

FORM OF APPLICATION FOR TRANSFER OF LISTED SECURITIES OTHER THAN BY WAY OF GIFT

[Under Regulation 47 (1) (b),(c), (d) & 47 (2)]

The Chief Regulatory Officer
Dhaka Stock Exchange Limited
Dhaka.

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/MF/CIS 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:

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/MF/CIS 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

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/asset manager)

For Office Use Only

Approved (subject to signature verification of the applicant by the concerned issuer of listed securities/depository participant/asset manager) by the Dhaka 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.