



# বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

সিকিউরিটিজ কমিশন ভবন, ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭, বাংলাদেশ।

**BSEC/Enforcement/3302/2022/1417**

**Dated: October 30, 2022**

Mr. Nani Gopal Das  
(Authorized representative of Mercantile Bank Securities Limited)  
(TREC Holder #224)  
Swadesh Tower (3rd Floor)  
41/6 Purana Paltan, 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/3302/2022/895 Dated April 25, 2022 based on which the hearing was conducted on July 17, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated July 17, 2022, has decided to dispose of the matter against Mr. Nani Gopal Das (Authorized representative of Mercantile 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,



30.10.2022

**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 Executive Director (SRI), BSEC
3. P.O to Executive Director (MIS)
4. M.D, DSE