

# Annexure-1 of Schedule-B

## FORMAT OF DECLARATION OF SPONSORS OR DIRECTORS FOR BUYING AND SELLING OF SECURITIES [Under regulation 31(1)]

1. The Chairman  
Bangladesh Securities and Exchange Commission  
Dhaka
2. The Chief Regulatory Officer  
Chittagong Stock Exchange Limited  
Chittagong
3. The Chief Regulatory Officer  
Dhaka Stock Exchange Limited  
Dhaka

### **Subject: Declaration of sponsors or directors for buying and selling of securities.**

Sir,

Pursuant to the regulation 31 (1) of the Chittagong Stock Exchange (Listing of Small Capital Companies) Regulations, 2019, I/we hereby report that I/we intend to buy/sell or otherwise dispose of/receipt of some securities of the following company, of which I/we am/are a sponsor(s)/director(s) since ....., within next 45 (forty-five) working days from the date of receipt of this report by the Bangladesh Securities and Exchange Commission and the Exchange, the full particulars of which are given below:

1. Name of the issuer:
2. Name and full address of the sponsor/director:
3. Beneficial Owner's (BO) account number:
4. Quantity of securities held in the issuer:
5. Quantity of securities to buy/sell/otherwise dispose of/receipt of:
6. Taxpayer's Identification Number (TIN) (if any) of the sponsor/director:
7. Name of the designated stock-broker and the stock exchange:
8. Type of market: Public/Block/Others (specify)
9. Details of acquisition/disposal planned for other than through stock exchange (if applicable):

### **DECLARATION**

I/we hereby declare that I/we have already placed the necessary fund/concerned securities, along with the relevant irrevocable buy/sale/dispose of/receipt of order with my/our above named stock-broker (document enclosed) for execution at prevailing market price, and that I/we shall submit details of the proposed buy/sell/transfer of the said securities to the Bangladesh 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/director

Signature verified by: \_\_\_\_\_  
(Signature with name and designation, date and seal of the authorized officer of the concerned issuer)

### **Documents to be enclosed:**

1. Updated BO-ISIN holding report (DPA6), in case of sale; copy of money receipt/portfolio ledger balance/sufficient balance certificate from the stock-broker, in case of buy;
2. Acquisition cost declaration format for tax purposes;
3. In case of sale of entire holdings, extract of Board Resolution;
4. If the sponsor/director is a corporate body, extract of Board Resolution of that institution;
5. A certificate from the respective issuer regarding status of securities holder, number and % of total holding
6. Any other documents required by the Exchange.

## Annexure-2 of Schedule-B

### FORMAT OF DECLARATION OF PLACEMENT HOLDERS FOR SELLING OF SECURITIES

[Under Regulation 31 (2)]

1. The Chairman  
Bangladesh Securities and Exchange Commission  
Dhaka
2. The Chief Regulatory Officer  
Chittagong Stock Exchange Limited  
Chittagong

**Subject: Declaration of placement holders for selling of securities.**

Sir,

Pursuant to the regulation 31 (2) of the Chittagong Stock Exchange (Listing of Small Capital Companies) Regulations, 2019, I/we hereby report that I/we intend to sell or otherwise dispose of some securities of the following company, of which I/we am/are a placement holder(s) since ....., the full particulars of which are given below:

1. Name of the issuer:
2. Name and full address of the placement holder:
3. Beneficial Owner's (BO) account number:
4. Quantity of securities held in the issuer:
5. Quantity of securities to sell/otherwise dispose of:
6. Taxpayer's Identification Number (TIN) (if any) of the placement holder:
7. Name of the designated stock-broker and the stock exchange:
8. Type of market: Public/Block/Others
9. Details of acquisition/disposal planned for other than through stock exchange (if applicable):

#### DECLARATION

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

\_\_\_\_\_  
Place and date

\_\_\_\_\_  
Signature of the placement holder

Signature verified by: \_\_\_\_\_  
(Signature with name and designation, date and seal of the authorized officer of the concerned Issuer)

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#### **Documents to be enclosed:**

1. Updated BO-ISIN holding report (DPA6);
2. Acquisition cost declaration format for tax purposes;
3. If the sponsor/director is a corporate body, extract of Board Resolution of that institution;
4. Any other documents required by the Exchange.

# Annexure - 6 of Schedule - B

## FORM OF APPLICATION FOR TRANSFER OF LISTED SECURITIES BY WAY OF GIFT AMONG THE FAMILY MEMBERS, i.e., SPOUSE, SON, DAUGHTER, FATHER, MOTHER, BROTHER AND SISTER [Under Regulation 42 (1) (a) & 42 (2)]

The Chief Regulatory Officer  
Chittagong Stock Exchange Limited  
Chittagong

Subject: **Application for transfer of listed securities by way of gift among the family members i.e., spouse, son, daughter, father, mother, brother and sister.**

Sir,

Kindly accord approval to my intention to gift the following securities to the beneficiary named hereunder:

1. Name of the Issuer of which the security is to be gifted/transferred:
2. Number of proposed securities to be transferred:
3. Name of the transferor:  
Address :  
  
Contact no. :  
E-mail (if any) :  
Investor Category: Sponsor / Director / Placement holder / General  
Total number of securities of the Issuer held by the transferor:  
e-TIN (if any) :
4. Name of the Transferee/Beneficiary:  
Address :  
  
Contact no. :  
E-mail (if any) :  
BOID :  
Investor Category: Sponsor / Director / Placement holder / General  
Total number of securities of the Issuer held by the transferee/beneficiary:  
e-TIN (if any) :
5. Relationship between the transferor and the transferee/beneficiary:

### Affidavit

The undersigned transferor and signature verifying authority hereby confirm the genuineness of relationship declared herein above, and also undertake to be held responsible for the consequences, if any, as a result of any incorrect or misleading statement or concealment contained in this application.

