



Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3114/2021/ ৭৯
January 09, 2022

By Courier Service

Dhaka Bank Securities Limited
Investment Division
Adamjee Court (1st Floor)
115-120, Motijheel C/A
Dhaka-1000

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DA-1(MIS) (৩)

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/3114/2021/1066 dated December 05, 2021 based on which the hearing was conducted on December 15, 2021.

Considering the explanation vide letter dated December 15, 2021 submitted at the time of hearing, the Commission 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 the default.

For Bangladesh Securities and Exchange Commission.

Akram Siraj

Akram Siraj 09.01.2022

Assistant Director (Enforcement)

E-mail: akram@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O to Executive Director (SRI), BSEC
- ~~3. P.O. to Director (MIS), BSEC~~
4. Managing Director, DSE