

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3560/2024/468

Dated: May 14, 2024

01. **Shahjalal Islami Bank Securities Limited (DSE TREC # 233)**, DSL Building (Ground, 3rd, 4th & 5th Floor), 1/C, DIT Avenue, Ward # 9, P.S- Motijheel, Dhaka.
02. **Mr. Mahbub Rahman, Branch Manager of Mirpur Branch**, Shahjalal Islami Bank Securities Limited, DSL Building (Ground, 3rd, 4th & 5th Floor), 1/C, DIT Avenue, Ward # 9, P.S- Motijheel, Dhaka.
03. **Mr. Saiful Islam, Compliance Officer of Mirpur Branch**, Shahjalal Islami Bank Securities Limited, DSL Building (Ground, 3rd, 4th & 5th Floor), 1/C, DIT Avenue, Ward # 9, P.S- Motijheel, Dhaka.
04. **Mr. Md. Anwar Hossain, the Compliance Authority** of Shahjalal Islami Bank Securities Limited, DSL Building (Ground, 3rd, 4th & 5th Floor), 1/C, DIT Avenue, Ward # 9, P.S- Motijheel, Dhaka.


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/3560/2024/288 dated 31 March 2024 based on which the hearing was conducted on 30 April 2024.

The Commission, considering your explanation vide letter ref. SJIBSL/HO/IC&CD-204/2024/984 dated 30.04.2024 has decided to dispose of the proceedings against you/your's 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 such default.

For Bangladesh Securities and Exchange Commission,


19-05-2024

Rubel Hossain
Assistant Director (Enforcement)
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Copy for information:

1. Chairman Office, BSEC.
2. PO to Executive Director (MIAD), BSEC; with reference to DSE letter no. DSE/MCD/BSEC/2023/019/6466 dated 9th November 2023.
3. PO to Executive Director (ICTD), BSEC.
4. Managing Director, Dhaka Stock Exchange PLC.