



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

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

BSEC/Enforcement/3365/2022/412

Dated: May 16, 2023

Dhaka Bank Securities Limited

(TREC Holder #193)

Investment Division, Adamjee Court (1st Floor)

115-120, 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/3365/2022/305** dated **April 05, 2023** based on which the hearing was conducted on May 07, 2023.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated May 07, 2023 has decided to dispose of the matter 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 the default.

For Bangladesh Securities and Exchange Commission,

16.05.2023

Mohammed Abu Hena Mostafa

Assistant Director (Enforcement)

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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