



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2906/2020/1195

Date: September 13, 2022

Standard Bank Securities Limited

(DSE TREC Holder # 156)

63, Dilkusha C/A (3rd Floor, Southern Portion)

Dhaka-1000

Kind attention: Managing Director/CEO

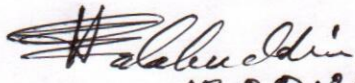
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/2906/2020/1050 Dated: August 03, 2022 based on which the hearing was conducted on September 11, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter No. SBSL/BSEC/NCH/2022/452 dated September 11, 2022 which was submitted at the time of hearing, has decided to dispose of the matter against you (Standard 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,


13.09.2022

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 (MIS)
4. P.O. to Director (SRMIC), BSEC.
- ✓ 5. Managing Director, Dhaka Stock Exchange Ltd.