1	Prime Finance Asset Management Company Limited	Ordinary Shares of Tk. 4,00,00,000.00	26.07.2010	Tk 4,00,00,000.00
2	Western Marine Shipyard Ltd.	Ordinary Shares of Tk. 24,00,00,000	17.08.2010	Tk.24,00,00,000.00
3	Shurwid Industries Limited	Ordinary Shares of Tk. 24,34,71,100	26.07.2010	Tk.24,34,71,100.00
4	Summit Power Limited	Preference Shares of Tk. 300,00,00,000	13.07.2010	Tk.300,00,00,000.00
5	Mutual Trust Bank Ltd.	Subordinate Bond of Tk. 250,00,00,000.00	03.08.2010	Tk.250,00,00,000.00
6	Information Technology Consultants Ltd.	Ordinary Shares of Tk. 4,15,00,000	05.08.2010	Tk. 4,15,00,000.00

7	Saiham Cotton Mills Ltd.	Bonus Shares of Tk. 17,50,00,000 and Ordinary Shares of Tk. 52,50,00,000	18.08.2010	Tk. 52,50,00,000.00
8	Salvo Chemical Industries Ltd.	Ordinary Shares of Tk. 1,06,00,100	05.08.2010	Tk. 1,06,00,100.00
9	PFI Securities Limited	Ordinary Shares of Tk. 91,00,00,000.00	19.09.2010	Tk. 91,00,00,000.00
10	Bangladesh Development Co. Ltd.	Ordinary Shares of Tk. 29,00,00,000	20.09.2010	Tk. 29,00,00,000.00
11	Fareast Finance & Investment Limited	Bonus Shares of Tk. 11,74,50,000	19.09.2010	Tk. 11,74,50,000.00
12	Meenhar Sea Foods Ltd.	Ordinary Shares of Tk. 16,50,00,000	27.09.2010	Tk. 16,50,00,000.00
13	H.P. Chemicals Limited	Bonus Shares of Tk. 3,74,40,000	06.09.2010	Tk. 3,74,40,000.00
14	Prime Finance Asset Management Company Limited	Ordinary Shares of Tk. 1,00,00,000.00	05.09.2010	Tk. 1,00,00,000.00

15	Building Technology & Idea Limited	Ordinary Shares of Tk. 32,75,00,000.00	19.09.2010	Tk. 32,75,00,000.00
16	Peoples Leasing & Financial Services Ltd.	Preference Shares of Tk. 120,00,00,000.00	06.09.2010	Tk.120,00,00,000.00
17	Hajj Finance Company Limited	Ordinary Shares of Tk. 6,25,00,000	30.08.2010	Tk. 6,25,00,000.00
18	Orion Laboratories Limited	Ordinary Shares of Tk. 50,00,00,000	31.08.2010	Tk. 50,00,00,000.00
19	Bangladesh Steel Re-Rolling Mills Ltd.	Ordinary Shares of Tk. 23,13,37,000	19.09.2010	Tk. 23,13,37,000.00
20	Central Depository Bangladesh Ltd.	Ordinary Shares of Tk. 21,60,00,000	27.09.2010	Tk. 21,60,00,000.00
21	SIBL Investment Limited	Ordinary Shares of Tk. 25,00,00,000	29.09.2010	Tk. 25,00,00,000.00
22	GBB Power Limited	Ordinary Shares of Tk. 4,50,00,000.00	30.09.2010	Tk. 4,50,00,000.00

23	Express Insurance Limited	Bonus Shares of Tk. 1,76,40,000	Letter of intent issued on 10.10.10	Tk. 1,76,40,000.00
24	Universal Health Services and Research Limitd	Ordinary Shares of Tk. 40,00,00,000	06.10.2010	Tk. 40,00,00,000.00
25	National Bank Limited	Subordinate Bond of Tk. 250,00,00,000.00	09.09.2010	Tk.250,00,00,000.00
26	Janata Capital and Investment Limited	Ordinary Shares of Tk. 200,00,00,000	1.9.2010	Tk.200,00,00,000.00
27	Dhaka Bank Limited	Subordinate Bond of Tk. 200,00,00,000.00	09.09.2010	Tk.200,00,00,000.00
28	SBL Capital Management Limited	Ordinary Shares of Tk. 150,00,00,000	19.09.2010	Tk.150,00,00,000.00
	Total			19362798200.00

Status Report of Right Issue for July-September, 2010

Serial No.	Name of the Company	Date of Approval	Number of shares	Amount
1	The City Bank Ltd.	20.07.2010	Approval of rights issue of 1,96,39,125 ordinary shares of Tk.100/- each at an issue price of Tk.200/- each (including premium of Tk. 100/- each) totaling Tk. 392,78,25,000.00 at a ratio of 1R:1	BDT3,927,825,000.00
2	Islamic Finance & Investment Ltd.	20.07.2010	Approval of rights issue of 19,92,191 ordinary shares of Tk.100/- each at an issue price of Tk. 150/- each (including premium of Tk. 50/- each) totaling Tk. 29,88,28,650/- at a ratio of 1:2	BDT 298,828,650.00
3	Asia Pacific General Insurance Co. Ltd.	29.07.2010	Approval of rights issue of 21,17,500 ordinary shares of Tk.100/- each at an issue price of Tk. 150/- each (including premium of Tk. 50/- each) totaling Tk. 31,76,25,000/- at a ratio of 1:1	BDT 317,625,000.00
4	Confidence Cement Limited	29.07.2010	Approval of rights issue of 7,52,400 ordinary shares of Tk.100/- each at an issue price of Tk. 700/- each (including premium of Tk. 600/- each) totaling Tk. 52,66,80,000/- at a ratio of 1:2	BDT 526,680,000.00
5	Daffodil Computers Ltd.	29.07.2010	Approval of rights issue of 2,28,53,600 ordinary shares of Tk.10/- each at par totaling Tk.22,85,36,000.00 at a ratio of 1:1	BDT 228,536,000.00

6	Bay Leasing & Investment Limited	04.08.2010	Approval of rights issue of 30,60,000 ordinary shares of Tk.100/- each at an issue price of Tk. 350/- each (including premium of Tk. 250/- each) totaling Tk. 107,10,00,000/- at a ratio of 1R:1	BDT1,071,000,000.00
7	Phoenix Finance & Investment Limited	25.08.2010	Approval of rights issue of 8,74,087 ordinary shares of Tk.100/- each at an issue price of Tk. 200/- each (including premium of Tk. 100/- each) totaling Tk. 17,48,17,400/- at a ratio of 1R:5	BDT 174,817,400.00
8	Al-Arafah Islami Bank Limited	06.09.2010	Approval of rights issue of 23,38,63,968 ordinary shares of Tk.10/- each at par totaling Tk. 233,86,39,680/- at a ratio of 1R:1	BDT2,338,639,680.00
9	Jamuna Bank Limited	06.09.2010	Approval of rights issue of 74,33,628 ordinary shares of Tk.100/- each at par totaling Tk. 74,33,62,800/- at a ratio of 1R:3	BDT 743,362,800.00
10	Golden Son Limited	06.09.2010	Approval of rights issue of 4,82,68,360 ordinary shares of Tk.10/- each at an issue price of Tk. 30/- each (including premium of Tk. 20/- each) totaling Tk. 144,80,50,800/- at a ratio of 1R:1	BDT1,448,050,800.00
11	Agni Systems Limited	03.10.2010	Approval of rights issue of 1,02,56,850 ordinary shares of Tk.10/- each at an issue price of Tk.20/- each (including premium of Tk.10/- each) totaling Tk. 20,51,37,000/- at a ratio of 1:2	BDT 205,137,000.00

12	EXIM Bank Ltd.	03.10.2010	Approval of rights issue of 22,77,42,293 ordinary shares of Tk.10/- each at par totaling Tk. 227,74,22,930.00 at a ratio of 1R:2	BDT2,277,422,930.00
13	First Securities Islami Bank Limited	07.10.2010	Approval of rights issue of 5,06,00,000 ordinary shares of Tk.10/- each at par totaling Tk. 50,60,00,000/- at a ratio of 1R:5	BDT 506,000,000.00
14	Fu-Wang Ceramic Industry Ltd.	07.10.2010	Approval of rights issue of 16,50,000 ordinary shares of Tk.100/- each at an issue price of Tk.125/- each (including premium of Tk.25/- each) totaling Tk.20,62,50,000.00 at a ratio of 1:2	BDT 206,250,000.00
15	Uttara Finance & Investment Ltd.	20.10.2010	Approval of rights issue of 1,32,00,000 ordinary shares of Tk.10/- each at an issue price of Tk.30/- each (including premium of Tk. 20/- each) totaling Tk. 39,60,00,000 at a ratio of 1R:3	BDT 396,000,000.00
	Total			1466,61,75260.00

Public offering:

Particulars of the issues for which Commission accorded consent for IPO through publication of Prospectus during July-september, 2010

S l. No	Name of the Co	Name of the Issue Manag er	Date of Approval	Face value Per share	Total Capital (In Tk.) (9+13)	Sponsors Equity (Excluding premium, In Tk.)			Public Equity (Excluding premium, In Tk.)			Total (10+1 1+12)	Remarks	Subscri bed amount Ref Col No 10	Date of Subscrip tion Opens: Closes:
						Local	Forei gn	Total	General Public	Forei gn place ment	Local place ment				
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	17
1.	Active Fine Chemicals limited	Janata Bank Ltd.	15/7/10	10.00	40.00 crore	24.00 crore	-	24.00 crore	16.00 crore	-	-	16.0 0 cro re	At par	1080.07 3 crore	14.09.10 20.09.10
2.	<i>Alliance Holdings Limited</i>	Alliance Financi al services Ltd.	8/9/10	10.00		100.00 crore	-	100.00 crore	-	-	-		Consent accorded to commence bidding by the eligible institutional investors for price discovery under book building for 3.5 crore shares at indicative price of Tk. 88.00 totalling to Tk.308.00 crore		
3.	<i>Modern poly Industry limited</i>	Alliance Financi al services Ltd.	8/9/10	10.00		50.40 crore		50.40 crore		-	-		Consent accorded to commence bidding by the eligible institutional investors for price discovery under book building for 3.00 crore shares at indicative price of Tk. 64.00 totalling to		

													Tk.192.00 crore		
4	<i>MI cement factory Limited</i>	Alliance Financial services Ltd.	16/9/10	10.00		70.00 crore		70.00 crore					Consent accorded to commence bidding by eligible institutional investors for price discovery under book building for 3.00 crore shares at indicative price of Tk. 93.00 totalling Tk.279.00 crore		
5.	<i>Deshban dhu polymer limited</i>	Union Capital Ltd.	8/9/10	10.00	40.00	24.00	-	24.00	16.00	-	-	16.0 0	At par		24.10.10 28.10.10

Surveillance Department:

Daily Market Surveillance: As part of daily market surveillance, the surveillance officials watch and analyze the trading activities in both the stock exchanges through non trading on-line surveillance system in order to find out irregularities, suspicious trading and market misconducts, if any. At the end of trading, a daily trade report, at the end of week, weekly trade report & at the end of month, monthly trade report is prepared by pointing out market conditions and submitted to the Chairman, the Members and the Executive Directors of the Commission.

