

রেজিস্টার্ড নং ডি এ-১



অতিরিক্ত সংখ্যা
কর্তৃপক্ষ কর্তৃক প্রকাশিত

মঙ্গলবার, ফেব্রুয়ারি ১০, ২০২৬

[বেসরকারি ব্যক্তি এবং কর্পোরেশন কর্তৃক অর্থের বিনিময়ে জারীকৃত বিজ্ঞাপন ও নোটিশসমূহ]

DHAKA STOCK EXCHANGE (SETTLEMENT OF DISPUTE) REGULATIONS, 2026

Whereas it is expedient to provide regulations by the Dhaka Stock Exchange PLC. for the settlement of disputes and the fulfilment of claims or disputes arising under clause (xix) of sub-section (2) of section 34 of the Securities and Exchange Ordinance, 1969 (Ordinance No. XVII of 1969), read with section 23 of the এক্সচেঞ্জস ডিমিউচুয়ালাইজেশন আইন, ২০১৩ (২০১৩ সনের ১৫নং আইন), between investors and TREC Holders or between investors and any issuer of listed securities, and for matters ancillary thereto;

Now, therefore, in exercise of the powers conferred under section 34 of the Securities and Exchange Ordinance, 1969 (Ordinance No. XVII of 1969), read with section 23 of the এক্সচেঞ্জস ডিমিউচুয়ালাইজেশন আইন, ২০১৩ (২০১৩ সনের ১৫নং আইন), the Dhaka Stock Exchange PLC., with the prior approval of the Bangladesh Securities and Exchange Commission, makes the following Regulations, namely:—

PART I

PRELIMINARY

1. Short title, commencement and application.—

(1) These regulations shall be called “Dhaka Stock Exchange (Settlement of Dispute) Regulations, 2026”;

(2) These regulations shall come into effect on and from the day on which these regulations are published in the official Gazette;

(১২৬৬১)

মূল্য : টাকা ২৪.০০

(3) These regulations shall apply to the settlement of claims or disputes including mediation or arbitration between investors and TREC Holders or investors and any issuer of listed securities of the Exchange;

(4) These regulations shall apply everywhere in Bangladesh without prejudice to the generality of সালিস আইন, ২০০১ (২০০১ সনের ১ নং আইন); subject to the condition that other applicable laws, in addition to the securities laws, shall continue to apply to matters not specifically provided for in these regulations.

2. Definitions.—(1) In these regulations, unless there is anything repugnant in the subject or context:

- (a) “Arbitral Tribunal” means a Tribunal consisting of one or more Arbitrator(s) constituted under these regulations;
- (b) “arbitration” means a procedure in which a dispute is submitted to one or more arbitrators who make a binding decision on the dispute;
- (c) “Arbitrator” means an independent person or body officially appointed from the panel of Arbitrators to settle a dispute;
- (d) “Award” includes a partial, interim, or final award of the Arbitral Tribunal;
- (e) “BSEC” means the Bangladesh Securities and Exchange Commission;
- (f) “claim” or “claims” includes a lawful demand or request by an aggrieved party against Opposite Party;
- (g) “Claimant” means the party who has lodged a request for arbitration;
- (h) “Code of Civil Procedure” means the Code of Civil Procedure, 1908 (Act No. V of 1908);
- (i) “counterclaim” means a claim made against the claimant under these Regulations;
- (j) “dispute” means any disagreement, controversy, or difference that arises in connection with or out of any transaction, contract, dealing, or relationship between an investor and a TREC Holder, or between an investor and an issuer of listed securities of the Exchange, relating to rights, obligations, performance, non-performance, or interpretation thereof, including any claim for compensation, recovery, refund, or any other relief, whether such dispute arises during or after the subsistence of such relationship;
- (k) “Exchange” means the Dhaka Stock Exchange PLC.;

- (l) “Mediation” means a voluntary, confidential, and structured dispute resolution process in which the third party (the mediator) facilitates negotiations between disputing parties to help them reach a mutually acceptable agreement without imposing a decision;
- (m) “Mediator” is a party who facilitates negotiations between disputing parties in a mediation process and helps them reach a voluntary and mutually acceptable settlement without imposing a decision;
- (n) “Opposite Party” means the TREC Holder Company or the issuer of listed securities, against whom any claim is lodged under these Regulations;
- (o) “Party” or “Parties” includes the claimant(s) or the Opposite Party(s);
- (p) “RAC” means the Regulatory Affairs Committee of the Board of Directors of the Exchange;
- (q) “Registrar” means a person who shall perform the duties of a Registrar as assigned to him under these regulations;
- (r) “Regulations” means these regulations;
- (s) “Trading Rights Entitlement Certificate” or “TREC” shall have the same meaning as defined in section 2(8) of এক্সচেঞ্জস ডিমিউচুয়ালাইজেশন আইন, ২০১৩, (২০১৩ সনের ১৫ নং আইন).

