



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/3026/2021/1684

December 28, 2022

By Courier Service

Abdul Quaium and associates

(B/O accountholders)

Commerce Bank Securities and Investment Ltd.

Taranga Complex, 19 Rajuk Avenue

Motijheel C/A, Dhaka-1000

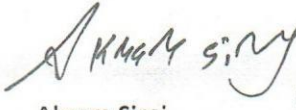
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3036/2021/194 dated February 01, 2022 based on which the hearing was conducted on October 02, 2022.

Considering the explanation vide letter dated October 02, 2022 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against Abdul Quaium and associates by placing on record the Commission's dissatisfaction on the default/contravention 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 the default.

For Bangladesh Securities and Exchange Commission


28.12.2022

Akram Siraj

Assistant Director (Enforcement)

E-mail: akram@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Director (MIS), BSEC
4. Managing director, DSE