

বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

BSEC/Enforcement/2650/2018/1130

By Special Messenger

Dated: December 12, 2021

Commerce Bank Securities and Investment Limited
(TREC Holder # 180)
Taranga Complex (2nd Floor)
19 Rajuk Avenue, Motijheel C/A,
Dhaka-1000.

Attention: Managing Director/CEO

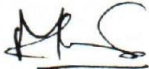
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2650/2018/961 dated November 11, 2021 based on which the hearing was conducted on November 22, 2021.

The Commission, considering your explanation vide letter dated 22.11.2021 has decided to dispose of the proceedings against Commerce Bank Securities and Investment Limited 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 such default.

For Bangladesh Securities and Exchange Commission,



12.12.2021

Md. Mahmudul Hasan
Assistant Director-iii (Enforcement)
Mobile: 01515292195
Email: mahmudulhasan@sec.gov.bd


26.12.2021
Div(MIS)

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.