(2) Words and expressions used herein and not defined, but defined in the Securities and Exchange Ordinance, 1969 (XVII of 1969), ব্যাংক কোম্পানি আইন, ১৯৯১ (১৯৯১ সনের ১৪ নং আইন), বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন আইন, ১৯৯৩ (১৯৯৩ সালের ১৫ নং আইন), আর্থিক প্রতিষ্ঠান আইন, ১৯৯৩ (১৯৯৩ সনের ২৭ নম্বর আইন), কোম্পানী আইন, ১৯৯৪ (১৯৯৪ সনের ১৮ নম্বর আইন), ডিপজিটরি আইন, ১৯৯৯ (১৯৯৯ সনের ৬ নম্বর আইন), সালিস আইন, ২০০১ (২০০১ সালের ১নং আইন), বীমা আইন, ২০১০ (২০১০ সনের ১৩ নম্বর আইন), ফাইন্যান্সিয়াল রিপোর্টিং আইন, ২০১৫ (২০১৫ সনের ১৬ নম্বর আইন) shall have the same meanings respectively and assigned to them in the said Acts and the Ordinances, and the Rules and Regulations made thereunder.

PART II

DISPUTE, CLAIM AND OFFICE OF REGISTRAR

3. Notice of claims.—(1) Any aggrieved party, whose grievance has not been redressed by Opposite Party or for any dispute may lodge an application of Claim, either manually or electronically, with the Exchange in **Form A** of the Schedule hereinafter contained;

(2) Where any claim is lodged through a plain letter instead of Form A, the Registrar shall ask the claimant to submit such claim through Form A;

(3) If any claim made by an investor before the BSEC against a TREC Holder or an issuer of listed securities is referred to the Exchange for disposal, it shall be treated as a Claim within the meaning of these Regulations:

Provided that, the Registrar shall, after receiving such referred claim, ask the complainant to submit such claim through Form A;

(4) The Registrar shall record and maintain the register of any claim under sub-regulation (1);

(5) A Claim shall be time-barred if lodged later than 3 (three) years from the date the dispute arose.

4. Response to the claim.—(1) The Registrar shall, within a period of 10 (ten) days from the date of receipt of the claim, send a copy thereof together with other documents, if any, to the Opposite Party asking for its response;

(2) The Opposite Party shall submit its response to the Registrar within 20 (twenty) days from the date of receipt of intimation under sub-regulation (1), or within such time as may be extended by the Registrar:

Provided that the period for submission of such response, including the extended period, shall not exceed 30 (thirty) days from the date of receipt of such intimation:

Provided further that, if the Opposite Party submits any counterclaim against the claimant, it must be described in details with supporting documents;

(3) The Registrar shall, within 10 (ten) days from the date of receipt of the response, forward such response to the Claimant asking for comment;

(4) If the claimant is satisfied with the response of the Opposite Party, or where he declares that he is not willing to proceed with the claim, the Registrar shall draw up a report thereon;

(5) If the claimant intimates that he is not satisfied with the response or if the Opposite Party fails to submit its response within the stipulated time or the extended time, as the case may be, the claimant may either request for mediation proceeding(s) in accordance with Part III, or may request for Arbitration in accordance with Part IV, within a period of 30 (thirty) days before the Registrar.

5. Office of Registrar.—(1) The CRO shall appoint the Head of the Investor Complaints, Arbitration and Litigation Department (ICALD) of DSE to act as a Registrar;

(2) The Exchange shall ensure adequate manpower and logistic support for the office of the Registrar, under these regulations;

(3) The Registrar, shall perform his duties without bias and maintain neutrality to facilitate or settle the claims, under these regulations.

PART III
MEDIATION

6. Appointment of Mediator.—(1) The CRO shall, for the purpose of these regulations, appoint an officer, not below the rank of Assistant General Manager having sound knowledge of the securities laws, rules and regulations, to act as Mediator:

Provided that such officer shall be free from any conflict of interest and maintain neutrality in performing his duties and responsibility;

(2) If a Party raises an objection with reasonable ground about the mediator's impartiality or competence or any other reasonable ground, the CRO shall appoint another mediator at any stage of the mediation proceedings.

7. Mediatory meeting(s).—(1) The Mediator shall, within 10 (ten) days of receipt of the request for mediation under regulations 4(5) from the Registrar, call upon the parties to attend mediatory meeting(s). The meeting(s) shall be presided over by the Mediator;

(2) The parties shall attend the mediatory meeting(s) either personally or through their authorized person(s) and shall furnish all documents relevant to the dispute. The Mediator may require proof of authority of such authorization. Additionally, both parties shall sign the Letter of Consent in **Form B** of the Schedule, for mediation;

(3) If either party requests for change of date for holding mediatory meeting(s), the Mediator shall, after due consultation with the other party, fix another date convenient for both the parties;

(4) The mediatory meeting(s) shall be concluded within 30 (thirty) days from the receipt of the request for mediation.

8. Statement of Resolution.—If both the parties affirm that the dispute has been resolved by mediation, a Statement of Resolution as prescribed in **Form C** of the Schedule shall be executed by the parties and be signed by the Mediator within 10 (ten) days of completion of mediation.

