



## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2927/2020/12

Dated: January 02, 2022

**ISPI Securities Limited**  
(TREC Holder # 002)  
Ispahani Building (5th Floor)  
Mujib Road Agrabad.  
Chattogram

৯-১-২২  
জি (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/2927/2020/1140 Dated: December 15, 2021 based on which the hearing was conducted on December 29, 2021.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated December 29, 2021 which was submitted at the time of hearing, has decided to dispose of the matter against you (ISPI 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,

02.01.2022

**Mohammed Abu Hena Mostafa**  
Assistant Director (Enforcement)  
Phone: 01816-243634  
Email: mostafaanik@sec.gov.bd

**Copy for information:**

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Director (Enforcement), BSEC.
4. P.O to Executive Director (MIS)
5. M.D, DSE