

Bangladesh Securities and Exchange Commission

Jiban Bima Tower, 10 Dilkusha C/A, Dhaka-1000, Bangladesh
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SEC/Enforcement/973/2011/452

July 21, 2013

Mona Financial Consultancy and Securities Limited
CSE's Membership No. 121103
Room No.413,417
DSE Building
9/F,Motijheel C/A
Dhaka-1212.

Attention: Managing Director/CEO

Subject: Warning: Non-compliance of the Rule 3 (2) of the Margin Rules 1999 and Clause (d) of sub-rule (12) of rule 3 of the margin rules, 1999 as per SEC Directive No. SEC/CMRRCD/2001-43/169 dated October 01, 2009 and SEC Directive No. SEC/CMRRCD/2009-193/63

Dear Sir,

This refers to Commission's penalty order No. SEC/Enforcement/973/2011/188 dated March 12, 2013, 2012 and your appeal dated March 27,2013.

The Commission considering your prayer, has decided to dispose off 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.

For Bangladesh 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

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Chairman's office, BSEC