9. Mediation Report.—(1) The Mediator shall prepare a report within 14 (fourteen) days of the conclusion of the mediation proceedings and shall submit the report to the CRO together with the Statement of Resolution, if so executed. Parties to the dispute shall have the right to get an attested copy of the Report subject to the payment of requisite costs as it fixed by RAC;

(2) If the dispute is not resolved, or the grievance is not redressed, or if the prescribed time elapses without any resolution, the mediator shall prepare a report thereof within 14 (fourteen) days of failure of the mediation and submit the same to the CRO within 3(three) days with an intimation to the Registrar.

PART IV**ARBITRATION**

10. Request for Arbitration.—On failure of the mediation under Part III, the claimant may request for arbitration to the Registrar in **Form D** of the Schedule hereinafter contained.

11. Reply to the Request for Arbitration.—(1) The Registrar shall, after receiving the request for arbitration, send a copy thereof to the Opposite Party within 7(seven) days;

(2) The Opposite Party shall submit a reply to the Registrar in response to the request for Arbitration within 10 (ten) days from the date of receipt of the same;

(3) The Registrar shall, after receiving the reply, notify the Claimant within 3 (three) days to go for Arbitration with an intimation to the CRO;

(4) If the Opposite Party fails to submit the reply within the time, the Registrar shall prepare a report on it and submit the same to the CRO with a copy to the Claimant.

12. Statement of Claim & Statement of Defense.—(1) The Claimant shall lodge a Statement of Claim to the Registrar, together with the prescribed fees for arbitration, in **Form E** of the Schedule hereinafter contained:

Provided that the Statement of Claim shall be accompanied by 2(two) sets of true copies thereof for service upon the Opposite Party;

(2) The Registrar shall, after receiving a Statement of Claim, examine it along with the supporting documents, if any, as to whether it is complete or not. If it is found incomplete, the Registrar shall ask the Claimant to fulfill the same;

(3) The Registrar shall serve a copy of Statement of Claim to the Opposite Party within 7 (seven) days from the date of receipt of the same;

(4) The Opposite Party shall, after receiving the copy of Statement of Claim, submit a Statement of Defense, within 14 (fourteen) days from the date of receipt thereof, in **Form F** of the Schedule:

Provided that the Statement of Defense must deal specifically with each allegation of fact of which the Opposite Party does not admit the claim;

(5) Where any counterclaim is sought for in the Statement of Defense, the Claimant shall submit Statement of Reply to the Registrar within a period of 14 (fourteen) days from the date of submitting the Statement of Defense, in **Form G** of the Schedule hereinafter contained;

(6) If any counterclaim is sought for in the Statement of Defense, it shall have the same effect as that of Statement of Claim and the provisions relating to the Statement of Claim shall be applicable, mutatis mutandis.

13. Conduct of hearing.—(1) The date of the first hearing shall be fixed by serving Notice for Hearing in **Form H** of the Schedule, not later than 14 (fourteen) days from the date of submission of the documents by the parties. If any party fails to appear at the hearing without showing reasonable ground for such failure, the Arbitral Tribunal, as constituted under regulations 23, may proceed ex parte and may make its Award based on the submissions and evidence on record before it:

Provided that in case of showing reasonable ground, the Arbitral Tribunal shall fix another date for hearing which shall not be more than 10 (ten) days of the fixation of first hearing;

(2) If the hearing is not concluded on the fixed date, it may be continued to such subsequent day or days as the Arbitral Tribunal determines:

Provided that the Arbitral Tribunal shall conclude hearing within 45 (forty-five) days from the date of the first hearing;

(3) The Parties may be represented by any legal practitioner(s), or by authorized person(s). The Arbitral Tribunal may require proof of authority of such representation;

(4) The Arbitral Tribunal shall determine the relevancy, materiality and admissibility of all evidence. The Evidence Act, 1872 (Act No. I of 1872) shall not be applicable in this regard;

(5) The Arbitral Tribunal may conduct hearings through electronic audio-visual means on digital platforms, if, for any reason, physical presence becomes impracticable.

14. Witness.—(1) The Arbitral Tribunal may allow, refuse, or limit the appearance or examination of witness at any hearing. Any party may request for oral examination of witnesses;

(2) The Arbitral Tribunal may direct the testimony of witness to be presented in written form, either as signed statements or sworn affidavits or any other form of recording;

(3) If a party files written testimony of any witness, the Arbitral Tribunal may call the witness to attend the Arbitral Tribunal for oral examination. If the witness fails to so attend, the Arbitral Tribunal may disregard such testimony;

(4) The Arbitral Tribunal shall, at the instance of any party, issue notice in Form I hereinafter contained, to one or more witnesses requiring their attendance before the Arbitral Tribunal on a date and time mentioned in the notice.

