

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3114/2021/ 959

By Special Messenger

Dated: November 10, 2021

Dhaka Bank Securities Limited
(DSE TREC holder no. 193)
Investment Division, Adamjee Court (1st Floor),
115-120, Motijheel C/A,
Dhaka-1000

14 NOV 2021
16.11.2021 MIS
Director (SRMIE)
DD-I (MIS)

Attention: Managing Director/CEO

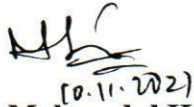
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3114/2021/734 dated September 26, 2021 based on which the hearing was conducted on October 04, 2021.

The Commission, considering your explanation vide letter dated 06.10.2021 has decided to dispose of the proceedings against Dhaka Bank Securities 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 such default.

For Bangladesh Securities and Exchange Commission,


[0.11.2021]

Md. Mahmudul Hasan
Assistant Director (Enforcement)
Mobile: 01515292195
Email: mahmudulhasan@sec.gov.bd

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.

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