



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

JIBON DIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH

E-6/C, Agargaon, Shere Bangla Nagar, Dhaka-1207

BSEC/Enforcement/2355/2016/134

Dated: April 26, 2017

By Courier Service

Managing Director
Dhaka Stock Exchange Limited
Stock Exchange Building
9/F Motijheel C/A Dhaka-1000.

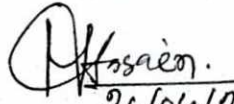
Sub: Non-compliance of securities related laws. WARNING

This refers to the commission's show cause-cum-hearing notice no. BSEC/Enforcement/2355/2016/437 dated November 14, 2016 based on which the hearing was conducted on December 15, 2016.

The Commission, considering your explanation vide letter dated December 14, 2016 submitted at the time of hearing, has decided to dispose of the proceedings against Managing Director, Dhaka Stock Exchange 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 stated default.

For Bangladesh Securities and Exchange Commission


26/04/2017

Md. Hossain Khan

Deputy Director

Copy for information:

Commissioner (Enforcement), BSEC
Executive Director (SRMIC), BSEC
Executive Director (Law), BSEC
Executive Director (MIS), BSEC
Chairman's Office



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E-6/C, Agargaon, Shere Bangla Nagar, Dhaka-1207

BSEC/Enforcement/2355/2016/132

Dated: April 26, 2017

By Courier Service

Head of Market Operation Department
Dhaka Stock Exchange Limited
Stock Exchange Building
9/F Motijheel C/A Dhaka-1000.

Attention: Managing Director/CEO

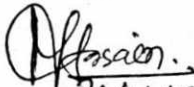
Sub: **Non-compliance of securities related laws. WARNING**

This refers to the commission's show cause-cum-hearing notice no. BSEC/Enforcement/2355/2016/38 dated January 18, 2017 based on which the hearing was conducted on January 23, 2017.

The Commission, considering your explanation vide letter dated January 23, 2017 submitted at the time of hearing, has decided to dispose of the proceedings against Head of Market Operation Department, Dhaka Stock Exchange 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 stated default.

For Bangladesh Securities and Exchange Commission


26/04/2017

Md. Hossain Khan

Deputy Director

Copy for information:

Commissioner (Enforcement), BSEC
Executive Director (SRMIC), BSEC
Executive Director (Law), BSEC
Executive Director (MIS), BSEC
Chairman's Office



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~~IBON BIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH~~

E-6/C, Agargaon, Shere Bangla Nagar, Dhaka-1207

BSEC/Enforcement/2355/2016/133

Dated: April 26, 2017

By Courier Service

Head of Listing Department
Dhaka Stock Exchange Limited
Stock Exchange Building
9/F Motijheel C/A Dhaka-1000.

Attention: Managing Director/CEO

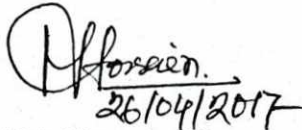
Sub: Non-compliance of securities related laws. WARNING

This refers to the commission's show cause-cum-hearing notice no. BSEC/Enforcement/2355/2016/437 dated November 14, 2016 based on which the hearing was conducted on December 15, 2016.

The Commission, considering your explanation vide letter dated December 14, 2016 submitted at the time of hearing, has decided to dispose of the proceedings against Head of Listing Department, Dhaka Stock Exchange 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 stated default.

For Bangladesh Securities and Exchange Commission


26/04/2017

Md. Hossain Khan

Deputy Director

Copy for information:

Commissioner (Enforcement), BSEC
Executive Director (SRMIC), BSEC
Executive Director (Law), BSEC
Executive Director (MIS), BSEC
Chairman's Office



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JIBON BIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH

E-6/C, Agargaon, Shere Bangla Nagar, Dhaka-1207

BSEC/Enforcement/2355/2016/131

By Courier Service

Dated: April 26, 2017

Chief Regulatory Officer
Dhaka Stock Exchange Limited
Stock Exchange Building
9/F Motijheel C/A Dhaka-1000.

Attention: Managing Director/CEO


Sub: Non-compliance of securities related laws. WARNING

This refers to the commission's show cause-cum-hearing notice no. BSEC/Enforcement/2355/2016/437 dated November 14, 2016 based on which the hearing was conducted on March 13, 2017.

The Commission, considering your explanation vide letter dated March 12, 2017 submitted at the time of hearing, has decided to dispose of the proceedings against Chief Regulatory Officer, Dhaka Stock Exchange 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 stated default.

For Bangladesh Securities and Exchange Commission


26/04/2017.

Md. Hossain Khan

Deputy Director

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Commissioner (Enforcement), BSEC
Executive Director (SRMIC), BSEC
Executive Director (Law), BSEC
Executive Director (MIS), BSEC
Chairman's Office