

Electronic Subscription System

Exchange Invalid Application Summary Report
Union Bank Limited

Type	Applicants	Applied Amount	Fine Amount	Refund Amount
A D Holdings & Securities Limited(DSE-213)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
AB & Co. Ltd.(DSE-043)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
AB Securities Limited(DSE-201)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
AZAM SECURITIES LIMITED(DSE-019)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
Apex Investments Limited(DSE-007)				
DUPLICATE BO				
RB	2	20,000	3,000	17,000
Total	2	20,000	3,000	17,000
Sub Total	2	20,000	3,000	17,000
BD SUNLIFE SECURITIES LTD.(DSE-248)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
BRAC EPL Stock Brokerage Limited(DSE-011)				
BO REGISTERED AS EI				
RB	1	10,000	0	10,000
Total	1	10,000	0	10,000
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	2	20,000	1,500	18,500

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Type	Applicants	Applied Amount	Fine Amount	Refund Amount
Bank Asia Securities Ltd.(DSE-237)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
Bluechip Securities Limited(DSE-047)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
CMSL Securities Limited(DSE-113)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
City Brokerage Ltd.(DSE-145)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
DLIC Securities Ltd.(DSE-243)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
Delta Capital Limited(DSE-185)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
EBL Securities Ltd.(DSE-026)				
DUPLICATE BO				
RB	2	20,000	3,000	17,000
Total	2	20,000	3,000	17,000
Sub Total	2	20,000	3,000	17,000
EIC SECURITIES LTD.(CSE-098)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500

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Type	Applicants	Applied Amount	Fine Amount	Refund Amount
EIC SECURITIES LTD.(CSE-098)				
Sub Total	1	10,000	1,500	8,500
EMES Securities Ltd.(DSE-155)				
DUPLICATE BO				
RB	2	20,000	3,000	17,000
Total	2	20,000	3,000	17,000
Sub Total	2	20,000	3,000	17,000
FARIDA RAQUIB SECURITIES LTD(DSE-087)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
GMF Securities Ltd.(DSE-186)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
GREENLAND EQUITIES LTD.(DSE-018)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
Globe Securities Ltd.(DSE-189)				
DUPLICATE BO				
RB	2	20,000	3,000	17,000
Total	2	20,000	3,000	17,000
Sub Total	2	20,000	3,000	17,000
HAC Securities Ltd.(DSE-074)				
DUPLICATE BO				
RB	2	20,000	3,000	17,000
Total	2	20,000	3,000	17,000
Sub Total	2	20,000	3,000	17,000
Harpoon Securities Limited(DSE-131)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500

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Type	Applicants	Applied Amount	Fine Amount	Refund Amount
Hillcity Securities Ltd(CSE-037)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
IDLC Investments Limited(MB-020)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
IDLC Securities Limited(DSE-058)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
INTERNATIONAL LEASING SECURITIES LIMITED(DSE-009)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
Islami Bank Securities Limited(DSE-107)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
KAZI EQUITIES LIMITED(DSE-135)				
BO REGISTERED AS EI				
RB	1	10,000	0	10,000
Total	1	10,000	0	10,000
DUPLICATE BO				
RB	2	20,000	3,000	17,000
Total	2	20,000	3,000	17,000
Sub Total	3	30,000	3,000	27,000
Kazi Firoz Rashid Securities Ltd.(DSE-029)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500

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Type	Applicants	Applied Amount	Fine Amount	Refund Amount
LankaBangla Securities Limited(DSE-132)				
DUPLICATE BO				
RB	4	40,000	6,000	34,000
Total	4	40,000	6,000	34,000
Sub Total	4	40,000	6,000	34,000
Lotus Shares & Securities Limited(CSE-112)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
MTB SECURITIES LIMITED(DSE-197)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
Meghna Bank Securities Limited(DSE-124)				
DUPLICATE BO				
RB	2	20,000	3,000	17,000
Total	2	20,000	3,000	17,000
Sub Total	2	20,000	3,000	17,000
NBL Securities Limited(DSE-203)				
DUPLICATE BO				
RB	3	30,000	4,500	25,500
Total	3	30,000	4,500	25,500
Sub Total	3	30,000	4,500	25,500
NCCB Securities & Financial Services Ltd(DSE-061)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
NIZAM'S SHARES & SECURITIES LIMITED(CSE-029)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
Nouvelle Securities Limited(DSE-112)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500

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Type	Applicants	Applied Amount	Fine Amount	Refund Amount
Nouvelle Securities Limited(DSE-112)				
Sub Total	1	10,000	1,500	8,500
PFI Securities Limited(DSE-079)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
PRILINK SECURITIES LTD(DSE-202)				
DUPLICATE BO				
RB	2	20,000	3,000	17,000
Total	2	20,000	3,000	17,000
Sub Total	2	20,000	3,000	17,000
RASTI SECURITIES CONSULTANT LTD.(DSE-217)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
SAHCO SECURITIES LTD.(DSE-046)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
SHANTA SECURITIES LIMITED(DSE-039)				
BO REGISTERED AS EI				
RB	1	10,000	0	10,000
Total	1	10,000	0	10,000
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	2	20,000	1,500	18,500
Shakil Rizvi Stock Ltd.(DSE-149)				
BO REGISTERED AS EI				
RB	2	20,000	0	20,000
Total	2	20,000	0	20,000
Sub Total	2	20,000	0	20,000
Sharp Securities Limited(DSE-216)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500

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Type	Applicants	Applied Amount	Fine Amount	Refund Amount
Sharp Securities Limited(DSE-216)				
Sub Total	1	10,000	1,500	8,500
Sheltech Brokerage Limited(DSE-120)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
Square Securities Management Ltd(DSE-076)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
TIMES SECURITIES LIMITED(DSE-166)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
UCB STOCK BROKERAGE LIMITED(DSE-181)				
DUPLICATE BO				
RB	5	50,000	7,500	42,500
Total	5	50,000	7,500	42,500
Sub Total	5	50,000	7,500	42,500
UGC Securities Ltd.(DSE-054)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
UNITED FINANCIAL TRADING COMPANY LIMITED(DSE-227)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
Unicap Securities Limited(DSE-163)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500

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Type	Applicants	Applied Amount	Fine Amount	Refund Amount
Uttara Exchange & Securities Ltd.(CSE-024)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
Vision Capital Management Ltd.(DSE-024)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
WIFANG SECURITIES LIMITED(DSE-210)				
BO REGISTERED AS EI				
RB	2	20,000	0	20,000
Total	2	20,000	0	20,000
Sub Total	2	20,000	0	20,000
Western Securities Investment Management Ltd.(CSE-120)				
DUPLICATE BO				
RB	1	10,000	1,500	8,500
Total	1	10,000	1,500	8,500
Sub Total	1	10,000	1,500	8,500
Grand Total	77	770,000	105,000	665,000