

SEC/Enforcement/1024/2012/127

April 03, 2012

Fax: 88-02-9512431

Sinha Securities Limited
DSE's Membership No. 67
Rahman Mansion (3rd floor)
161, Motijheel C/A
Dhaka-1000.

Attention: Managing Director/CEO

Subject: Warning: Non-compliance of অপরাধ ১, ২ ও ৭ of দ্বিতীয় তফসিল of ঐতিহাসিক নিয়ন্ত্রণ আইন, ১৯৮৩ (১৯৮৩ সনের আইন সংখ্যা ১৮৩) এবং ২০০০

This refers to SEC's show cause-cum-hearing notice No. SEC/Enforcement/1024/2012/92 dated March 12, 2012 and your reply letter no. NIL dated March 27, 2012 submitted to the Commission.

The Commission, considering your prayer, has decided to dispose off the proceedings against Sinha 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 Sinha 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:

P.O to Member (Enforcement), SEC

P.O to Executive Director (Surveillance), SEC

P.O to Executive Director (MIS), SEC

Chairman's office, SEC