



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3323/2022/ 1192
Dated: September 11, 2022

By Special Messenger

Swadesh Investment Management Ltd.
UTC Building, 11th Floor, 8 Panthapath,
Kawran Bazar Dhaka-1215.

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/3323/2022/1010 dated July 27, 2022 based on which the hearing was conducted on August 07, 2022.

The Commission, considering your explanation vide letter dated 07.08.2022 has decided to dispose of the proceedings against Swadesh Investment Management Ltd. 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,

Md. Mahmudul Hasan
Assistant Director (Enforcement)
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Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.