15. Appointment of Experts by the Arbitral Tribunal.—(1) The Arbitral Tribunal may appoint one or more independent expert(s) to report to it on specific issues as it determines and shall communicate it to the parties. The Arbitral Tribunal may direct any party to furnish any relevant information or document, or to produce any articles, or to permit the expert to have access to any property for inspection;

(2) If any party so requests, or if the Arbitral Tribunal considers it necessary, such expert(s) shall attend the oral hearing after delivery of the report where the parties shall have the opportunity to put questions to the expert(s);

(3) The remuneration of, and expenses incurred by, any such expert shall be payable by the respective party as determined by the Arbitral Tribunal and it shall form part of the costs of the arbitration.

16. Interim relief.—On an application made by the claimant, the Arbitral Tribunal, if thinks necessary, may pass any interim Award for the protection of any documents, property or goods which forms part of the subject matter of the dispute and/or for restraining any party from taking any step which may frustrate the purpose of the Award.

17. Award by consent.—If the parties reach a settlement at any stage of the arbitral proceedings, the Arbitral Tribunal shall make an Award by consent as per the agreement between the parties. Such Award shall be final and binding upon the parties and be enforced in the same way as the Award of the Arbitral Tribunal made in accordance with regulations 18.

18. Award.—(1) After the production of all evidences by the parties, the Arbitral Tribunal shall declare the proceedings to be closed and shall fix a date not later than 21 (twenty-one) days by which the Arbitral Tribunal shall sign and pronounce the Award. The Arbitral Tribunal shall send the Award to the Registrar with an intimation to the CRO along with an attested copy thereof;

(2) The Award shall contain a brief description of the case, the points for determination, the decisions thereon and the reasons for such decisions. The Arbitral Tribunal may, on its own motion or at the instance of any party, correct any arithmetical, clerical or typographical mistake or any error of a similar nature occurred in the Award. Any correction so made shall form part of the Award;

(3) The Arbitral Tribunal may, in its discretion, award simple or compound interest on any sum which is the subject matter of the arbitration at such rates and in respect of such period as the parties may have agreed or, in the absence of such agreement, as the Arbitral Tribunal deems fit;

(4) Where the Arbitral Tribunal is comprised of more than one Arbitrator, the Award shall be made on consensus or by the majority of such Arbitrators. The Award shall be in writing and shall be signed by the Arbitrators;

(5) The Award made by the Arbitral Tribunal shall, subject to the provisions of regulation 19 and 20, be final and binding upon the parties.

19. Appeal.—(1) Any party aggrieved by the award of the Arbitral Tribunal under regulation 18, may file an appeal before the Commission within a period of 15 (fifteen) days from the date of making of the Award;

(2) The Commission shall, within 30 (thirty) days of the receipt of the appeal, dispose of the same. If it is necessary for disposal of the appeal, the Commission may call for records of the arbitral proceeding from the Arbitral Tribunal.

20. Review.—Any party aggrieved by any Award given as per regulations 18, may lodge an application to the Commission under regulation 19, for review within a period of 15 (fifteen) days from the date such Award was made and the decision of the Commission shall be final:

Provided that the Commission shall, within 30 (thirty) days from the receipt of the application, dispose of the same.

21. Panel of Arbitrators and their remuneration.—(1) The RAC of the Exchange shall form a panel of Arbitrators, with prior approval of the Commission, for the purpose of adjudicating any dispute, within 180 (one hundred and eighty) days from the date of publishing these Regulations in the official Gazette;

(2) The panel shall be comprised of eminent persons from the fields of legal profession, Judiciary, capital markets or financial sectors with minimum 15 (fifteen) years of experience in the respective fields. A person to be enlisted in the panel of Arbitrators must sign **Form J** of the schedule and must not have been convicted under any criminal, capital market, or other applicable laws by any competent authority, and shall be free from any conflict of interest;

(3) The remuneration of the arbitrators shall be determined, or changed (if any) by the RAC upon approval from the Board of Directors of the Exchange.

22. Constitution of the Arbitral Tribunal.—(1) The parties shall select one or more Arbitrators from the panel of Arbitrators of the Exchange;

(2) The CRO shall, for the purposes of these regulations, constitute the Arbitral Tribunal within 10 (ten) days of selection of Arbitrator(s);

(3) In case of a sole arbitrator, the arbitrator shall act as the Chairman of the Arbitral Tribunal. Where the Arbitral Tribunal is comprised of more than one arbitrator, the CRO shall appoint one of them as the Chairman of the Arbitral Tribunal, taking into account such factors as seniority in age, academic knowledge, professional excellence, publication and experience;

(4) The Exchange shall provide the necessary logistic supports to the Arbitral Tribunal for the purposes of these regulations.

23. Challenge against Arbitrator(s).—(1) Any arbitrator may be challenged on the grounds of corruption, incompetence, conflict of interest, or lack of impartiality;

(2) Any party may raise objection, in the form of petition, to the Registrar regarding Arbitrator(s) within 10 (ten) days from the date of constitution of the Arbitral Tribunal;

(3) The Registrar shall, after receiving the petition of objection under sub-regulation (2), intimate it to the CRO within 7 (seven) days from the date of receipt of such objection.

