

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3604/2024/647
Dated: July 3, 2024

By Special Messenger

01. Dhaka Bank Securities Limited
(DSE TREC Holder No# 193)
Investment Division, Adamjee Court (1st Floor),
115-120, Motijheel C/A, Dhaka-1000.
02. Mr. Md. Juel Reza
Compliance Authority
Dhaka Bank Securities Limited
(DSE TREC Holder No# 193)
Investment Division, Adamjee Court (1st Floor),
115-120, Motijheel C/A, Dhaka-1000.
03. Mr. Mintu Bhattacharjee
Accounts In-Charge
Dhaka Bank Securities Limited
(DSE TREC Holder No# 193)
Investment Division, Adamjee Court (1st Floor),
115-120, Motijheel C/A, Dhaka-1000.

Attention: Managing Director/CEO/Alleged Person

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/3604/2024/518 dated June 09, 2024 based on which the hearing was conducted on June 24, 2024.

The Commission, considering your adjustment of irregularities vide your letter dated 24.06.2024 has decided to dispose of the proceedings against you 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,



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 (SMMID), BSEC. With reference to the note dated: January 04, 2024.
- ✓ 3. PO to Executive Director (ICTD), BSEC.
4. Managing Director, Dhaka Stock Exchange PLC. With reference no. DSE/MCD/BSEC/2023/019/7242 Dated: December 14, 2023.

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