



Bangladesh Securities and Exchange Commission

শতাব্দীর মুজিববাহুরি হস্তাকার
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার

BSEC/Enforcement/3042/2021/47
Dated: January 09, 2021

By Special Messenger

Surma Securities Holding Co. Limited
DSE TREC No.111
Room # 627, 9/E,
Motijheel C/A, Dhaka-1000.

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16.01.2021
DD-1 (MIS)

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/3042/2021/1237 dated December 22, 2021 based on which the hearing was conducted on December 29, 2021.

The Commission, considering your explanation vide letter dated 29.12.2021 has decided to dispose of the proceedings against Surma Securities Holding Co. 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,

MLC
09.01.2022

Md. Mahmudul Hasan
Assistant Director-v (Enforcement)
Mobile: 01515292195
Email: mahmudulhasan@sec.gov.bd

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.