24. Place of Arbitration.—The place of arbitration shall be the exchange premises. In any special circumstance, the Arbitral Tribunal may also sit at such other place as it may be determined by the CRO.

25. Governing Law for Arbitration.—(1) The Proceedings before the Arbitral Tribunal shall be governed by the provisions of these regulations;

(2) Where these Regulations are silent, the Arbitral Tribunal shall follow the rules of procedure of the law of the land which it deems appropriate without prejudice to the generality of these Regulations.

26. Confidentiality of the Arbitral Proceedings.—(1) Unless otherwise agreed by the parties, the records, discussions or deliberations of the arbitral proceedings shall be confidential;

(2) An Arbitrator shall maintain confidentiality during Arbitration proceedings, and even after the termination of Arbitration. Any information exchanged or obtained during Arbitration shall not be disclosed outside during or after the termination of the Arbitration, unless otherwise authorized by the parties in writing.

27. Costs and Fees.—(1) The costs of arbitration shall be fixed by the Arbitral Tribunal in the Award. The Arbitral Tribunal shall determine which party shall bear the costs taking into account the merit of the case or may apportion the costs between the parties as it deems fit;

(2) Under these regulations, “costs” shall include the following:

- (i) the expenses for the witnesses;
- (ii) the honorarium and expenses of the expert(s);
- (iii) the legal expenses;
- (iv) the administrative fees and charges; and
- (v) any expenses incurred in connection with the Arbitral proceedings and the Award.

(3) The fees for filing an arbitration under Part IV shall be 0.10 % of the total amount of claim:

Provided that the minimum fee shall not be less than Tk. 5,000 and not more than Tk. 1,00,000;

(4) Counterclaim made in arbitration shall attract the same fees as mentioned in Sub-Regulation (3);

(5) The Exchange shall maintain a separate bank account, under the supervision of the Chief Regulatory Officer and in coordination with the General Accounts Department, specifically designated for the deposit and management of costs and fees for the purpose of these regulations;

(6) Any expenses associated with the Arbitral Proceedings shall be incurred from this account and in case of insufficiency of the balance to meet the proceedings, the Chief Regulatory Officer shall have the authority to incur the same from the exchange.

PART IV

MISCELLANEOUS PROVISIONS

28. Service of notices etc.—The service of notices, letters or other documents under these Regulations shall be made in any of the following manner:

(1) Personal service, which may be accomplished by handing over a copy to the recipient in person or leaving a copy at the recipient's office or usual place of residence; or

(2) Service by mail, which may be accomplished by sending it by registered post with acknowledgement due to the recipient's office or usual place of residence; or

(3) Service by fax, electronic mail or courier service, in case of urgency.

29. Applicability of Limitation Act.—In counting the time limit, the essence of relevant provisions of Limitation Act, 1908, (ACT NO. IX OF 1908) shall be applicable.

30. Language.—The official language of all proceedings under these regulations shall be either Bangla or English.

By Order of the Board of Directors

Nuzhat Anwar
Managing Director
Dhaka Stock Exchange PLC.

SCHEDULE**Form A:** Letter of Claim [Regulation 3(1)]**Form B:** Letter of Consent (Regulation 7(2))**Form C:** Statement of Resolution, [Regulation 8]**Form D:** Request for Arbitration, [Regulation 10]**Form E:** Statement of Claim, [Regulation 12(1)]**Form F:** Statement of Defense, [Regulation 12(4)]**Form G:** Statement of Reply, [Regulation 12(5)]**Form H:** Notice for Hearing [Regulation 13(1)]**Form I:** Notice for witness [Regulation 14(4)]**Form J:** Declaration of Arbitrator [Regulation 21(2)]

Form A
Letter of Claim
[See regulation 3(1)]

1. Claimant's Name: _____
2. Father's name (if the Claimant is an individual): _____
3. Mother's name (if the Claimant is an individual): _____
4. Spouse's name (if the Claimant is an individual, if any): _____
5. Name and designation of the representative
(if the Claimant is a company/institution): _____
6. Mailing address: _____
7. NID (for Bangladeshi citizen) _____ Passport (for foreign citizen/
NRB): _____
8. Telephone: _____ E-mail: _____
9. B.O. Account No. _____ Client Code: _____
10. Name and address of the Opposite Party: _____
11. Details of claim:
12. Please describe the facts and circumstances that gave rise to the claim, including names of individuals, particular incidents, dates etc. Continue in separate sheet(s) if necessary: -----

13. Total amount of claim: _____
(If the claim is for a particular amount, that amount, or if the claim is for securities, the market value of the securities; write N/A if the claim is for any direction etc. and does not involve money)
14. List of attached documents in support of the claim: -----

I declare and affirm that all the information contained in this Form are true to the best of my knowledge and belief.

Signature of the Claimant

Date

For office use only: Claim No. of..... (year) Date of receiving Claim
--

Signature of the Registrar

- N.B.: (i) Claim may be submitted through electronic platform using this Form.
(ii) This form may be filled in Bengali in case of difficulties.

