

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2626/2018/879

By Special Messenger

Dated: June 16, 2022

Commerce Bank Securities and Investment Ltd.
(DSE TREC holder no.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/2626/2018/708 dated May 17, 2022 based on which the hearing was conducted on June 05, 2022.

The Commission, considering your explanation vide letter ref.CBSIL/HO/2022/568 dated June 05, 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

Mahmuda Shireen

16.06.22

Mahmuda Shireen

Deputy Director (Enforcement)

E-mail: shireen@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O.to Executive Director (MSI), BSEC
3. P.O to Executive Director (MIS), BSEC
4. Managing Director, Dhaka Stock Exchange Limited