

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2764/2019/~~1212~~ 1222
Dated: December 21, 2021

MTB Securities Limited
(TREC Holder # 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/Enforcement2764/2019/1024 Dated: November 25, 2021 based on which the hearing was conducted on December 13, 2021.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated December 13, 2021 which was submitted at the time of hearing, has decided to dispose of the matter against you (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,

21.12.2021

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

02-01-2022

Dir (MIS)

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), BSEC
5. M.D, DSE

AHM