Form B
Letter of Consent
 [See regulation 7(2)]

Date

Name of the Claimant:

and

Name of the Opposite Party:

Subject: Letter of Consent for mediation.

We, the undersigned parties, are hereby giving our consent voluntarily to participate in the mediation process concerning the dispute identified as [insert brief description of the dispute or case number, if applicable].

1. Parties Involved:

- Party 1:
 Name of the Claimant:
 Address:
 Contact Information: [Phone/Email]
- Party 2:
 Name:
 Address:
 Contact Information: [Phone/Email]

2. Mediation Details:

We agree to the following terms regarding the mediation process:

- Mediator: [Name of Mediator or “To be appointed”]
- Location of mediation: [Location or “To be determined”]
- Date of mediation: [Date or “To be scheduled”]
- Confidentiality: Both parties agree that all discussions and materials exchanged during the mediation will remain confidential, unless otherwise agreed upon in writing.

3. Acknowledgment of Voluntariness:

We acknowledge that our participation in the mediation process is voluntary, and that we have the right to withdraw from the mediation at any time prior to its conclusion.

4. Agreement to Mediate:

By signing below, we affirm our commitment to engage in the mediation process in good faith with the aim of resolving our disputes amicably. We hereby affirm that both parties will be bound by the decision reached through the mediation concerning our dispute.

5. Signatures:

[Claimant]

Date: _____

[Opposite Party]

Date: _____

Form C
Statement of Resolution

[See regulation 8]

Claimant's details:

Claimant's Name: _____

Father's name (if the Claimant is an individual): _____

Mother's name (if the Claimant is an individual): _____

Spouse's name (if the Claimant is an individual, if any): _____

Name and designation of the representative (if the Claimant is a company/institution): _____

Mailing address: _____

NID (for Bangladeshi citizen) _____ Passport (for foreign citizen/ NRB): _____

Telephone: _____ E-mail: _____

B.O. Account No. _____ Client Code: _____

Name of the Opposite Party: _____

NID (for Bangladeshi citizen) _____ Passport (for foreign citizen/ NRB) _____

Mailing address: _____

Name of the Representative is a company/institution): _____

Telephone: _____ E-mail: _____

Date of filing claim: _____

Amount of claim: _____

Date when the Opposite Party received the response: _____

Name and designation of the Mediator: _____

Date of mediatory meeting(s): _____

Amount at which the claim is settled: _____

Other terms of settlement (if any): _____

Declaration:

We the Claimant and the Opposite Party hereby declare and confirm that the claim/dispute between us as mentioned above has been satisfactorily settled/resolved through the mediation procedure.

Signature of the Claimant

Signature of the Opposite Party

Signature of the Mediator

Date

Form D
Request for Arbitration
[See regulation 10]

Claim No.:

Claimant's Name: _____

Father's name (if the Claimant is an individual): _____

Mother's name (if the Claimant is an individual): _____

Spouse's name (if the Claimant is an individual, if any): _____

Name and designation of the claimant's representative (if a company/institution): _____

Mailing address: _____

Telephone: _____ E-mail: _____

B.O. Account No. _____ Client Code: _____

NID (for Bangladeshi citizen) _____ Passport (for foreign citizen/ NRB): _____

Name and address of the Opposite Party: _____

Details of the claim:

Please describe the facts and circumstances that gave rise the claim, including names of individuals, particular incidents, dates etc. Continue in separate sheet(s) if necessary: -----

Total amount of claim: _____

(If the claim is for a particular amount, that amount, or if the claim is for securities, the market value of the securities; write N/A if the claim is for any direction etc. and does not involve money)

List of attached documents in support of the claim: -----

I declare and affirm that all the information contained in this Form are true to the best of my knowledge and belief.

Signature of the claimant_____
Date

For office use only:

Request No. of..... (year)

Date of receiving the request.....

Signature of the Registrar

N.B.: (i) Request for Arbitration may be submitted through an electronic platform using this Form.

(ii) This form may be filled in Bengali in case of difficulties.

Form E
Statement of Claim
[See regulation 12(1)]

1. Claim No.:
2. Claimant's Name: _____
3. Father's name (if the Claimant is an individual): _____
4. Mother's name (if the Claimant is an individual): _____
5. Spouse's name (if the Claimant is an individual, if any): _____
6. Name and designation of the claimant's representative (if a company/institution): _____
7. Mailing address: _____
8. Telephone: _____ E-mail: _____
9. NID (for Bangladeshi citizen) _____ Passport (for foreign citizen/ NRB): _____
10. B.O. Account No. _____ Client Code: _____
11. Name of the Opposite Party: _____
12. Father's name (if the Opposite Party is an individual): _____
13. Name and designation of the Opposite Party's representative (if a company): _____
14. Address: _____
15. Telephone: _____ E-mail: _____
16. B.O. Account No. _____ Client Code: _____
17. Details of the claim:
Please give a description of the nature and circumstances of the dispute giving rise to your claim, which should contain the material facts supporting the claim, including relevant dates, names of entities and individuals involved. Continue in separate sheet(s) if necessary: _____