Investigation and Enquiry: In order to ensure fair-trading and to maintain confidence of investors in the securities market it is necessary to ensure proper compliance of securities related laws, rules and regulations through inspection & investigation in suspicious and manipulative cases. In this regard, the following stock-brokers/stock-dealers activities have been investigated by SEC, Dhaka Stock Exchange and Chittagong Stock Exchange during the referred period:

Nature of Enquiry & Investigation	Investigation & Enquiry Against	Inspection & Enquiry Conducted By
To enquiry into the certain unusual trading in shares of ICB Islamic Bank Ltd in the stock exchanges.	Major involved stock-brokers/stock-dealers of DSE and CSE	Mr. Mohammad Rezaul Karim, Director, SEC Ms. Tania Sharmin, Assistant Director, SEC
To enquiry into the certain unusual activities in respect of trading in shares of Lankabangla Finance Ltd. by the	_____	Mr. ATM Tariquzzaman, Executive Director, SEC

sponsors/directors of the said company.		Mr. Md. Abul Kalam, Deputy Director, SEC
To enquiry into the unethical activities in the name of private placement of shares of different companies unlawfully and persuading the investors/general public through fraudulent means and ideas by certain persons/organizations.	_____	Mr. ATM Tariquzzaman, Executive Director, SEC Mr. M. Hasan Mahmud, Director, SEC Mr. Mohammad Zahirul Haque, Assistant Director, SEC
To investigate into the settlement failure of “UCBL” by SNM Securities Ltd.	SNM Securities Ltd.	Dhaka Stock Exchange Ltd.

To investigate into the recent unusual price hike of shares of Eastern Housing Ltd. in the stock exchanges.	_____	Dhaka Stock Exchange Ltd. Chittagong Stock Exchange Ltd.
To enquiry into the certain unusual trading in shares of Eastern Housing Ltd. in the stock exchanges.	Major involved stock-brokers/stock-dealers of DSE & CSE and Eastern Housing Ltd	Mr. Mohammad Rezaul Karim, Director, SEC Mr. Mohammad Rakibur Rahman, Assistant Director, SEC
To investigate into the recent unusual price hike of shares of Fine Foods Ltd. in the stock exchanges.	_____	Dhaka Stock Exchange Ltd.
To enquiry into the certain unusual trading in shares of Fine Foods Ltd. in the stock exchanges.	Major involved stock-brokers/stock-dealers of DSE & CSE and Fine Foods Ltd.	Mr. Mir Mosharraf Hossain, Director, SEC Mr. Md. Fakhrul Islam Mazumder, Deputy Director, SEC
To investigate into the Submission of aggressive buy order for shares of Olympic Industries Ltd. on August 23, 2010 by Alliance Securities & Management Ltd.	Alliance Securities & Management Ltd.	Dhaka Stock Exchange Ltd.
To investigate into the recent unusual	_____	Dhaka Stock Exchange Ltd.

price hike of shares of Aftab Automobiles Ltd. in the stock exchanges.		Chittagong Stock Exchange Ltd.
To investigate into the recent unusual price hike of shares of Beach Hatchery Ltd. in the stock exchanges.	_____	Dhaka Stock Exchange Ltd. Chittagong Stock Exchange Ltd.

REGISTRATION

Issuance and Renewal of Stock Dealer /Stock Broker Registration Certificate:

During July - September 2010, the Commission issued 7 (seven) Stock broker/Stock dealer registration certificates in favor of different members of Dhaka Stock Exchange Ltd. and 10 (ten) Stock broker/Stock dealer registration certificates in favor of different members of Chittagong Stock Exchange Ltd. under *ৱাৰ্ডৱৰ্কৰ আইন, ১৯৯৩* (১৯৯৩ চনৰ আইন, ১৯৯৩ চনৰ আইন) *ৱাৰ্ডৱৰ্কৰ আইন, ১৯৯৩*, ২০০০. These are as under;

Dhaka Stock Exchange Limited:

Sl. No.	Name & Address of the Stock dealer/ Stock broker	Category	Membership No.	Registration Certificate No. & Issue Date
1	Anchor Securities Ltd. Room # 712, Dhaka Stock Exchange Building 9/F Motijheel C/A Dhaka-1000.	Stock broker	DSE-177	Reg-3.1/DSE-177/2010/416 Date: 14.07.2010
2	Asia Securities Ltd. S. S Steel Building Building Level # 6, Suit # 602, 17/C Panthopath, Dhaka- 1207	Stock broker & Stock Dealer	DSE-88	Reg-3.1/DSE-88/2010/417 Date: 18.07.2010 & Reg-3.1/DSE-88/2010/418 Date: 18.07.2010
3	Shahnaz Securities Ltd. Room # 615, Dhaka Stock Exchange Building 9/F Motijheel C/A Dhaka-1000.	Stock broker & Stock Dealer	DSE-46	Reg-3.1/DSE-46/2010/421 Date: 17.08..2010 & Reg-3.1/DSE-46/2010/422 Date: 17.08..2010
4	AB Securities Ltd. BCIC Bhaban, 30- 31Dilkusha C/A, Dhaka- 1000	Stock broker & Stock Dealer	DSE-201	Reg-3.1/DSE-201/2010/419 Date: 01.08..2010 & Reg-3.1/DSE-201/2010/420 Date: 01.08..2010
5	MTB Securities Ltd. 14-15 Motijheel C/A Dhaka-1000	Stock broker & Stock Dealer	DSE # 197	Reg-3.1/DSE-197/2010/427 Date: 16.09..2010 & Reg-3.1/DSE-197/2010/428 Date: 16.09..2010

6	Prime Bank Securities Ltd. Peoples Insurance Bhaban, (12 th Floor) 36 Dilkusha C/A, Dhaka-1000	Stock broker & Stock Dealer	DSE # 129	Reg-3.1/DSE-129/2010/429 Date: 16.09..2010 & Reg-3.1/DSE-129/2010/430 Date: 16.09..2010
7	Sadek Finance Management Ltd. Room # 211, Dhaka Stock Exchange Building 9/F Motijheel C/A Dhaka-1000.	Stock broker & Stock Dealer	DSE # 28	Reg-3.1/DSE-28/2010/423 Date: 08.09..2010 & Reg-3.1/DSE-28/2010/424 Date: 08.09..2010

Chittagong Stock Exchange Limited:

Sl. No.	Name & Address of the Stock dealer/ Stock broker	Category	Membership No.	Registration Certificate No. & Issue Date
1	Chittagong Shares & Securities Ltd. Kashafia Plaza, (Ground Floor) , 923/A , SK Mujib Road , Agrabad Chittagang	Stock dealer	CSE-60	Reg-3.2/CSE-67/2010/244 Date: 22.09.2010
2	Inter Continental Securities Ltd. Kashafia Plaza Room # 405 (3 rd Floor) , 923/A , SK Mujib Road , Agrabad Chittagang	Stock Dealer	CSE-94	Reg-3.2/CSE-94/2010/230 Date: 18.07.2010
3	TK Shares & Securities Ltd. 83 Khatungang Chittagong	Stock Dealer	CSE-69	Reg-3.2/CSE-69/2010/228 Date: 18.07.2010
4	MKM Secrities Ltd. Bilkis Tower(4 th Floor), Plot # 6 (new), Gulshan -2 Dhaka-1212	Stock Dealer	CSE-51	Reg-3.2/CSE-51/2010/229 Date: 18.07.2010
5	Far East Stocks and Bonds Ltd, Printers Building (9 th Floor) 5 Rajuk Avenue, Motijheel,Dhaka-1000	Stock broker & StockDealeer	CSE-138	Reg-3.2/CSE-138/2010/236 Date: 29.08.2010 & Reg-3.2/CSE-138/2010/237 Date: 29.08.2010
6	AB Securities Ltd. BCIC Bhaban, 30-31Dilkusha C/A, Dhaka-1000	Stock broker & StockDealeer	CSE-101	Reg-3.2/CSE-101/2010/232 Date: 01.08.2010 & Reg-3.2/CSE-101/2010/231 Date: 01.08.2010
7	Super Shares & Securities Ltd. Elit House CDA Avenue , GPO Box	Stock broker & StockDealeer	CSE-67	Reg-3.2/CSE-67/2010/161 Date: 18.07.2010 &

	# 395, East Nasirabad, Chittagong			Reg-3.2/CSE-67/2010/244 Date: 22.09.2010
8	Business Capital Shares & Securities Ltd. Sharif Mansion (6 th Floor), 56- 57 Motijheel C/A, Dhaka-1000	Stock broker & Stock Dealer	CSE-111	Reg-3.2/CSE-111/2010/243 Date: 31.08.2010 & Reg-3.2/CSE-111/2010/242 Date: 31.08.2010
9	International Leasing Securities Ltd. MM Islam Plaza ,AB 1-13 Kalawala Para , Mirpur-1 Dhaka- 1216	Stock broker & Stock Dealer	CSE-80	Reg-3.2/CSE-80/2010/241 Date: 31.08.2010 & Reg-3.2/CSE-80/2010/240 Date: 31.08.2010
10	Prime Bank Securities Ltd. Peoples Insurance Bhaban, (12 th Floor) 36 Dilkusha C/A, Dhaka- 1000	Stock broker & Stock Dealer	CSE-141	Reg-3.2/CSE-141/2010/239 Date: 31.08.2010 & Reg-3.2/CSE-141/2010/238 Date: 31.08.2010

Moreover, the Commission renewed 51 (fifty one) stock broker/stock dealer registration certificates of Dhaka Stock Exchange Ltd and 63 (sixty three) Stock broker/Stock dealer registration certificates of Chittagong Stock Exchange Ltd during July - September 2010.

Branch Opening Permission to the Stock Brokers:

During the said Quarter, the Commission approved opening of 59 (fifty nine) new branches of different Stock brokers of Dhaka Stock Exchange Limited. The Commission also approved opening of 12 (twelve) new branches of different Stock brokers of Chittagong Stock Exchange Limited.

Issuance and Renewal of Authorized Representative Registration Certificates:

During the period under review, the Commission issued 383 (Three hundred and eighty three) authorized representatives registration certificates of Dhaka Stock Exchange Ltd. and 281 (two hundred and eighty one) of Chittagong Stock Exchange Ltd. respectively under the Securities and Exchange Commission Act, 1993 and the Securities and Exchange Commission (Registration of Authorized Representatives) Regulations, 2000.

Issuance and Renewal of Depository Participant Registration Certificate:

During the Quarter, the Commission issued the following 9 (nine) depository participants registration certificates under the Depositories Act, 2003 and renewed 36 (thirty six) depository participant registration certificates.

DP NO	Name, Address & Contacts of the DP	Membership No.	Category	Certificate No. & Issue Date
1	Stock & Securities Linkway Ltd 16 Park Road ,Room # 402, Baridhara Dhaka-1212	CSE # 14	Full Service	SEC/Reg./CDBL-DP-324 Date: 13.07.2010
2	MKM Securities Ltd. Bilkis Tower (4 th Floor) Plot # Gulshan –2 Dhaka-1212	CSE # 51	Full Service	SEC/Reg./CDBL-DP-326 Date: 15.07.2010
3	TSI Securities Ltd. Arag Chamber (3 rd Floor), 68 Agrabad C/A Chittagong-4100	CSE # 09	Full Service	SEC/Reg./CDBL-DP-325 Date: 08.02.2010
4	Super Shares & Securities Ltd.ElitHouse,CDA Avenue , GPO Box # 395, EastNasirabad, Chittagong	CSE # 67	Full Service	SEC/Reg./CDBL-DP-331 Date: 30.08.2010
5	Wasis Turner Ltd. PBL Tower (19 th Floor) 17 Gulshan North, Circle –2 Gulshan,Dhaka	CSE # 72	Full Service	SEC/Reg./CDBL-DP-328 Date: 05.08.2010
6	SN SecuritiesLtd. 304/B SK Mujib Road, Mir Arced(2 nd Floor), Dewanhat, Chittagong	CSE # 125	Full Service	SEC/Reg./CDBL-DP-330 Date: 28.02.2010
7	Premier Leasing Securities Ltd. Printers Building (16 th Floor) 5 Rajuk Avenue, Motijheel, Dhaka-1000	CSE # 136	Full Service	SEC/Reg./CDBL-DP-327 Date: 05.08.2010
8	Asia Securities Ltd. SS Steel Building, Level #6, Suit #602,17/C Panthopath, Dhaka-1217	DSE # 88	Full Service	SEC/Reg./CDBL-DP-329 Date: 05.08.2010
9	Prime Bank Investment Ltd. Peoples Insurance Bhaban, (12 th Floor) 36 Dilkusha C/A, Dhaka-1000	MB	Custody DP	SEC/Reg./CDBL-DP-63 Date: 19.09.2010

Issuance of Registration Certificate for Merchant Banking Operation and approval of opening new branch office of Merchant Bank:

The Commission issued 1 (one) Registration Certificate for merchant banking operation in favor of their newly formed subsidiary company namely;

1. Janata Capital and Invest Ltd. (Old- Janata Bank Ltd.) on 05.08.2010

During the quarter, The Commission accorded approval to open 2 (two) new branch offices of IDLC Finance Limited, to perform the merchant banking activities under the Companies Act, 1996.

