



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2764/2019/ 596

Dated: October 14, 2019

By Special Messenger

MTB Securities Limited
(DSE TREC No. 197)
WW Tower (Level - 04),
68 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/2764/2019/292 dated June 25, 2019 based on which the hearing was conducted on July 10, 2019.

The Commission, considering your explanation vide letter no. MTBSL/CHO/2019/529 dated 10.07.2019 has decided to dispose of the proceedings against MTB 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,


14.10.19

Mohammad Al Masum Mirdha
Deputy Director (Enforcement)
Phone : 55007147
Email: almasum@sec.gov.bd

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Copy for information:

1. Managing Director, Dhaka Stock Exchange Ltd.
2. PS to the Honorable Chairman, BSEC.
3. PO to Executive Director (SRI), BSEC.
4. PO to Executive Director (MIS), BSEC