

SEC/Enforcement/701/2008/1160

September 3, 2008

Al-Muntaha Trading Co. Ltd. (Stock Broker)
DSE Member No.49
Room No.525
9/E, Motijheel C/A
Dhaka-1000.

Attention: **Chief Executive Officer**

Subject: Non-compliance of securities law: Warning

This refers to the Commission's show-cause-cum hearing notice No.SEC/Enforcement/701/2008/869 dated July 8, 2008, based on which the hearing was conducted on August 21, 2008, and your explanations submitted to the Commission vide letter dated August 20, 2008 in respect of the said notice.

The Commission, considering the stock broker's explanations/submissions, has decided to dispose of the proceedings against you by placing on record the Commission's dissatisfaction on the defaults/contraventions made by you, with a warning to ensure compliance of all securities related laws in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

Md. Mizanur Rahman

Executive Director

CC:

Chief Executive Officer, Dhaka Stock Exchange Limited

P. O. to Executive Director (R & D), SEC

P. O. to Executive Director (Surveillance), SEC

P. O. to Executive Director (Registration), SEC

Director (MIS), SEC

Chairman's Office, SEC