



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/3141/2021/752

Dated: October 03, 2023

By Special Messenger

Dhaka Bank Securities Ltd (DSE TREC # 193)
Investment Division, Adamjee Court (1st Floor)
115-120, Motijheel C/A, Dhaka-1000.

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/3141/2021/175 dated January 25, 2022 based on which the hearing was conducted on February 06, 2022.

The Commission, considering your explanation letter no. DBLSL/HO/ICC-801/2022/166 dated 06.02.2022 has decided to dispose of the proceedings against Dhaka Bank Securities Ltd (DSE TREC # 193) 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,

Rubel
03-10-2023

Rubel Hossain
Assistant Director (Enforcement)
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Mobile : 01922-151361.

Copy for information:

1. Chairman Office, BSEC.
2. PO to Executive Director (MIAD), BSEC; with reference to DSE letter no. DSE/2021/IED/1137, dated February 10, 2021.
3. PO to Executive Director (ICTD), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.