

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

BSEC/Enforcement/3799/2024/126
Dated: January 19, 2024

By Special Messenger

Sheltech Brokerage Limited
(DSE TREC No#120)
Otobi Center (Level-5),
14 Dilkusha C/A, Dhaka-1000.

Md. Mesbah Uddin Khan
CEO
Sheltech Brokerage Limited
(DSE TREC No#120)
Otobi Center (Level-5),
14 Dilkusha C/A, Dhaka-1000.

Md. Abu Meraz
Compliance Officer
Sheltech Brokerage Limited
(DSE TREC No#120)
Otobi Center (Level-5),
14 Dilkusha C/A, Dhaka-1000.

Ali Ahammed
Accounts In-Charge
Sheltech Brokerage Limited
(DSE TREC No#120)
Otobi Center (Level-5),
14 Dilkusha C/A, Dhaka-1000.

Attention: Managing Director/CEO/Alleged Person

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/3799/2024/1152 dated December 29, 2024 based on which the hearing was conducted on January 06, 2025.

The Commission, considering your degree of non-compliances vide letter ref no# SBL/FA/BSEC/2025/006 dated January 06, 2025, 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.

You are hereby advised to follow up individual job responsibility of the employee and make them responsible about lapse found in the show cause letter.

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,


Md. Mahmudul Hasan
Assistant Director (Enforcement)
Email: mahmudulhasan@sec.gov.bd

Copy for information:

PS to Chairman, BSEC.

PO to Commissioner (All), BSEC.

PO to Executive Director (MIAD), BSEC. With reference to SMMI IDM no# BSEC/SRI/CCA/DSE/2021/537 dated April 30, 2023.

PO to Executive Director (ICTD), BSEC.

Managing Director, Dhaka Stock Exchange PLC. With reference to letter no# DSE/MCD/BSEC/2023/965 dated February 13, 2023.