



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3515/2023/1129

Dated: December 27, 2023

Shanta Securities Limited

(DSE TREC Holder No-039)

Glass House (Level-10, Eastern Side)

& (Level-04, Eastern Side), S.E (B)-2,

38, Gulshan Avenue, Gulshan-1, Dhaka-1212

Kind Attention: Managing Director/CEO, Shanta Securities Limited

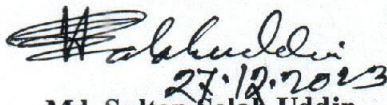
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/3515/2023/1034 Dated: November 26, 2023 based on which the hearing was conducted on December 18, 2023.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated December 18, 2023 which was submitted at the time of hearing, has decided to dispose of the matter against you 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,


27.12.2023

Md. Sultan Salah Uddin

Deputy Director (Enforcement)

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E-mail: ssuddin@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O to Executive Director (SRMIC) [Ref: SEC/SRMIC/94-235]
4. P.O to Executive Director (MIS)
5. P.O. to Director (Enforcement), BSEC.