Date .....

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Signature of the Transferor  
BOID No.:

### Signature verified by:

(Signature with name, date & seal with designation of the authorized officer of the Issuer / Depository Participant)

### For Office Use Only

Approved (subject to signature verification and authentication of relationship of the applicant by the concerned issuer of listed securities/depository participant) by the Chittagong Stock Exchange Ltd.

Time allowed for execution: ..... Working Days

Service charge: Tk.....

Advance Income Tax (AIT) (if applicable): Tk. ....

### Documents to be enclosed:

1. National ID Card/Passport of both transferor and transferee(s) attested by the signature verifier;
2. Updated BO-ISIN holding report (DPA6) of both transferor and transferee(s);
3. Shareholding/unit holding position of both transferor and transferee(s) (if transferor/transferee(s) are sponsor/director) issued by the issuer/asset manager;
4. If the transferor is a sponsor/director, acquisition cost declaration format for tax purposes;
5. In case of transfer of entire holding of shares by sponsor/director, extract of Board Resolution;
6. Any other documents required by the Exchange.

# Annexure-7 of Schedule-B

## FORM OF APPLICATION FOR TRANSFER OF LISTED SECURITIES OTHER THAN BY WAY OF GIFT [Under Regulation 42 (1) (b),(c), (d) & 42 (2)]

The Chief Regulatory Officer  
Chittagong Stock Exchange Limited  
Chittagong

Subject: **Application for transfer of listed securities other than by way of gift.**

Sir,  
Kindly grant approval to effect the under mentioned transfer outside the trading system of the Exchange:

1. Name of the Issuer of which the security is to be transferred:
2. Number of proposed securities to be transferred:
3. Name of the Seller/Transferor/Pledgor:  
Address :  
Contact no. :  
E-mail (if any) :  
Investor Category: Sponsor/Director/Placement holder/Institution/General/Foreigner  
Total number of securities of the Issuer/MF/CIS held by the seller/transferor/pledgor:  
e-TIN (if any) :
4. Name of the Buyer/Transferee/Pledgee:  
Address :  
Contact no. :  
E-mail (if any) :  
BOID :  
Investor Category: Sponsor/Director/Placement holder/Institution/General/Foreigner  
Total number of securities of the Issuer held by the buyer/transferee/pledgee:  
e-TIN (if any) :
5. Relationship, if any, between the parties:
6. Nature of transaction (sale, exchange, acquisition, others):
7. Brief reason of the proposed transfer:
8. Consideration, if any:
9. Have you previously applied for transaction/transfer of the above shares: Yes / No  
If Yes: (a) Date on which applied for:  
(b) In case of refusing the application, reason (if any) thereof:

### Affidavit

The undersigned transferor and signature verifying authority hereby jointly and severally confirm the genuineness of information declared herein above, and also undertake to be held responsible for the consequences, if any, as a result of any incorrect or misleading statement or concealment contained in this application.

Date .....

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Signature of the proposed Seller/Transferor/Pledgor  
BOID No.:

### Signature verified by:

(Signature with name, date & seal with designation of the authorized officer of the issuer/depository participant)

### For Office Use Only

Approved (subject to signature verification of the applicant by the concerned issuer of listed securities/depository participant) by the Chittagong Stock Exchange Ltd.

Time allowed for execution: ..... Working Days

Service charge: Tk.....

Advance Income Tax (AIT) (if applicable): Tk. ....

### Documents to be enclosed:

1. If transferor or transferee is an institution, extract of Board Resolution;
2. Updated BO-ISIN holding report (DPA6) of both the parties;
3. Shareholding/unit holding position of both seller/transferor and buyer/transferee(s) issued by the Issuer/ Asset Manager;
4. Loan agreement between lender and borrower highlighting specific provision about authorization of confiscation of securities in case of default;
5. Necessary documents for pledged shares (i.e., DP26, DP32, DP89, Form 17-1, Form 17-2, etc);
6. Necessary documents as a proof of default;
7. Attested photocopy of National ID card of both seller/transferor and buyer/transferee (in case of individual);
8. Any other documents required by the Exchange.

**Declaration of acquisition cost for consideration regarding Advance Income Tax purpose**

Name of seller/transferor: \_\_\_\_\_

BOID: \_\_\_\_\_

TIN No: \_\_\_\_\_

I/we hereby declare that I/we have acquired shares/mutual fund units of \_\_\_\_\_

Types of shares/units to be transferred:	Quantity	Acquisition Cost
Original (enclose document if needed)	_____	Tk. _____
Right (enclose document if needed)	_____	Tk. _____
Bonus (enclose document if needed)	_____	
Bought from Market (enclose document if needed)	_____	Tk. _____
Other (gift etc.) (enclose document if needed)	_____	Tk. _____
Total	_____	Tk. _____

Weighted average acquisition cost for consideration (per share or unit): Tk. \_\_\_\_\_

Signature

(Name in block letters)

Dated: \_\_\_\_\_

Place: \_\_\_\_\_

Designation and Seal (for other than individual)

**Declaration**

I/we \_\_\_\_\_ son of/wife of \_\_\_\_\_ of  
(address) \_\_\_\_\_

solemnly declare that to the best of my/our knowledge and belief the information given above is correct and complete.

Signature

(Name in block letters)

Dated: \_\_\_\_\_

Place: \_\_\_\_\_

Designation and Seal (for other than individual)

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**For Official Use:**

Effective Close Price \_\_\_\_\_

Date: \_\_\_\_\_ Time: \_\_\_\_\_

