

**SEC/Enforcement/919/2011/780**  
**December 8, 2011**

**By Special Messenger**  
**Fax: 8802-9552461**

Uttara finance and Investment Limited  
Jiban Bima Tower (6<sup>th</sup> Floor)  
10 Dilkusha C/A  
Dhaka-1000  
**Attention: Managing Director/CEO**

**Subject: WARNING: Non-compliance of Commission's Directive No.SEC/CMRRC/2001-43/48 dated July 08, 2010 in connection with unusual trading in shares of Sonargaon Textiles Limited.**

This refers to SEC's show cause-cum-hearing notice No. SEC/Enforcement/919/2011/204 dated April 10, 2011 and your explanation letter no. UFIL/MBU/SEC/2011/316 dated April 25, 2011 submitted to the Commission.

The Commission, considering your prayer, has decided to dispose off the proceedings against Uttara finance and Investment Limited 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 Uttara finance and Investment Limited 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  
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Chairman's office, SEC