



# বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

সিকিউরিটিজ কমিশন ভবন, ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭, বাংলাদেশ।

**BSEC/Enforcement/2650/2018/1411**

**Dated: October 30, 2022**

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

**Attention: Managing Director/CEO**

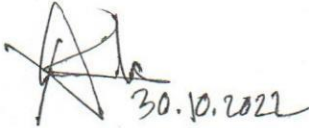
**Subject: Warning to ensure compliance of all securities related laws in future.**

This refers to the Commission's Show cause cum hearing notice no. BSEC/Enforcement/2650/2018/1219 Dated September 19, 2022 based on which the hearing was conducted on October 02, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated October 02, 2022, has decided to dispose of the matter 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 the default.

For Bangladesh Securities and Exchange Commission,



30.10.2022

**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 Executive Director (SRI), BSEC
3. P.O to Executive Director (MIS)
4. M.D, DSE