

## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2604/2018/ 788  
Dated: May 26, 2022

By Special Messenger

Commerce Bank Securities and Investment Ltd.  
(TREC Holder No. DSE #180)  
Taranga Complex, 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/2604/2018/207 dated February 03, 2022 based on which the hearing was conducted on February 14, 2022

The Commission, considering your explanation vide letter dated 14.02.2022 has decided to dispose of the proceedings against Commerce Bank Securities and Investment Ltd. 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,

26.05.2022

Md. Mahmudul Hasan  
Assistant Director-v (Enforcement)  
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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.