

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3049/2021/247

By Special Messenger

February 07, 2022

Trustee Securities Ltd.
(DSE TREC No.162)
Room # 527, 9/E, Motijheel C/A
Dhaka-1000

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/3049/2021/394 dated June 13, 2021 and subsequent letter No. BSEC/Enforcement/3049/2021/487 dated August 12, 2021 based on which the hearing was conducted on August 26, 2021. This also refers to the Commission's Order No. BSEC/Enforcement/3049/2021/1068 dated December 05, 2021.

The Commission, considering your explanation vide letter Ref: TSL/BSEC/2021/068 dated August 24, 2021 and TSL/BSEC/2021/102 dated December 30, 2021 has decided to dispose of the proceedings against Trustee 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 such default.

For Bangladesh Securities and Exchange Commission

Mahmuda Shireen

07.02.22

Mahmuda Shireen
Deputy Director (Enforcement)
E-mail: 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