Issuance of Trustee Registration Certificate:

During the quarter, the Commission has approved Issuance of 1 (one) Trustee Registration Certificate in favor of Agrani Bank Limited on 04.08.2010 under the Companies Act, 1996, 2001.

Issuance of Custodian Registration Certificate:

During the quarter, the Commission has approved Issuance of 1 (one) Custodian Registration Certificate in favor of Agrani Bank Limited on 04.08.2010 under the Companies Act, 1996, 2001.

MUTUAL FUND & SPECIAL PURPOSE VEHICLE (MF & SPV)

During July-September, 2010, Mutual Fund and SPV Department has performed the following activities:

- Completed the process relating to approval of prospectus and abridged version of prospectus of Popular Life First Mutual Fund (Closed-end), Green Delta Mutual Fund (Closed-end), IFIL Islamic Mutual Fund One (Closed-end), PHP First Mutual Fund (Closed-end) and Prime Finance First Unit Fund (Open-end) .
- Completed the process for approval of lottery of First Janata Bank Mutual Fund (Closed-end), Popular Life First Mutual Fund (Closed-end) and Green Delta Mutual Fund (Closed-end).
- Completed the process of approval for deployment of fund of First Janata Bank Mutual Fund (Closed-end), Popular Life First Mutual Fund (Closed-end), Green Delta Mutual Fund (Closed-end), PHP First Mutual Fund (Closed-end) and IFIL Islamic Mutual Fund One (Closed-end).
- Completed the process relating to registration of fund of MBL First Mutual Fund (Closed-end), EBL NRB Mutual Fund (Closed-end), Southeast Bank First Mutual Fund (Closed-end).
- Completed the process for approval of Trust Deed and Investment Management Agreement of EBL NRB Mutual Fund (Closed-end), Sonali Bank Limited First Mutual Fund (Closed-end), NLI First Mutual Fund (Closed-end), NCCBL Mutual Fund One (Closed-end), Rupali Life Insurance First Mutual Fund (Closed-end) and First Agrani Bank Mutual Fund (Closed-end).

SUPERVISION AND REGULATION OF MARKETS AND ISSUER COMPANIES (SRMIC)

During July-September 2010, the following companies held AGM. Information on AGM and dividend shown in the following table:

Sl. No.	Name of Company	Date of AGM	Cash	Stock	Year End
BANKS					
1	AB Bank Ltd.	15-Jul-10	20%	25%	31-Dec-09
2	EXIM Bank Ltd.	12-Jul-10	-	35%	31-Dec-09
3	First Security Islami Bank Ltd.	31-Jul-10	-	10%	31-Dec-09
4	IFIC Bank Ltd.	26-Jul-10	-	25%	31-Dec-09
5	One Bank Ltd.	05-Jul-10	-	32%	31-Dec-09
6	Rupali Bank Ltd.	12-Jul-10	-	12.55%	31-Dec-09
Engineering					
7	Navana CNG Limited	22-Jul-10	10%	20%	31-Mar-10
Pharmaceuticals & Chemicals					
8	Square Pharmaceuticals Limited	21-Sep-10	35%	30%	31-Mar-10
Food & Allied					
9	Apex Foods Limited	25-Sep-10	12%	-	30-Jun-10
10	Alpha Tobacco Manufacturing Co. Limited	12-Jul-10	-	-	30-Sep-09
11	Meghna Shrimp Culture Limited	10-Aug-10	-	-	31-Dec-09
Textile					
12	Apex Spinning Mills Limited	25-Sep-10	15%	-	31-Mar-10
13	CMC Kamal Textile Mills Ltd.	23-Jul-10	-	10%	31-Dec-09
14	Style Craft Limited	26-Sep-10	30%	-	31-Mar-10
Fuel & Power					
15	Bangladesh Welding Electrodes Ltd.	03-Jul-10	-	15%	31-Dec-09
Tannery & Footwear					
16	Legacy Footwear Ltd.	16-Aug-10	10%	-	31-Dec-09
17	Apex Tannery Ltd.	28-Sep-10	25%	-	30-Jun-09
18	Excelsior Shoes Ltd.	28-Sep-10	-	-	30-Sep-09
Services & Real Estate					
19	Bangladesh Services Limited	01-Aug-10	15%	-	31-Dec-09
20	Bangladesh Hotels Limited	25-Aug-10	35%	-	31-Dec-09
Insurance					
21	Northern General Insurance Ltd.	01-Jul-10	-	15%	31-Dec-09
22	Sonarbangla Insurance Ltd.	23-Sep-10	-	10%	31-Dec-09

Sl. No.	Name of Company	Date of AGM	Cash	Stock	Year End
23	Islami Insurance Ltd.	01-Jul-10	-	-	31-Dec-09
24	Eastern Insurance Ltd.	29-Jul-10	20%	10%	31-Dec-09
25	Rupali Insurance Ltd.	15-Jul-10	-	20%	31-Dec-09
26	Global Insurance Ltd.	17-Jul-10	-	10%	31-Dec-09
27	Paramount Insurance Co. Ltd.	22-Jul-10	-	10%	31-Dec-09
28	Janata Insurance Ltd.	26-Jul-10	-	10%	31-Dec-09
29	Takaful Insurance Ltd.	29-Jul-10	-	15%	31-Dec-09
30	Meghna Life Insurance Ltd.	05-Aug-10	-	35%	31-Dec-09
31	Purabi General Insurance Ltd.	09-Aug-10		10%	31-Dec-09
32	Pragati Life Insurance Ltd.	09-Aug-10	10%	-	31-Dec-09
33	Sandhani Life Insurance Ltd.	09-Aug-10	-	45%	31-Dec-09
34	Popular Life Insurance Ltd.	26-Aug-10	-	35%	31-Dec-09
35	Rupali Life Insurance Ltd.	29-Aug-10	-	10%	31-Dec-09
36	Fareast Islami Life Insurance Ltd	31-Aug-10	-	45%	31-Dec-09
37	Prime Islami Life Insurance Ltd.	02-Sep-10	5%	35%	31-Dec-09
38	Progressive Life Insurance Ltd.	21-Sep-10	10%	-	31-Dec-09

During July-September 2010, the following complaints were lodged with the Commission and measures taken by the Commission on the same are as follows:

COMPLAINT AGAINST LISTED COMPANIES:

Nature of Complaint	No. of Complaints	Under Process	Referred for Enforcement Action	Resolved
Non payment or delay in payment of dividend	6			6
Non payment of debenture installment				
Regarding transfer of shares	2			2
Non receipt of letter of rights share offering	3	1		3
Non receipt of annual report	6			6
Refund warrant	30	4		30
Non demat of shares	2			2
Miscellaneous	13	3		13
Total	62	8		54

Supervision and Regulation of Intermediaries (SRI)

The functions of SRI Department are supervision of performing activities of stock-dealers/stock brokers, depository participants, security custodian banks, merchant bankers, security lenders and borrowers and other market intermediaries. The regular inspection of stock brokers/dealers and DP's on the monthly basis is conducted by this department. During July-September 2010, the following complaints were lodged with the department and necessary actions have been taken against them are as follows.

Complaints against Stock Broker/Stock Dealer/Depository participant:

Nature of Complaints	No. of Complaints Received	Under Process	Referred for Enforcement Action	Referred to DSE/CSE for Negotiation	Resolved
Lost of shares	-	-	-	-	
Unauthorized debit of share	5	-	-	3	2
Non-transfer of share	2	-	-	-	2
Non-payment of sales proceeds	4	-	-	-	4
Financial loss due to non-transfer of share	-	-	-	-	
Delay in settlement	-	-	-	-	
Non-receipt of share	-	-	-	-	
Corruptions of Broker/Dealer	-	-	-	-	
Others	3	-	-	2	1
Total	14	-	-	5	9

Inspection of Stock Broker/Stock Dealer/Depository Participants/ Merchant Banks:

Sl. No.	Nature of Inspection	Broker/Dealer/DP under Inspection	Inspection conducted by	Date of commencement	Comments/Status
01.	Monthly regular Inspection for the Month of June 2010	Samin Securities Ltd. (DSE Member # 83)	1. Mr. Prodip Kumar Basak, Deputy Director 2. Mr. Md. Ohidul Islam, Assistant Director	14th and 15th July, 2010	Report will be submitted within 30 working days of receipt of the inspection order.
02.	Monthly regular Inspection for	Peoples Equities	1. Mr. Mir Mosharraf	30th June and 1st July, 2010	Report will be submitted within 30 working days

	the Month of June 2010	Ltd. (DSE Member # 176)	Hossain Chowdhury Director 2. Mr. Muhammad Ziaur Rahman Deputy Director		of receipt of the inspection order.
03.	Monthly regular Inspection for the Month of June 2010	DN Securities Ltd. (CSE Member # 89)	1. Mr. Mahmoodul Hoque Deputy Director 2. Mr. Syed Muhammad Golam Mowla, Assistant Director	7th and 8th July, 2010	Report will be submitted within 30 working days of receipt of the inspection order.
04.	Monthly regular Inspection for the Month of June 2010	3A & Company Ltd. (CSE # 44)	1. Mr. Abu Rayhan Mohammad Mutasim, Billah, Deputy Director 2. Mr. Md. Yusuf Bhuiyan, Assistant Director	21st and 22nd July, 2010	Report submitted, file is under process
05.	Monthly regular Inspection for the Month of August 2010	Rashid Investment Services Ltd. (DSE # 35)	1. Mr. Mohammad Jahangir Alam, Deputy Director 2. Mr. Prodip Kumar Basak, Deputy Director	9th to 12th August	Report will be submitted within 30 working days of receipt of the inspection order
06.	Monthly regular Inspection for the Month of August 2010	UGC Securities Limited (DSE # 54)	1. Mr. Abu Rayhan Mohammad Mutasim Billah, Deputy	4th and 5th August, 2010	Report will be submitted within 30 working days of receipt of the inspection order

			Director 2. Mr. Syed Muhammad Golam Mowla, Assistant Director		
07.	Monthly regular Inspection for the Month of August 2010	Muntaha Shares & Capital Ltd. (CSE # 129)	1. Mr. Md. Monsur Rahman, Deputy Director 2. Mr. Md. Ohidul Islam, Assistant Director	4th and 5th August, 2010	Report will be submitted within 30 working days of receipt of the inspection order.
08.	Monthly Special Inspection for the Month of August 2010	Firstlead Securities Ltd. (CSE # 122)	1. Mr. Mohammed Shafiul Azam, Director 2. Mr. Mohammad Jahangir Alam, Deputy Director	August 25 & 26, 2010	Report submitted. The matter to be placed in file.
9	Monthly Special Inspection for the Month of August 2010	Arafat Securities Ltd. (DSE # 94)	1. Mr. Sheikh Mahbub Ur Rahman, Deputy Director 2. Mr. Md. Iqbal Hossain, Assistant Director	August 8-12, 2010	Report submitted. The matter to be placed in file.
10	Monthly Special Inspection for the Month of August 2010	Arafat Securities Ltd. (DSE # 94) (following a complaint)	1. Mr. Md. Ohidul Islam, (AD) 2. Mr. Md. Hossain Khan, Assistant Director	August 30 & 31, 2010	Report submitted. The matter to be placed in file.
11	Monthly regular Inspection for the Month of September 2010	L.R.K Securities Limited (DSE Member No.26)	1. Mr. Rajib Ahmed, Deputy Director 2. Zahirul Haque,	September 15, 2010 to September 16, 2010	Report will be submitted within 30 working days of receipt of the inspection order.

