

## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2650/2018/026

Dated: January 05, 2022

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

9-1-22  
Dn (MIS)

**Attention: Managing Director/CEO**

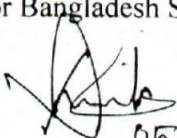
**Subject: Warning to ensure compliance of all securities related laws in future.**

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement /2650/2018/1264 Dated December 28, 2021 based on which the hearing was conducted on January 03, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated January 03, 2022 which was submitted at the time of hearing, has decided to dispose of the matter against you (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 the default.

For Bangladesh Securities and Exchange Commission,



05.01.2022

**Mohammed Abu Hena Mostafa**  
Assistant Director (Enforcement)  
Phone: 01816-243634  
Email: mostafaanik@sec.gov.bd

**Copy for information:**

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Director (Enforcement), BSEC.
4. P.O to Executive Director (MIS)
5. M.D, DSE