18. List of attached documents in support of the claim-----
19. Type of relief sought (actual monetary damages, interest, specific performance etc.-----
20. Please indicate if you require an oral hearing at the Arbitral Tribunal or if you want a Documents-only Arbitration: *Please tick the appropriate box*
 Oral hearing Documents-only (no hearing)

21. Name of the authorized representative for hearing at the Arbitral Tribunal: _____

22. Name of Arbitrators:

Please select from the list of Arbitrators Panel available at DSE

23. Total amount of claim: _____

(If the claim is for a particular amount, insert that amount, or if the claim is for securities, insert the market value of the securities; write N/A if the claim is for any direction etc. and does not involve money)

24. The amount of fees: _____

Please calculate the amount of fees on the total amount of claim based on the list below:

The fees for filing an arbitration under Part IV shall be as 0.10 % of the total amount of claim:

Provided that the minimum fee will be Tk. 5,000 and the maximum fee will be Tk. 100,000.

25. Payment details:

Cheque/demand draft/pay order /electronic fund transfer No. _____

Amount: _____

Date of issue: _____

Name of bank/mobile banking: _____

26. Claimant's declaration

I declare that the information given above is true to the best of my knowledge and belief. I also declare that I have read the Dhaka Stock Exchange (Settlement of Dispute) Regulations, 2026 and I undertake to abide by the provisions thereof relating to arbitration.

Signature of the Claimant

Date

<p>For office use only: Arbitration No. of (year) Date of receiving..... _____ Signature of the Registrar</p>
--

N.B.: (i) Statement of Claim may be submitted through electronic platform using this Form.

(ii) This form may be filled in Bengali in case of difficulties.

Form F
Statement of Defense
 [See regulation 12(4)]

1. Name of the Opposite Party: _____
2. Father's name (if the Opposite Party is an individual): _____
3. Mother's Name (if the Opposite Party is an individual): -----
4. Spouse's name (if the Opposite Party is an individual, if any): _____
5. Name and designation of the representative (if the Opposite Party is a company/ institution): _____
6. TREC No. (if the Opposite Party is a TREC holder): _____
7. Address: _____
8. Telephone: _____ E-mail: _____
9. NID (for Bangladeshi citizen) _____ Passport (for foreign citizen/ NRB): _____
10. B.O. Account No. _____ Client Code: _____
11. Date of receipt of the Statement of Claim: _____

12. Details of defense:

Please describe below your defense to the Claimant's claim. You should deal specifically with each allegation of fact of which you do not admit the truth. You must deny the facts or grounds alleged by the Claimant, and plead all matters which tend to show the Statement of Claim to be false or not maintainable. New facts must be specifically pleaded as, for instance, fraud, limitation, release, payment, performance, or facts showing illegality etc. Continue in separate sheet(s) if necessary: -----

13. List of documents in support of your defense: -----
14. Please indicate if you require an oral hearing at the Arbitral Tribunal or if you want a Documents-only Arbitration: *Please tick the appropriate box*

Oral hearing

Documents-only (no hearing)

15. Name of your authorized person for hearing at the Arbitral Tribunal: -----
16. Choice of arbitrators:

Please select from the Panel of Arbitrators contained in TREC Holder's website (www.----- bd.org)

(1) _____

(2) _____

(3) _____

17. Do you have a counterclaim? Yes No

If you have ticked 'No', please go directly to clause 21

18. If yes, details of your counterclaim:

Please give below a description of the nature and circumstances of your counterclaim, which should contain the material facts supporting the claim, including relevant dates, names of entities and individuals involved. Continue in separate sheet(s) if necessary: _____

19. List of documents in support of your counterclaim: -----

N.B. Please attach the documents chronologically.

20. Total amount of claim: _____

(If the claim is for a particular amount, insert that amount, or if the claim is for securities, insert the market value of the securities; write N/A if the claim is for any direction etc. and does not involve money)

21. Type of relief sought (actual monetary damages, interest, specific performance of contract etc.): -----

22. The amount of fees: _____

Please calculate the amount of fees on the total amount of claim based on the list below:

The fees for filing an arbitration under Part IV shall be as 0.10 % of the total amount of claim:

Provided that the minimum fee will be Tk. 5,000 and the maximum fee will be Tk. 100,000.

Payment details:

Cheque/demand draft/pay order no. _____

Amount: _____

Date issued: _____

Name of bank: _____

23. Opposite Party's declaration

I declare that the information given above are true to the best of my knowledge and belief. I also declare that I have read the Dhaka Stock Exchange (Settlement of Dispute) Regulations, 2026 and I undertake to abide by the provisions thereof relating to arbitration.

Signature of the Opposite Party

Date

<p>For office use only: Arbitration No. of(year) Date of receiving.....DHAKA.... _____ Signature of the Registrar</p>

N.B.: (i) Statement of Defense may be submitted through electronic platform using this Form.