			Assistant Director		
12	Monthly regular Inspection for the Month of September 2010	C-Maart Securities Limited (DSE Member No.183)	1. Mr. Prodig Kumar Basak, Deputy Director 2. Mr. Yusuf Bhuiyan, Assistant Director	September 22, 2010 to September 23, 2010	Report will be submitted within 30 working days of receipt of the inspection order.
13	Monthly regular Inspection for the Month of September 2010	Purabi Securities Limited (CSE Member No.87)	1. Mr. Md. Abul Kalam, Deputy Director 2. Mr. S.M. Golam Mowla, Assistant Director	September 15, 2010 to September 16, 2010	Report will be submitted within 30 working days of receipt of the inspection order.
14	Monthly regular Inspection for the Month of September 2010	Western Securities Investment Management Limited (CSE Member No.120)	1. Mr. Md. Ziaur Rahman, Deputy Director 2. Mr. Md. Iqbal Hossain, Assistant Director	September 22, 2010 to September 23, 2010	Report submitted. The matter to be placed in file.
15	Monthly Special Inspection for the Month of September 2010	Saad Securities Ltd. (DSE Member No. 188)	1. Mr. Md. Monsur Rahman, Deputy Director 2. Mr. Md. Iqbal Hossain, Assistant Director	September 29 & 30, 2010	Report will be submitted within 30 working days of receipt of the inspection order.
16	Monthly Special Inspection for the Month of September 2010	M-Securities Ltd. (DSE Member No.	1. Mr. Abu Rayhan Mohammad	September 26 to 30	Report will be submitted within 30 working days of receipt of the inspection order.

		44)	Mutasim Billah, Deputy Directors 2. Mr. Md. Ohidul Islam, Assistant Director		
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Inspection of Merchant Banks:

01.	Monthly regular Inspection for the Month of June 2010	Grameen Capital Management Ltd.	1. Mr. Mohammad Jahangir Alam, Deputy Director 2. Mr. Md. Abul Kalam, Deputy Director	13 th July 2010 to 20 th July 2010	Report submitted. The matter to be placed in file
02.	Monthly regular Inspection for the Month of August 2010	Banco Trans World (Bangladesh) Ltd.	1. Mr. Mahmoodul Hoque, Deputy Director 2. Mr. Md. Ohidul Islam, Assistant Director	17 th to 19 th August, 2010	Report submitted. The matter to be placed in file.

CENTRAL DEPOSITORY

During July-September, 2010 quarter the following companies joined the central depository system under Central Depository Bangladesh Limited (CDBL). At the end of September 2010, the total number of companies under CDBL was 26 (twenty six), which are stated below:

1	United Airways BD. Ltd.	12.07.2010
2	Kohinoor Chemicals	26.07.2010
3	Legacy Footwear	26.07.2010
4	Miracle Ind.	26.07.2010

5	CMC Kamal	26.07.2010
6	Sonali Aansh	26.07.2010
7	Desh Garments	26.07.2010
8	Meghna Pet	26.07.2010
9	Monno Fabrics	26.07.2010
10	Malek Spinning	02.08.2010
11	Beacon Pharmaceuticals Limited	12.08.2010
12	Safko Spinning	31.08.2010
13	Savar Refractories	31.08.2010
14	Chittagong Vegetable	31.08.2010
15	BD.Autocars	31.08.2010
16	Standard Ceramic	31.08.2010
17	Libra Infusions Limited	31.08.2010
18	H.R.Textile	31.08.2010
19	First Janata Bank Mutual Fund	20.09.2010
20	Green Delta Mutual Fund	28.09.2010
21	Imam Button	30.09.2010
22	Monno Jutex	30.09.2010
23	Monno Ceramic	30.09.2010
24	Monno Stafflers	30.09.2010
25	Dhaka Fisheries	30.09.2010
26	Anwer Galvanizing	30.09.2010

SEC ENFORCEMENT ACTIONS

During July to September 2010 the following enforcement actions against Issuer Companies, Stock-Brokers/Stock-Dealers and Others were taken by the Commission for non-compliance of the securities related laws:

Against Issuer Company:

Violation	No. of Issuer Companies	Nature of Action
Failure to submit the half-yearly financial statements	7	Penalty
Non-compliance of Directive/Notification/Order	1	Penalty
Accurate and transparent information not reflected in the audited financial statements	1	Penalty
Failure to submit the audited financial statements	1	Warning
Failure to comply with securities related laws	2	Warning
Non-compliance of Directive/Notification/Order	1	Warning
Total	13	

Against Stock Broker/ Stock Dealer:		
Violation	No. of Stock Broker/Stock-Dealer	Nature of Action
Non-compliance of securities related laws	3	Penalty
Total	3	
Against Others:		
Violation	No.	Nature of Action
Dhaka Stock Exchange Ltd. (DSE) : Non-compliance with securities related laws in connection with execution of trade and calculation of index.	1	Penalty
Chittagong Stock Exchange Ltd. (CSE) : Non-compliance with securities related laws in connection with execution of trade.	1	Penalty
Total	2	
During July to September 2010 Enforcement department has taken 18 No. of action against issuer companies, stockbrokers, stock-dealers and others.		

LAW

Total 332 cases filed by or against SEC are pending in different courts. Name of the courts are given below along with number of pending cases with each:

Sl. No.	Name of the Court	Number of Cases
01.	Supreme Court of Bangladesh	Appellate Division 06
		High Court Division 116
02.	District Judge Court, Dhaka.	01
03.	Metropolitan Session Judge Court, Dhaka.	06
04.	1 st Asst. Metropolitan Session Judge Court, Dhaka	01
05.	4 th joint district judge Court, Dhaka	01
06.	5 th Joint Dist. Judge Court, Dhaka.	08
07.	4 th Asst. Judge Court, Dhaka.	01
08.	9 th Assistant Judge (Savar) court, Dhaka	01
09.	Chief Metropolitan Magistrate Court, Dhaka.	10
10	General Certificate Court, Dhaka.	181
Total Cases :		332

a) Out of total 15 share scam cases of 1996, 1 case is now pending before the Appellate Division, 10 cases before the High Court Division of Bangladesh Supreme Court and balance 4 cases are pending before the Metropolitan Session Judge Court, Dhaka.

b) 28 (twenty eight) certificate cases were filed against the directors of relevant 22 companies in order to recover the penalty imposed by the Commission for violation of securities laws during the period July–September, 2010 under Public Demands Recovery Act, 1913.

MIS

MIS Department is responsible to assist different departments of SEC through development of automation in their activities, development of capital market monitoring system based on computerized data analysis, and informing all about securities laws and other related matters through website.

At present all officers of SEC use computers in their daily activities. All computers are connected through local area network (LAN). Different modules of integrated Securities and Exchange Commission Automated System (SECAS) have been developed at SEC for use of its different departments. Officers of SEC can use broadband internet connection from their workstation through connected LAN. SEC's website (www.secbd.org) is enriched with various information like securities laws, IPO prospectus, eligible securities, depository participants, enforcement actions, reports etc, which are updated regularly and many users visit the website. MIS department works on development, modification and maintenance of the mentioned systems.

During July-September 2010, Important Web Uploads and Website Visits:

Works	Number
IPO Prospectus/ Right offer document Upload	8
Enforcement Actions Upload	38
Other Order/Notification/Directive etc Upload	20
Quarterly Report Upload	1
Annual Report Upload	-
Proposed Draft Rule Upload for Comments	1
No. of Website Visitors(As Per Web Counter)	33,000(approx)

RESEARCH AND DEVELOPMENT (R&D)

Research and Development Department of the Commission conducts investors' education program for the general investors, impart capital market related seminar for various government and non-government organizations, prepares and publishes Commission's various publications regularly, furnishes various reports and information to the government and other institutions including Ministry of Finance and different regulatory authorities, and makes paper clipping from most of the daily newspapers (20 dailies) and circulate it to the Commission and executives. The department also deals the training program of the authorized representatives jointly with the stock exchanges.

During July-September 2010 Research and Development Department has carried out regular activities as mentioned in the table below:

S/N	Name of Work	Quantity
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1	Training Program for General Investors (Two-days program)	8(Eight) programs 300participants
2	Training for Authorized Representatives (Two-days program)	DSE- 8 programs 440participants CSE- 5 programs 260 participants Total-13 programs Total- 700 participants
3	Annual Report 2009-2010 (Bangla) Draft	1
4	Quarterly Report	1
5	Parikrama	1
6	Monthly Work Plan to MOF	3
7	Monthly Progress Report to MOF	3
8	Quarterly Manpower Report to MOF	1Annual, 1 Quarterly

Capital Market Regulatory Reforms and Compliance (CMRRC)

During July-September 2010, the following amendments/order/directives/notifications related to capital market have been issued:

Sl No.	Subject	Classification	Ref. No.
1	Declaration by sponsors/directors/placement holders before sell or dispose off their shares or mutual fund units	Directive	SEC/CMRRCD/2009-193/46/Admin/02-23 Dated: July 01, 2010
2	The members of the stock exchanges shall not extend credit facilities to their approved clients beyond 1(one) time of the clients' margin under the Margin Rules, 1999.	Directive	SEC/CMRRCD/2001-43/47 Dated: July 08, 2010
3	গণপ্রজাতন্ত্রী বাংলাদেশের সরকারের (স্বরাষ্ট্র) ক্রয়-বিক্রয় নিয়ন্ত্রণ আইন, ১৯৯৯-এর অধীনস্থ বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশনের (সিএসইসি) কর্তৃক	আদেশ	GmBim/imGgAvi Avi im/2001-43/48 Zwi L: Rj vB 08, 2010
4	Declaration by directors/sponsors/placement holders before buy/sell or dispose	Directive	SEC/CMRRCD/2009-193/49/Admin/03-48 Dated: July 14, 2010

Sl No.	Subject	Classification	Ref. No.
	off their shares in the listed issuers.		
5	Declaration by sponsors/placement holders before sell or dispose off their mutual fund units	Directive	SEC/CMRRCD/2009-193/50/Admin/02-24 Dated: July 14, 2010
6	Limiting the credit facilities provided by the members to the individual clients or their spouse or any of their dependent persons, their directors or their spouse or any of their dependent persons or stock-dealer concerned.	Directive	SEC/CMRRCD/2001-43/51 Dated: July 22, 2010
7	გვარსკვი (ტელეფონი და გარდასახული) კვლევის დასაბუთება და განმარტება გადასახული გარდასახული დასაბუთება	არჩევანი	გადასახული/გადასახული/2001-43/52 დასაბუთება: ივლისის 22, 2010
8	Limiting the credit facilities provided by the members to the individual clients or their spouse or any of their dependent persons, their directors or their spouse or any of their dependent persons or stock-dealer concerned.	Directive	SEC/CMRRCD/2001-43/53 Dated: July 25, 2010
9	გვარსკვი (ტელეფონი და გარდასახული) კვლევის დასაბუთება და განმარტება დასაბუთება დასაბუთება დასაბუთება	არჩევანი	გადასახული/გადასახული/2001-43/54 დასაბუთება: ივლისის 25, 2010
10	სადასახული/სადასახული/სადასახული (დასაბუთება დასაბუთება დასაბუთება) დასაბუთება დასაბუთება დასაბუთება	არჩევანი	გადასახული/გადასახული/2001-25/55/დასაბუთება/03-50 დასაბუთება: ივლისის 27, 2010
11	კვლევის დასაბუთება დასაბუთება დასაბუთება დასაბუთება დასაბუთება დასაბუთება (client account) დასაბუთება (Freeze) დასაბუთება	არჩევანი	გადასახული/გადასახული/2008-179/56, დასაბუთება: ივლისის 27, 2010
12	Amendment to the Securities and Exchange Commission (Public Issue) Rules, 2006	Notification	SEC/CMRRCD/2008/186/57/Admin/03-49 Dated: August 01, 2010
13	Repeal of the Order No. SEC/CMRRCD/2006-	Order	SEC/CMRRCD/2009-193/58/Admin/02-25

