

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/1043/2013/520

Dated: March 30, 2022

Transcon Securities Ltd.
(TREC Holder # 055)
PBL Tower (10th Floor)
7 North Commercial Area, Gulshan-2
Dhaka-1212

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 1043/2013/218 Dated February 06, 2022 based on which the hearing was conducted on February 24, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated February 24, 2022 which was submitted at the time of hearing, has decided to dispose of the matter against you (Transcon Securities 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 the default.

For Bangladesh Securities and Exchange Commission,

30.03.2022

Mohammed Abu Hena Mostafa
Assistant Director (Enforcement)
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Email: mostafaanik@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Director (Enforcement), BSEC.
4. P.O to Executive Director (MIS)
5. M.D, DSE