

## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3115/2021/905  
October 26, 2021

By Courier Service

Shanta Securities Limited  
(DSE TREC holder no. 39)  
Room #603 (5<sup>th</sup> Floor), Stock Exchange Building  
9/F, 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/3115/2021/730 dated September 26, 2021 based on which the hearing was conducted on October 04, 2021.

Considering the explanation vide letter dated October 04, 2021 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against the Shanta 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

*Amirul*  
26.10.2021

Md. Amirul Islam  
Assistant Director (Enforcement)  
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**Copy for information:**

1. P.S. to Chairman, BSEC
2. P.O to Commissioner (Enforcement), BSEC
3. P.O to Executive Director (Enforcement), BSEC
4. P.O. to Executive Director (SRI), BSEC