

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3400/2022/281

Dated: March 21, 2024

Vertex Stock and Securities Ltd. (DSE TREC # 092)
City Centre (13th Floor, Level-14)
Unit # 13-A & 13-B, 90/1
Motijheel C/A, Dhaka-1000.

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/3400/2022/1651 dated 13 December 2022 based on which the hearing was conducted on 21 December 2022.

The Commission, considering your explanation vide letter ref. VSSL/953/2022 dated 21.12.2022 has decided to dispose of the proceedings against Vertex Stock and 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.

By order of the Bangladesh Securities and Exchange Commission,


21-03-2024

Rubel Hossain
Assistant Director (Enforcement)
E-mail: rubel@sec.gov.bd
Mobile : 01922-151361.

Copy for information:

1. Chairman Office, BSEC.
2. PO to Executive Director (MIAD), BSEC; with reference to DSE letter ref. DSE/2021/IED/8569 dated 21 December 2021.
3. PO to Executive Director (ICTD), BSEC.
4. Managing Director, Dhaka Stock Exchange PLC.