Sl No.	Subject	Classification	Ref. No.
	159/Admin/02/09 Dated: May 30, 2006		Dated: August 04, 2010
14	Providing margin loan by stock brokers to purchase mutual fund units	Directive	SEC/CMRRCD/2009-193/58 Dated: August 30, 2010
15	Providing margin loan by merchant bankers to purchase mutual fund units	Directive	SEC/CMRRCD/2009-193/59 Dated: August 30, 2010
16	Amendment to the Securities and Exchange Commission (Public Issue) Rules, 2006	Notification	SEC/CMRRCD/2003-109/60/Admin/03-51 Dated: August 31, 2010
17	Conditions for unlisted security under section 2CC of the Securities and Exchange Ordinance, 1969	Notification	SEC/CMRRCD/2009-193/61/Admin/03-52 Dated: September 06, 2010
18	Condition under section 2CC of the Securities and Exchange Ordinance, 1969	Notification	SEC/CMRRCD/2009-193/62/Admin/03-53 Dated: September 06, 2010
19	Directive regarding netting, NAV and margin call under section 20A of the Securities and Exchange Ordinance, 1969	Directive	SEC/CMRRCD/2009-193/63 Dated: September 06, 2010
20	Directive for clarification of the Directive No. SEC/CMRRCD/2009-193/63 Dated: September 06, 2010, under section 20A of the Securities and Exchange Ordinance, 1969	Directive	SEC/CMRRCD/2009-193/64 Dated: September 21, 2010
21	Directive regarding non-dematted Z-category securities, under section 20A of the Securities and Exchange Ordinance, 1969	Directive	SEC/CMRRCD/2001-16/65 Dated: September 28, 2010

DIRECTIVE

No. SEC/CMRRCD/2009-193/46/Admin/-----

July 01, 2010

The Securities and Exchange Commission, in exercise of the power conferred by section 20A of the Securities and Exchange Ordinance, 1969 (XVII of 1969), hereby directs the sponsor shareholders, directors or placement holders of the companies and the mutual funds listed with the stock exchange also to comply with the Notification No.

SEC/SRMID/2000-953/313/Admin-06 dated March 25, 2001, in respect of their selling or otherwise disposing off in any manner the shares held in the company or units held in the mutual fund, out of those shares or units which have been acquired as sponsor shareholder, director or placement holder of the company, or as sponsor or placement holder of the mutual fund, as the case may be.

The following format, shall, however be applicable for the purpose of declaration by the sponsors or placement holders of mutual fund:

FORMAT

Pursuant to the Securities and Exchange Commission's Directive No.

SEC/CMRRCD/2009-193/46/Admin/----- dated July 01, 2010, I hereby report that I intend to sell or dispose off some units of mutual fund of which I am a sponsor/placement holder since within next thirty working days from the date of receipt of this report by the Commission and the stock exchange, the full particulars of which are given below:

1. Name of the mutual fund:
2. Name and full address of the sponsor/placement holder:
3. Beneficiary Owner (BO) number:
4. Quantity of units held in the mutual fund:
2
5. Quantity of units of the mutual fund to sell/dispose off:
6. Name of the designated stock-broker and the stock exchange:
7. Details of disposal planned for other than through stock exchange:

DECLARATION

I hereby declare that I have already placed the concerned units, along with the relevant irrevocable sale order with my above named stock-broker for execution at prevailing market price (ref. sl. No. 6), and I shall submit details of the proposed sell/transfer of the said units to the Securities and Exchange Commission and the stock exchange within one week of execution of the order or transfer.

Place Signature of the sponsor/placement holder with date

Signature verified by:_____

(Signature with name, date & seal of the authorized officer of the Asset Management Company)

This directive shall have effect from July 01, 2010.

By order of the Securities and Exchange Commission
Md. Ziaul Haque Khondker
Chairman.

SEC/SRMIC/94-198

July 04, 2010.

DIRECTIVE

In exercise of the power conferred by section 20A of the Securities and Exchange Ordinance, 1969 (XVII of 1969), the Securities and Exchange Commission hereby directs the companies listed with the Dhaka Stock Exchange Limited and the Chittagong Stock Exchange Limited, including the companies listed in the OTC of the said Exchanges, to the effect that; -

The companies that declare Lay-off of their factory shall hold Extra Ordinary General Meeting (EGM), within one month of such declaration or within one month of issuance of this directive, as the case may be, to inform its shareholders the reasons behind such Lay-off of the factory and to take decision on probable date of reopening the factory and the future planning of the company regarding its operation. The company shall submit the relevant notice of EGM and the decision taken in the EGM to the Commission, Stock Exchanges and the shareholders concerned immediately upon issuance of the notice and holding of the EGM.

By Order of the Securities and Exchange Commission
Anwarul Kabir Bhuiyan,
Executive Director.

Copy to:

1. Chief Executive Officer, DSE
2. Chief Executive Officer, CSE
3. President, Bangladesh Association of Publicly Listed Companies (BAPLC)
4. Bangladesh Merchant Bankers' Association (BMBA)
5. Deputt. heads, SEC
6. Chairman's Office, SEC.

No. SEC/CMRRCD/2001-43/47

July 08, 2010

DIRECTIVE

Whereas, the Securities and Exchange Commission, in the interest of investors and capital market, considers it to be appropriate that the proportion of credit facilities extended by the members of stock exchanges under the Margin Rules, 1999 should be re-fixed;

Now, therefore, the Commission, in exercise of its power conferred by section 20A of the Securities and Exchange Ordinance, 1969 (XVII of 1969), hereby directs the Dhaka Stock Exchange Ltd. and the Chittagong Stock Exchange Ltd. and their members to the effect that, the members of the stock exchanges shall not extend credit facilities to their approved clients beyond 1(one) time of clients' margin/clients' deposit (i.e. credit facilities shall be on 1:1 basis) under the Margin Rules, 1999.

This shall have effect from July 11, 2010.

This Directive shall supersede the previous Directive No. SEC/CMRRCD/2001-43/29 dated March 15, 2010.

By order of the Securities and Exchange Commission
Md. Ziaul Haque Khondker

Chairman.

bs GmBim/wmGgAvi Avi wm/2001-43/48

Rj vB 08, 2010Bs

Avt` k

wmwKDwi wUR I G. tPA Kugkb, wmwKDwi wUR I G. tPA Kugkb (gvfPw e`vsKvi I tcvUfdwvj I g`vtbRvi) wewagvj v, 1996 Gi wewa 36 tgvZvteK Zdwmtj Dwj _wLZ gvmRw FY c0 vb mspvš- wbt` Rbv bs 6 (1) G c` E qlgZvetj GZ0vi v gvmRw FY Gi mtePP nvi 1 t 1 (GK AbcvZ GK) cb: wbaft b Kwij hwnvi wfwEzZ gvfPw e`vsKvi (tcvUfdwvj I g`vtbRvi) Dnvi gt`j Z_v M0nKtK Rj vB 11, 2010Bs nBtZ, cieZwbt` R bv t` I qv chS, weZi YthvM` gvmRw FY c0 vb Kwiz cwit e| Dtj _L, GZ` DtI tk` c0hvR` tcvUfdwvj I /wmwKDwi wUj evRvi gj` wbaft tbi t`ft` wbt` Rbv bs 7 Abyni b wbowZ Kwiz nBte| GZ` mspvš-c`eRwii KZ Avt` k bs GmBim/wmGgAvi Avi wm/2001-43/30 Zwi L gvp15, 2010Bs GZ0vi v c0Z` vncZ ewj qv Mb` nBte|

wmwKDwi wUR I G. tPA Kugk tbi ct`q

tgt wRqvDj nK tLw` Kvi
tPqvi g`vb|

DIRECTIVE

No. SEC/CMRRCD/2009-193/50/Admin/02-24

July 14, 2010

Whereas, the Securities and Exchange Commission, in the interest of investors and the capital market, deems it fit that certain directive should be issued by the Commission to the sponsor unit holders or placement holders of the mutual funds listed with any stock exchange;

Now, therefore, in exercise of the power conferred by section 20A of the Securities and Exchange Ordinance, 1969 (XVII of 1969), the Securities and Exchange Commission hereby directs the sponsor unit holders or placement holders of the mutual funds listed with the stock exchange to the effect that:-

Every sponsor unit holder or placement holder of the mutual funds listed with any stock exchange shall simultaneously submit a written report to the Securities and Exchange Commission and the stock exchange with which the mutual funds are listed about his/her/its intention to sell or otherwise dispose off in any manner whatsoever the units held by him/her/it in the concerned mutual fund in the following format:

FORMAT

To
Chairman
Securities and Exchange Commission
Jiban Bima Tower (14, 15, 16 and 20th Floor)
10 Dilkusha C/A
Dhaka-1000

Copy to: Chief Executive Officer, Dhaka Stock Exchange Ltd./Chittagong Stock Exchange Ltd.

Subject: Report

Pursuant to the Securities and Exchange Commission's Directive No. SEC/CMRRCD/2009-193/50/Admin/02-24 dated July 14, 2010, I hereby report that I intend to sell or dispose off some units of the following mutual fund, of which I am a sponsor unit holder/placement holder since, within next thirty working days from the date of receipt of this report by the Securities and Exchange Commission and the stock exchange, the full particulars of which are given below:

2

1. Name of the mutual fund:
2. Name and full address of the sponsor unit holder/placement holder:
3. Beneficiary Owner (BO) account number:
4. Quantity of units held in the said mutual fund:
5. Quantity of units of the mutual fund to sell/dispose off:
6. Tax Identification Number (TIN) (if any) of the sponsor unit holder/placement holder:
7. Name of the designated stock-broker and the stock exchange:
8. Details of disposal planned for other than through stock exchange (if applicable):

DECLARATION

I hereby declare that I have already placed the concerned units, along with the relevant irrevocable sale order, with my above named stock-broker (document enclosed) for execution at prevailing market price, and that I shall submit details of the proposed sell/transfer of the said units to the Securities and Exchange Commission and the stock exchange within one week of execution of the said sale or transfer.

Place and date. Signature of the sponsor unit holder/placement holder.

Signature verified by:_____

(Signature with name and designation, date and seal of the authorized officer of the Asset Management Company of the concerned Mutual Fund).

This Directive shall supersede the previous Directive No. SEC/CMRRCD/2009-193/46/Admin/02-23 dated July 01, 2010, and shall have immediate effect.

By order of the Securities and Exchange Commission

Md. Ziaul Haque Khondker
Chairman.

