



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3273/2022/ 761

By Special Messenger

Dated: October 08, 2023

Vertex Stock & Securities Limited
City Centre (13th Floor, Level-14)
Unit #13-A & 13-B, 90/1,
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/3273/2022/583 dated April 12, 2022 based on which the hearing was conducted on April 21, 2022.

The Commission, considering your explanation vide letter dated 21.04.2022 has decided to dispose of the proceedings against Vertex Stock & 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

08.10.2023

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

1. PS to Chairman, BSEC.
2. PO to Executive Director (MIAD), BSEC- With reference to memo No. BSEC. BSEC/SRI/DSE/INS-(Sep to Dec)/2021/111 Dated: March 01, 2022.
3. PO to Executive Director (ICTD), BSEC.
4. Managing Director, Dhaka Stock Exchange Limited.