

## Bangladesh Securities and Exchange Commission

“মুজিববর্ষের অঙ্গীকার  
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”

BSEC/Enforcement/3162/2021/1034

**By Special Messenger**

Dated: November 28, 2021

Subvalley Securities Limited  
(DSE TREC holder no.168)  
Room # 437, DSE Annex Building (3rd Floor)  
9/E Motijheel C/A, Dhaka-1000

**Attention: Managing Director/CEO**

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

06/12/2021  
08/11/2021  
Director (MIS)  
DD-I (MIS)

This refers to the Commission's show cause cum hearing notice No.BSEC/Enforcement/3162/2021/946 dated November 07, 2021 based on which the hearing was conducted on November 15, 2021.

The Commission, considering your explanation vide letter dated November 15, 2021 has decided to dispose of the proceedings against Subvalley 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 such default.

For Bangladesh Securities and Exchange Commission

Mahmuda Shireen

28.11.21

**Mahmuda Shireen**

Deputy Director (Enforcement)

E-mail: [shireen@sec.gov.bd](mailto:shireen@sec.gov.bd)

**Copy for information:**

1. P.S. to Chairman, BSEC
2. P.O. to Executive Director (SRI), BSEC
3. P.O. to Executive Director (MIS), BSEC
4. Managing Director, Dhaka Stock Exchange Limited