

SEC/Enforcement/534/2006/100
February 01, 2007

The Commission, considering the submissions and assurance made by the stock-broker, has decided to dispose off the matter against it for the stated contravention, by placing on record the Commission's dissatisfaction on the default made by it, with a warning to ensure strict compliance of all securities related laws in future.

Please note that the above disposal does not absolve the stock-broker from their lawful responsibilities/obligations to the persons, if any, affected as a result of the stock-broker's above said default.

For the Securities and Exchange Commission

Mansur Alam
Executive Director

CC:
CEO, Chittagong Stock Exchange
Executive Director (R&D), SEC
Executive Director (Registration), SEC
Director (MIS), SEC
Chairman's Office, SEC