

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3082/2021/1193

Dated: December 20, 2021

Delta Capital Limited

DSE TREC Holder Number - 185

Zareen Mansion (3rd Floor)

55, Motijheel C/A, Dhaka-1000

Kind 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/3082/2021/998 Dated: November 18, 2021 based on which the hearing was conducted on December 15, 2019.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated December 15, 2021 which was submitted at the time of hearing, has decided to dispose of the matter against you (Delta Capital 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,

Md. Sultan Salah Uddin
20.12.2021

Md. Sultan Salah Uddin

Deputy Director (Enforcement)

PABX: 88-02-55007131-2, Ext- 1306

E-mail: ssuddin@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Executive Director (MIS)
4. P.O. to Director (Enforcement), BSEC.
5. Managing Director, Dhaka Stock Exchange Ltd.

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02.01.2022
DW (MIS)