NOTIFICATION

No. SEC/CMRRCD/2009-193/49/Admin/03-48

July 14, 2010

Whereas, the Securities and Exchange Commission deems it fit that the consent already accorded by the Commission, or to be accorded by it in future, to the issue of capital in Bangladesh, or public offer of securities for sale should be subject to certain further conditions in the interest of investors and the capital market;

Now, therefore, in exercise of the power conferred by section 2CC of the Securities and Exchange Ordinance, 1969 (XVII of 1969), the Securities and Exchange Commission hereby imposes the following further conditions to the consent already accorded by it, or to be accorded by it in future, to the issue of capital in Bangladesh, or public offer of securities for sale, namely:-

Every sponsor shareholder or director or placement holder of a company listed with any stock exchange shall simultaneously submit a written report to the Securities and Exchange Commission and the stock exchange with which the company is listed about his/her/its intention to buy or sell or otherwise dispose off in any manner whatsoever the shares held by him/her/it in that company in the following format:

FORMAT

To
Chairman
Securities and Exchange Commission
Jiban Bima Tower (14, 15, 16 & 20th Floor)
10 Dilkusha C/A
Dhaka-1000

Copy to: Chief Executive Officer, Dhaka Stock Exchange Ltd./Chittagong Stock Exchange Ltd.

Subject: Report

Pursuant to the Securities and Exchange Commission's Notification No. SEC/CMRRCD/2009-193/49/Admin/03-48 dated July 14, 2010, I hereby report that I intend to buy/sell or otherwise dispose off some shares of the following company, of which I am a sponsor shareholder/director/placement holder since, within next thirty working days from the date of receipt of this report by the Securities and Exchange Commission and the stock exchange, the full particulars of which are given below:

2

1. Name of the company:
2. Name and full address of the sponsor shareholder/director/placement holder:
3. Folio number in the company/Beneficiary Owner (BO) account number:
4. Quantity of shares held in the company:
5. Quantity of shares to buy/sell/otherwise dispose off:
6. Tax Identification Number (TIN) (if any) of the sponsor shareholder/director/placement holder:
7. Name of the designated stock-broker and the stock exchange:
8. Details of acquisition/disposal planned for other than through stock exchange (if applicable):

DECLARATION

I hereby declare that I have already placed the necessary fund/concerned shares, along with the relevant irrevocable buy/sale order with my above named stock-broker (document enclosed) for execution at prevailing market price, and that I shall submit details of the proposed buy/sell/transfer of the said shares to the Securities and Exchange Commission and the stock exchange within one week of execution of the said buy/sale or transfer.

Place and date. Signature of the sponsor shareholder/director/placement holder.

Signature verified by:_____

(Signature with name and designation, date and seal of the authorized officer of the concerned company).

This Notification shall supersede the previous Notification No. SEC/SRMID/2000-953/313/Admin-06 dated March 25, 2001 and Directive No. SEC/CMRRCD/2009-193/46/Admin/02-23 dated July 01, 2010, and shall have immediate effect.

By order of the Securities and Exchange Commission

Md. Ziaul Haque Khondker
Chairman.

Avt` k

wmKDwi wJR I G. tPA Kugkb, wmKDwi wJR I G. tPA Kugkb (gvfPw e'vsKvi I tcvUfdwvj I g'vrbRvi) weagij v, 1996 Gi weia 36 tgvZvteK Zdwmtj Duj owlZ gwRw FY c0vb msµvšf wbt` Rbv bs 6(1) G c` E ¶lgZvetj GZ0vi v gvtfPw e'vsKvi (tcvUfdwvj I g'vrbRvi) KZR Dnvi e'w3 tkbxi gt° j t` i tK weZi YthvM' gwRw Ftyi wbt`w3 mxgv wba¶Y Kwij , h_v;-

1| tKvb e'w3 ev Zvnvi t'gx/t'x ev Zvnvt` i Dci wbfPkxj e'w3 tK GKK ev ths_bvfg mwšj Zfvte mteP 10 (^ k) tKwU UvKv chšf gwRw FY c0vb Kiv hvBte |

2| tKvb gvtfPw e'vsKvi (tcvUfdwvj I g'vrbRvi) Dnvi tKvb cwj Pvj K ev Zvnvi t'gx/t'x ev Zvnvt` i Dci wbfPkxj tKvb e'w3 tK gwRw FY c0vb Kwij Z cwj te bv |

Zte, eZ0vrb th mKj gvtfPw e'vsKvi (tcvUfdwvj I g'vrbRvi) µwgK bs-1 G Duj owlZ M0nKt` i tK Dch¶ mxgvi Awak FY c0vb Kwij qvtQ wKsev µwgK bs-2 G Duj owlZ e'w3 t` i tK FY c0vb Kwij qvtQ Zvnvi v D3 FY AvMgx AvM0 31, 2010Bs Zwi tLi gta` mgšq ceR A t Avt` k ev t'evqb Kwij te |

GB Avt` k Rj vB 25, 2010Bs Zwi L nBtZ KvRKi nBte |

wmKDwi wJR I G. tPA Kugk tbi c t¶ |

tgv wRqvDj nK tLw` Kvi tPqvi g'vb |

DIRECTIVE

Whereas, the Securities and Exchange Commission, in the interest of investors and capital market, considers it to be appropriate that the amount of credit facilities extended by the members of the stock exchanges under the Margin Rules, 1999 to the individual clients should also be fixed;

Now, therefore, the Commission, in exercise of its power conferred by section 20A of the Securities and Exchange Ordinance, 1969 (XVII of 1969), hereby directs the Dhaka Stock Exchange Ltd. and the Chittagong Stock Exchange Ltd. and their members to the effect that the members of the stock exchanges;-

1. shall not provide credit facilities exceeding Tk. 5 (five) crore to each of their approved individual clients or their spouse or any of their dependent persons in single or joint name thereof collectively under the Margin Rules, 1999; and
2. shall not provide credit facilities to their directors or their spouse or any of their dependent persons or stock-dealer concerned.

The stock brokers who have provided credit facilities exceeding the aforesaid limit in favor of the persons mentioned in serial No. 1 or provided credit facilities to the persons mentioned in serial No. 2 shall be adjusted by August 31, 2010, latest, to implement this directive.

This directive shall have effect from July 25, 2010.

By order of the Securities and Exchange Commission

Md. Ziaul Haque Khondker
Chairman.

No. SEC/CMRRCD/2001-43/53

July 25, 2010

DIRECTIVE

Further to the Securities and Exchange Commission's directive No. SEC/CMRRCD/2001-43/51 dated July 25, 2010, the Commission hereby directs under section 20A of the Securities and Exchange Ordinance, 1969 (XVII of 1969) that the maximum credit facilities that may be provided by the stock brokers to each of their approved individual clients or their spouse or any of their dependent persons in single or joint name thereof collectively under the Margin Rules, 1999 shall be Tk. 10 (ten) crore, in place of Tk. 5 (five) crore. The stock brokers who have provided credit facilities exceeding Tk. 10 (ten) crore in favor of the above persons or provided credit facilities to their directors or their spouse or any of their dependent persons or stock-dealer concerned shall be gradually adjusted by September 30, 2010, latest.

This directive shall have immediate effect.

By order of the Securities and Exchange Commission

Md. Ziaul Haque Khondker
Chairman.

bs- GmBim/wmGgAvi Avi wm/2001-43/54

Rj vB 25, 2010Bs

Avf` k

wmKDwi wJR I G. tPA Kugkb KZR BtZvcfeRwi KZ Avf` k bs-
GmBim/wmGgAvi Avi wm/2001-43/52, Zwi L Rj vB 22, 2010Bs mtI Kugkb, wmKDwi wJR I
G. tPA Kugkb (gvfPw e'vsKvi I tcvUfdwvj I g'vfbRvi) wewagvj v, 1996 Gi wewa 36
tgvZvteK Zdimtj Dwj wLZ gwRw FY cD vb msµvšI wbt` Rbv bs 6(1) G c^ E ¶lgZvetj
GZwiv AwAKZi Avf` k Rwi Kwij th, gvfpw e'vsKvi (tcvUfdwvj I g'vfbRvi) KZR D³
Avf` tk Dwj wLZ Dnvi Mönkt` i AbK-tj weZiYKZ gwRw Ftyi wvavw Z mxgvi AwZwi ³ FY
µgvštq mgšq Kivi mgq AvMgx tmtp^ 30, 2010Bs chšI ewaZ Kiv nBj |
D³ Avf` tk e'w³ tkYxi gt°j ewj tZ individual client eSvBte|

GB Avf` k Awj t^KvhRi nBte|

wmKDwi wJR I G. tPA Kugktbi ct¶

tgv wRqvDj nK tLw` Kvi
tPqvi g'vb|

clvcb

Rj vB 27, 2010

bs-GmBim/wmGgAvi Avi vmmW/2001-25/55/clvmb/-----:wmKDwi uJR I G. tPA Kugkb AvBb, 1993 (1993 mabi 15 bs AvBb) Gi aviv 24 Gi Dc-aviv (1) G c0 E qgZvetj wmmKDwi uJR I G. tPA Kugkb, ce@cKvtki ci, wmmKDwi uJR I G. tPA Kugkb (Dij 0LthvM" msL"K tkqvi AR0, AvAM0Y I KZ0j M0Y) wewagj v, 2002 G wbt=ue3 mstkrab Kwij, h_vt- Dcwi D3 wewagj vq wewa 13 Gi Dc-wewa (2) G Dij 0vLZ 0÷K G. tPA mtevP evRvi `i 0 m=utK Dc-wewa (2) Gi ci wbt=ue3 e"vL"v msthvRZ nBte, h_vt- 0e"vL"vt 0÷K G. tPA mtevP evRvi `i 0 ewj tZ A1 wewagj v Rwi i cieZPmgtd, A_vP Gw0j 15, 2002Bs Zwi tLi cieZPmgtd we`"gvb mtevP evRvi `i tK eSvBte|0|

wmmKDwi uJR I G. tPA Kugktbi Avt kptg

tgvt wRqvDj nK tL"v` Kvi
tPqvi g"vb|

NOTIFICATION

August 01, 2010

No. SEC/CMRRCD/2008/186/57/Admin/----- In exercise of power conferred by section 33 of the Securities and Exchange Ordinance, 1969 (Ordinance No. XVII of 1969), the Securities and Exchange Commission makes, after prior circulation, the following further amendments to the Securities and Exchange Commission (Public Issue) Rules, 2006, namely:-

In the Securities and Exchange Commission (Public Issue) Rules, 2006, in rule 8, in clause B, in sub-clause (16), procedures (a), (b) and (c) of condition (4), shall be replaced by the following new procedures (a), (b) and (c) respectively, namely:-

“(a) The issuer/issue manager shall issue invitation to the eligible institutional investors, both in writing and through publication in at least 5 (five) widely circulated national dailies, giving at least 10 (ten) working days time, to the road show/presentation/seminar indicating time and venue of such event. The invitation letter shall accompany an information document containing all relevant information covering the proposed issue of the issuer. The eligible institutional investors shall submit indicative price to the issuer/issue manager, signed jointly by the Chief Executive Officer (CEO) and the Financial Analyst, highlighting the factors taken into consideration in support of the indicative price, within the next 3(three) working days of the said road show/presentation/seminar;

(b) The issuer, in consultation with the issue manager, shall quote its own indicative price in the prospectus based on the indicative prices so obtained from the eligible institutional investors:

Provided that the quote of the indicative price in the prospectus shall not exceed the arithmetic mean of the price offers so obtained from the eligible institutional investors;

(c) The prospectus shall simultaneously be submitted to the Commission and the stock exchanges along with the due diligence statements issued by all concerned;

(d) If any issue fails to get indicative prices from at least 15 (fifteen) eligible institutional investors covering at least 3 (three) categories, including at least 5 (five) registered merchant bankers, the whole process shall be cancelled, which may be repeated with prior permission of the Commission;".

By Order of the Securities and Exchange Commission

Md. Ziaul Haque Khondker
Chairman.