(ii) This form may be filled in Bengali in case of difficulties.

Form G
Statement of Reply
[See regulation 12(5)]

1. Claimant's Name: _____
2. Father's name (if the Claimant is an individual): _____
3. Mother's name (if the Claimant is an individual): -----
4. Spouse's name (if the Claimant is an individual, if any): _____
5. Name and designation of the claimant's representative (if a company/
institution): _____
6. Mailing address: _____
7. Telephone: _____ E-mail: _____
8. NID (for Bangladeshi citizen) _____ Passport (for foreign citizen/
NRB): _____
9. Details of the reply:
Please describe below your reply to the Opposite Party's counterclaim. You must deal specifically with each allegation of fact of which you do not admit the truth. You should deny the facts or grounds alleged in the Opposite Party's counterclaim, and plead all matters which tend to show the counterclaim to be false or not maintainable. Continue in separate sheet(s) if necessary: -----
10. List of attached documents in support of reply: -----
11. Claimant's declaration
I declare that the information given above are true to the best of my knowledge and belief. I also declare that I have read Dhaka Stock Exchange (Settlement of Dispute) Regulations, 2026 and I undertake to abide by the provisions thereof relating to arbitration.

Signature of the Claimant

Date

For office use only:

Arbitration No.....of..... (year)
Date of receiving:DHAKA.

Signature of the Registrar

- N.B.: (i) Statement of Reply may be submitted through electronic platform using this Form.
(ii) This form may be filled in Bengali in case of difficulties.

Form H**Notice for hearing**

[See regulation 13(1)]

THE ARBITRAL TRIBUNAL
DHAKA STOCK EXCHANGE PLC.

Arbitration No. of

Notice is hereby issued upon the claimant/Opposite Party named below to hear the matters connected with the above arbitration:

Detail Information of the Claimant		Detail Information of Opposite Party	
Name:		Name:	
Father's name:		Father's name:	
Mother's name		Mother's name	
Spouse's name (if any):		Spouse's name (if any):	
Mailing address:		Mailing address:	

Please take notice that an arbitration proceeding has been initiated at the instance of (Claimant's name and address..... against (Opposite Party's name and address) at the place of arbitration

The Statement of Claim lodged by the Claimant is attached.

You are hereby requested to attend at the place of arbitration on atam/pm and let the Arbitral Tribunal to hear your opinion/statement with documentary evidence (if any).

The Registrar

Dhaka Stock Exchange PLC.

Chairman of the Arbitral Tribunal

Dhaka Stock Exchange PLC.

Form I**Notice for witness**

[See regulation 14(4)]

Office of the Arbitral Tribunal

Dhaka Stock Exchange PLC.

Arbitration No. of

Notice is hereby issued upon the witness named below to testify in matters connected with the above arbitration:

Name:	
Father's name:	
Mother's name:	
Spouse's name (if any):	
Mailing address:	

Please take notice that an arbitration proceeding has been initiated at the instance of (Claimant's name and address.....) against (Opposite Party's name and address) at the place of arbitration

The Statement of Claim lodged by the Claimant is attached.

You have been mentioned as a witness by the Claimant/Opposite Party

You are hereby requested to attend at the place of arbitration on atam/pm and testify before the Arbitral Tribunal.

The Registrar

Dhaka Stock Exchange PLC.

Chairman of the Arbitral Tribunal

Dhaka Stock Exchange PLC.

Form J
Declaration of Arbitrator

[See regulation 21(2)]

Arbitration No.: of (year)

Arbitrator's Details:

- Name : _____
- Father's Name : _____
- Mother's Name : _____
- Spouse's Name (if any): _____
- Designation / Professional Title: _____
- Mailing Address : _____
- Telephone: _____ E-mail: _____
- NID (for Bangladeshi citizen): _____ Passport (for foreign citizen/NRB): _____.

Declaration:

I, the undersigned, hereby declare that:

1. I am appointed as an Arbitrator in the above arbitration proceedings under the Dhaka Stock Exchange (Settlement of Dispute) Regulations, 2026.
2. I am impartial and independent and have no conflict of interest, direct or indirect, with any of the parties, their representatives, or related entities.
3. I confirm that I have disclosed any potential circumstances that might give rise to a reasonable doubt as to my impartiality or independence, and that no such circumstances exist.
4. I am competent to act as an arbitrator in this matter and shall perform my duties in accordance with the Regulations, observing the principles of fairness and justice.
5. I affirm the principle of competence-competence, recognizing that I have the authority to rule on my own jurisdiction, including any objections with respect to the existence, scope, or validity of the arbitration agreement.
6. I have no conflict of interest with the capital market or any entities, instruments, or participants within the capital market that could affect my independence or impartiality in this arbitration.
7. I shall act diligently, confidentially, and with full commitment to resolving the dispute in accordance with the law and the Regulations.

Signature of Arbitrator: _____

Date: _____

For Office Use Only:

Date of receiving Declaration: _____

Signature of the Registrar : _____

Dhaka Stock Exchange PLC.