

**SEC/Enforcement/ 1026/2012/452**  
**November 15, 2012**

**By Special Messenger**  
**Fax No.02-9555384**

Lanka Bangla Securities Limited  
DSE's Membership No. 132  
DSE Annex Building  
9/E, Motijheel C/A  
Dhaka-1000.  
Attention: Managing Director/CEO

**Subject: WARNING: Non-compliance of Article 1, 2 & 7 of the Securities and Exchange Commission Act, 2000.**

This refers to SEC's show cause-cum-hearing notice No. SEC/Enforcement/ 1026/2012/90 dated March 12, 2012 and your explanation letter no. NIL dated March 28, 2012 submitted to the Commission.

The Commission, considering your explanation, has decided to dispose off the proceedings against Lanka Bangla Securities Limited (Stock Broker) by placing on record the Commission's dissatisfaction on the defaults/contraventions made with a warning to ensure compliance of all securities related laws in future.

Please note that this disposal does not absolve Lanka Bangla Securities Limited (Stock Broker) from its lawful responsibilities/obligations to any person, if affected as a result of the subject mentioned default.

For Securities and Exchange Commission

**Mustari Jahan**  
Deputy Director (Enforcement Dept.)

**Distribution:**

Chief Executive Officer, Dhaka Stock Exchange Limited  
Chief Executive Officer, Chittagong Stock Exchange Limited

**Copy for information:**

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P.O to Executive Director (Surveillance), SEC  
P.O to Executive Director (MIS), SEC  
Chairman's office, SEC