ORDER

August 04, 2010

No. SEC/CMRRCD/2009-193/58/Admin/-----: Whereas, the Securities and Exchange Commission deems it to be proper that its Order No. SEC/CMRRCD/2006-159/Admin/02/09 dated May 30, 2006, published in the Bangladesh Gazette on August 20, 2006 should be repealed forthwith; Now, therefore, in exercise of the power conferred by section 2CC of the Securities and Exchange Ordinance, 1969 (XVII of 1969), the Securities and Exchange Commission hereby repeal its said Order No. SEC/CMRRCD/2006-159/Admin/02/09 dated May 30, 2006 as if the said Order was never issued.

By order of the Securities and Exchange Commission

Md. Ziaul Haque Khondker
Chairman.

NO. SEC/CMRRCD/2009-193/

August 30, 2010

DIRECTIVE

Further to the Commission's Directive No. SEC/CMRRCD/2009-193/26 dated March 07, 2010, the Securities and Exchange Commission hereby directs the merchant bankers, including the portfolio managers, registered under the Securities and Exchange Ordinance, 1969 (XVII of 1969), under section 20A of the Securities and Exchange Ordinance, 1969 (XVII of 1969), read with Rule 14 of the Securities and Exchange Ordinance, 1969 (XVII of 1969), read with Rule 36 of the Securities and Exchange Ordinance, 1969 (XVII of 1969),

I G. tPÄ Kugkb (gvtPÜ e"vsKvi I tcvUfdwuj I g"vtbRvi) wewaguj v, 1996, that the limit of 15% that was fixed earlier shall now be read as 50% (fifty percent).

This shall be effective from 2nd September, 2010.

By order of the Securities and Exchange Commission

Md. Ziaul Haque Khondker
Chairman.

NO. SEC/CMRRCD/2009-193/

August 30, 2010

DIRECTIVE

Further to the Commission's Directive No. SEC/CMRRCD/2009-193/25 dated March 07, 2010, the Securities and Exchange Commission hereby directs the stock brokers of Dhaka Stock Exchange Limited and Chittagong Stock Exchange Limited under section 20A of the Securities and Exchange Ordinance, 1969 (XVII of 1969) that the limit of 15% that was fixed earlier shall now be read as 50% (fifty percent).

This shall be effective from 2nd September, 2010.

By order of the Securities and Exchange Commission

Md. Ziaul Haque Khondker
Chairman.

NOTIFICATION

August 31, 2010

No. SEC/CMRRCD/2003-109/60/Admin/----- In exercise of power conferred by section 33 of the

Securities and Exchange Ordinance, 1969 (Ordinance No. XVII of 1969), the Securities and Exchange

Commission makes, after prior circulation, the following further amendments to the Securities and

Exchange Commission (Public Issue) Rules, 2006, namely:-

The Securities and Exchange Commission (Public Issue) Rules, 2006 shall be amended in the following

manner, namely:-

1. In these rules, definition (q) in sub-rule (1) of rule 2, shall be replaced by the following, namely:-

"2. (q) "repeat public offering" means further public offering for issuance of additional security by an

issuer which is either listed with stock exchange or has raised capital through public offering.

Measures for issuance of additional security having conversion feature (into ordinary share)

by the said issuer shall also be deemed to be repeat public offering for the purpose of these Rules;".

2. In these rules, after rule 4, the following new rule 4A shall be inserted, namely:-

"4A. Distribution mechanism of securities having conversion feature in Repeat Public Offering.-

The distribution of securities having conversion feature in Repeat Public Offering shall be the following:

(a) At least 40% of the issue shall be reserved for the existing shareholders;

(b) At least 40% of the issue shall be reserved for Public Offering;

(c) Maximum 20% of the issue may be made through private placement;

Provided that the securities so issued shall not be redeemed either partly or fully before a minimum period of 2(two) years of issuance."

By Order of the Securities and Exchange Commission

Md. Ziaul Haque Khondker
Chairman.

No. SEC/CMRRCD/2009-193/63

September 06, 2010

DIRECTIVE

Whereas, the Securities and Exchange Commission deems it to be proper that in the interest of capital market and investors in securities, certain further directives should be issued to the stock exchanges, stock brokers and merchant bankers in respect of certain issues related to trading in securities and margin facilities available on such trading;

Now, therefore, the Commission, in exercise of power conferred on it by section 20A of the Securities and Exchange Ordinance, 1969 (XVII of 1969), hereby directs the Dhaka Stock Exchange Ltd. (DSE) and the Chittagong Stock Exchange Ltd. (CSE) and their members conducting business as stock brokers and the merchant bankers to the effect that:-

(1) Netting or adjustment facilities in any manner in respect of buy or sell of non-marginable securities (i.e. the securities for which no margin loan is available or the securities which are considered as non-marginable securities for settlement and clearing purposes under Member's Margin Regulations) as per the Margin Rules, 1999 and 1996, shall remain suspended until further order. Such securities shall not also be allowed to buy against pre-matured sell proceeds of any marginable securities.

(2) The Dhaka Stock Exchange Ltd. shall calculate the Net Asset Value (NAV) of the listed securities based on the core operation related items of the respective companies, including Mutual Funds, based on the latest available financial statements, on weekly basis and disclose the same in the DSE's website at the end of last trading day of every week. The stock brokers of both DSE and CSE and the merchant bankers shall consider such disclosed NAV for the purpose of calculating the maintenance margin of their customers based on the aforesaid Rules and 1996.

(3) The stock brokers and the merchant bankers concerned will apply the margin call requirements based on the above Rules and 1996 in respect of applicable cases. In case of failure to respond to such calls by the concerned customers within September 30, 2010, the stock brokers and the merchant bankers shall go for forced sell as per requirements of the said Rules and 1996. These shall be continued until further directive.

This directive shall have immediate effect.

By order of the Securities and Exchange Commission

Md. Ziaul Haque Khondker
Chairman.

NOTIFICATION

September 06, 2010

No. SEC/CMRRCD/2009-193/61/Admin/-----: Whereas, the Securities and Exchange Commission deems it fit that the consent already accorded by the Commission, or to be accorded by it in future, to the issue of capital in Bangladesh, should be subject to certain further conditions in the interest of investors and the capital market;

Now, therefore, in exercise of the power conferred by section 2CC of the Securities and Exchange Ordinance, 1969 (XVII of 1969), the Securities and Exchange Commission hereby imposes the following further conditions to the consent already accorded by it, or to be accorded by it in future, to the issue of capital in Bangladesh by an issuer of unlisted security, namely:-

a) In case of issuance of further security, other than rights or bonus shares, to any person other than the existing shareholders, as the case may be, offer for such issue shall be through Offer/ Information Document containing, among others, determination of the offer price and the justification of premium (if any) in accordance with the provisions of the Securities and Exchange Commission (Public Issue) Rules, 2006.

b) Such Offer/Information Document shall be prepared, processed and filed with the Commission through merchant banker for prior consent of the Commission following due diligence as per the provisions of the Securities and Exchange Commission (Public Issue) Rules, 2006.

This shall have immediate effect.

By order of the Securities and Exchange Commission

Md. Ziaul Haque Khondker
Chairman.

NOTIFICATION

September 06, 2010

No. SEC/CMRRCD/2009-193/62/Admin/-----: Whereas, the Securities and Exchange Commission deems it fit that the consent already accorded by the Commission, or to be accorded by it in future, to the issue of capital in Bangladesh, or to the public offer of securities for sale, should be subject to certain further condition in the interest of investors and the capital market;

Now, therefore, in exercise of the power conferred by section 2CC of the Securities and Exchange Ordinance, 1969 (XVII of 1969), the Securities and Exchange Commission hereby imposes the following further condition to the consent already accorded by it, or to be accorded by it in future, to the issue of capital in Bangladesh, or to the public offer of securities for sale, namely:-

In case of conversion of existing debt into ordinary share having no predetermined option by a listed company, the price of such conversion shall not be less than the average price of the related equity shares quoted on the stock exchange(s) during the six months preceding the date of the board meeting deciding for such conversion.

This shall have immediate effect.

By order of the Securities and Exchange Commission

Md. Ziaul Haque Khondker
Chairman.

No. SEC/CMRRCD/2009-193/64

September 21, 2010

DIRECTIVE

Whereas, the Securities and Exchange Commission deems it to be proper that in the interest of capital market and investors in securities, certain further directive for clarification of certain issues, in continuation of the Commission's directive No. SEC/CMRRCD/2009-193/63 dated September 06, 2010, should be issued to the merchant bankers, stock exchanges and stock brokers in respect of

certain issues related to trading in securities and margin facilities available on such trading; Now, therefore, the Commission, in exercise of power conferred on it by section 20A of the Securities and Exchange Ordinance, 1969 (XVII of 1969), hereby directs the merchant bankers, the Dhaka Stock Exchange Ltd. (DSE) and the Chittagong Stock Exchange Ltd. (CSE) as well as their members conducting business as stock brokers to the effect that:-

1. While deciding status as non-marginable securities, the merchant bankers/brokerage houses shall consider price earning ratio above allowable limit calculated on the basis of diluted Earning per Share (EPS) on income from continuing core operations; and if diluted EPS is not available then basic EPS shall be considered.

2. Dhaka Stock Exchange Ltd. shall calculate margin maintenance figure based on Net Asset Value (NAV) of the listed securities as per last available annual/audited/un-audited financial statements and closing price of the last trading day of the week and disclose the same in the DSE's website at the end of each week which shall remain effective during the following week. Asset Revaluation Surplus, if any, shall not be considered in computation of NAV of the concerned company. In case of Mutual Funds, DSE shall calculate margin maintenance figure based on the latest disclosed Net Asset Value (NAV) at market price of the concerned Mutual Fund and the closing price of the relevant fund at the end of the week.

This directive shall have immediate effect.

By order of the Securities and Exchange Commission

Md. Ziaul Haque Khondker
Chairman.

No. SEC/CMRRCD/2001-16/65

September 28, 2010

DIRECTIVE

In exercise of the power conferred by section 20A of the Securities and Exchange Ordinance, 1969 (XVII of 1969), the Securities and Exchange Commission hereby directs the Dhaka Stock Exchange Ltd. and the Chittagong Stock Exchange Ltd.; -

1. To delist the securities of the issuer companies under Z-category that will fail to demat their securities within September 30, 2010;

2. To provide facilities for transaction of the said securities on the Over-the-Counter (OTC) under the Securities and Exchange Commission (Over-the-Counter) Rules, 2001, subsequent to delisting until further order.

By order of the Securities and Exchange Commission

Md. Ziaul Haque Khondker
Chairman

MARKET PERFORMANCE

Dhaka Stock Exchange:

At the end of July-September, 2010 period, total issued capital of all listed securities including treasury bond with the Dhaka Stock Exchange Ltd was Tk.627, 022.00 million, compared to Tk.607, 263.00 million as on 30 June, 2010 registering an increase of 3.25%. The market capitalization of all listed securities of Dhaka Stock Exchange Ltd stood at Tk. 3,020194.00 million on 30 September, 2010 which was Tk. 2670996.00 million on 30 June, 2010. The total turnover in Dhaka Stock Exchange was 4559 million securities amounting to Tk. 1,029,769.70 million during July-September, 2010.

Chittagong Stock Exchange:

At the end of July-September, 2010 period, total issued capital of all listed securities with the Chittagong Stock Exchange Ltd was Tk. 212,954.43 million, compared to Tk.201, 115.56 million as on 30 June, 2010 registering an increase of 5.88 %. The market capitalization of all listed securities of Chittagong Stock Exchange Ltd stood at Tk. 2,849,370.17 million during the quarter ended on 30 September, 2010, which was Tk. 2,534,393.27 million on 30 June 2010,. The total turnover in Chittagong Stock Exchange was 554.60 million securities amounting to Tk. 81,799.76 million during July-September, 2010.

Dhaka Stock Exchange Ltd (DSE)

Training Programe on Compliance in Corporate Governance Held:

DSE Training Academy organized a two day long training Programe on Compliance in Corporate Governance on August 4-5, 2010 at its Premises. DSE President Mr. Shakil Rizvi was present at Certificate Giving Ceremony and handed over certificates among the participants.

Chittagong Stock Exchange Ltd (CSE)

CSE's Dhaka Office inaugurated by its President:

CSE President Mr. Fakruddin Ali Ahmed inaugurated CSE's Dhaka Office at Dilkusha C/A, in Dhaka on July 24, 2010 as for the demand of rapidly expanding Capital market. The members, Senior Officials of CSE, distinguished guests from SEC, Merchant Banks, Listed companies, journalists from different electronic media attended the program. CSE President, CEO of the bourse delivered speech at the Program.

Second Road Show on ITS organized by the CSE:

The Chittagong Stock Exchnge Limited organized Second Road Show on ITS in Khulna on 31st July, 2010. CSE's President Mr. Fakruddin Ali Ahmed spoke at the function that the Road Show on ITS would be helpful in trading to both the local and Non-resident Bangladeshis (NRB's). Professor Dr. M. A. Mamun, CEO of the bourse, also delivered speech following the program. Senior Officials of the CSE and journalist from print and electronic media also participated at the Program.

DSE & CSE SCENARIO

Capital Market:

As of 30 September, 2010 the total issued capital of all listed securities including treasury bonds of Dhaka Stock Exchange was Tk. 627,022.00 million (US\$ 8998.5million) which was Tk. 607,263.00 million (US\$ 8,755.00 million) on 30 June, 2010. In Chittagong Stock Exchange the total issued capital on 30 September, 2010 was Tk. 212,954.43 million (US\$ 3,042.21million) which was Tk. 201, 115.56 million (US\$ 2,873.08 million) on 30 June, 2010.

Stock Market Operation:

During July-September, 2010 the total turnover in Dhaka Stock Exchange was 4559 million securities

while the total amount traded on Dhaka Stock Exchange during the same period was Tk.1, 029,769.00 million

In the same period, the total turnover in Chittagong Stock Exchange was 554.6 million securities while the total amount traded on Chittagong Stock Exchange during the same period was Tk. 81,799.76 million.

Market Capitalization:

Total market capitalization of all securities including treasury bonds listed on the Dhaka Stock Exchange was Tk. 3,020,194.00 million (US\$ 43,344.00 million) as on 30 September, 2010 compared to Tk. . 2,670,996.00 million (US\$ 38,509.00 million) as on 30 June, 2010.

In the Chittagong Stock Exchange, total market capitalization of all listed securities was Tk. 2,849,370.17 million (US\$ 40,705.29 million) as on 30 September, 2010 compared to Tk. 2,534,393.27 million (US\$ 36,205.62 million) as on 30 June, 2010.

Share Price Index:

DSE all share price index stood at 5,930.90 on 30 September, 2010 compared to 5111.63 on 30 June, 2010. The CSE all share price index stood at 20,729.7935 on 30 September, 2010 while it was 18,116.0515 on 30 June, 2010. The index bases are 100 and 1000 for DSE and CSE respectively.

(1 US\$ =Tk.69.68 For July-September, 2010 quarter).

Bangladesh Capital Market Summary

As on 30 September, 2010

Indicators	Dhaka Stock Exchange	Chittagong Stock Exchange
No. of companies	246	205
No. of mutual funds	28	28
No. of debentures	8	2
No. of treasury bonds	179	-
No. of corporate bonds	2	-
<i>Total No. of Listed Securities</i>	463	235
Figures in million		
No. of shares of all listed companies	9,698	9,199.28
No. of certificates of all listed mutual funds	1,575	1,575.28
No. of debentures of all listed debentures	0.41	4.34
No. of all listed govt. T-bonds	4.03	-
No. of all listed corporate bonds	4.34	-
<i>Total No. of Tradable Securities</i>	11,283	10,778.90

Figures in million

Issued capital of all companies	TK.	202,167.00	192,553.08
	US\$	2,901.00	2,750.76
Issued capital of all mutual funds	TK.	16,066.00	16,065.50
	US\$	231.00	229.51
Issued debentures	TK.	140.00	4,335.85
	US\$	2.00	61.94
Total issued capital	TK.	627,022.00	212,954.43
	US\$	8,998.59	3,042.21

Figures in million

Total Market Capitalization	TK.	3,020,194.00	2,849,370.17
	US\$	43,344.00	40,705.29

All Share Price Index		5930.90	20,729.7935
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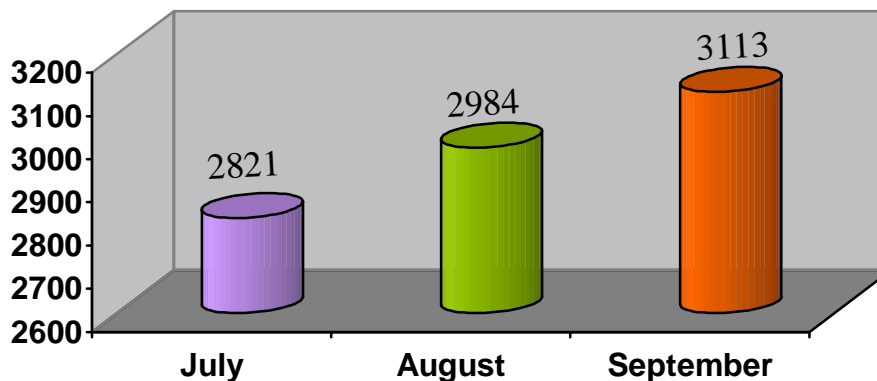
DSE OPERATIONAL STATISTICS

July-September, 2010

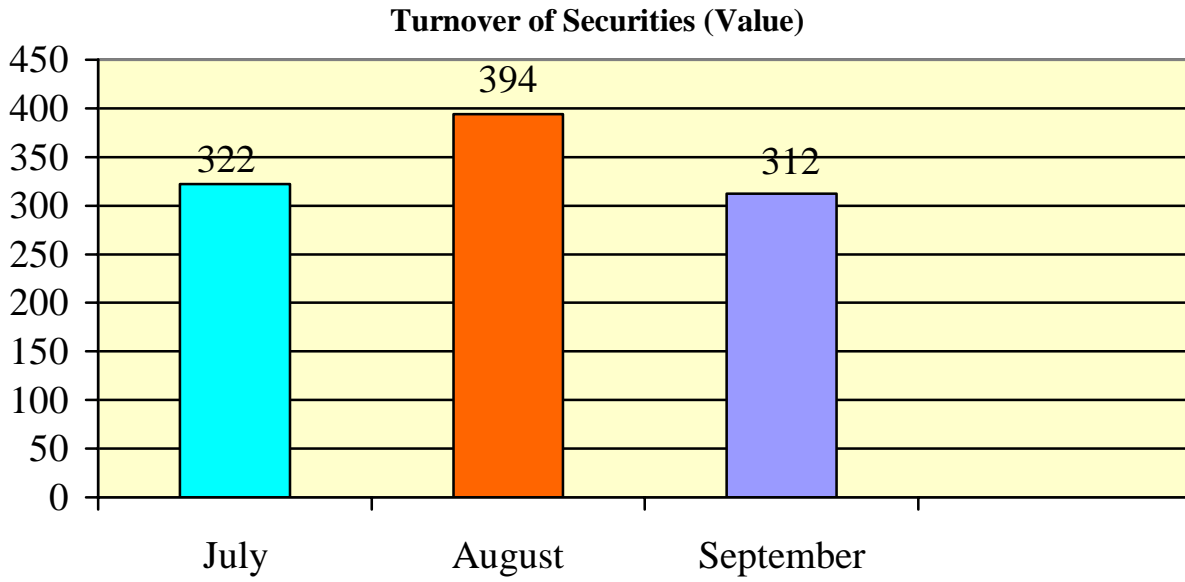
Trading Month	All Share Price Index	Market Capitalization in Million	No. of Trading Days	Turnover of Securities in Million (No.)		Traded Amount in Million	
				Monthly	Daily Average	Monthly	Daily Average
July	5,278.89	2,821,702	19	1163	61	322,769.28	16,987.86
August	5,555.48	2,984,512	22	1793	82	394,438.07	17,929.00
September	5,930.90	3,113,233	18	1603	89	312,562.35	17,364.58
Total	-		59	4559	77	1,029,769.70	17,453.72

**Index and Market Capitalization of the last trading day of the months have been considered as relevant figures of respective months.*

Market Capitalization of DSE



Taka in Billion



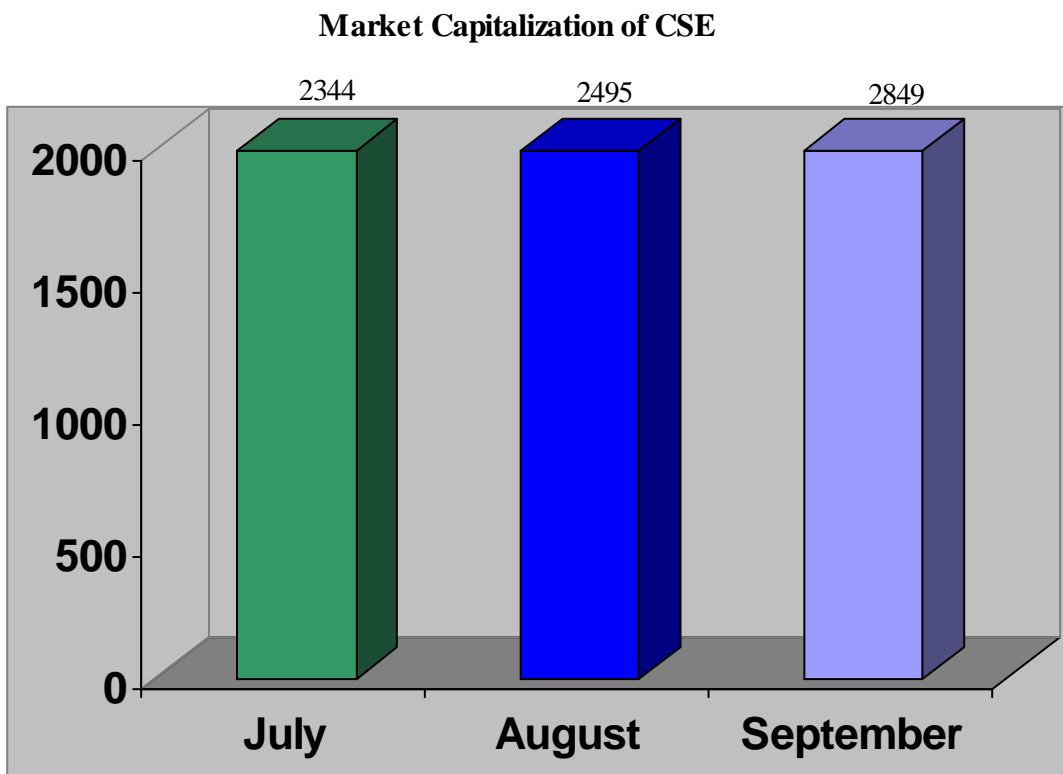
Taka in Billion

CSE OPERATIONAL STATISTICS

July –September 2010

Trading Month	All Share Price Index	Market Capitalization in Million	No. of Trading Days	Turnover of Securities in Million (No.)		Traded Amount in Million	
				Monthly	Daily Average	Monthly	Daily Average
July	18886.3032	2,344,130.62	19	154.04	8.11	24,329.41	1,280.50
August	19770.8567	2,495,644.92	22	208.17	9.46	29,766.68	1,353.03
September	20729.7935	2,849,370.17	18	192.39	10.69	27,703.67	1,539.09
	-		59	554.60	9.40	81,799.76	1,386.44

**Index and Market Capitalization of the last trading day of the months have been considered as relevant figures of respective months.*



Taka in Billion

