

Quarterly Review

April-June 2024



Ensuring Stability and Discipline towards Advancement of the Economy

Bangladesh Securities and Exchange Commission

Quarterly Review

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Bangladesh Securities and Exchange Commission

Securities Commission Bhaban

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The Bangladesh Securities and Exchange Commission (BSEC) was established on 8th June, 1993 as the regulator of the country's capital market through enactment of the Bangladesh Securities and Exchange Commission Act, 1993. The objectives of the Commission are protecting the interest of investors in securities, developing the securities market and making rules for matters connected therewith or ancillary thereto. The Commission consists of the Chairman and four Commissioners who are appointed by the Government. The Chairman acts as the chief executive of the Commission. The Commission makes securities related rules and regulates the market. The Commission is a statutory body and attached to the Ministry of Finance.

PART- I

1. Various workshops, seminars, symposium and other special activities related to the capital market

1.1 Discussion program on ‘Women in Capital Market’

On May 22, 2024, Bangladesh Securities and Exchange Commission (BSEC) organized a discussion program titled ‘Women in Capital Market’ with the aim of encouraging the contribution of women in every field including the country’s economy and the greater participation of women in the financial sector and the capital market. At the same time, the ‘Independence Golden Jubilee Award 2023’ ceremony was organized for intermediary institutions working in the capital market. Honorable Speaker of Bangladesh National Parliament and State Minister for Finance were present as special guests.

Commissioner Dr. Sheikh Shamsuddin Ahmed delivered welcome speech on the occasion. He mentioned that the constitution of Bangladesh has guaranteed equal rights for men and women. In Bangladesh, there are women in many important positions including Prime Minister, Speaker. Women’s participation in the economy of Bangladesh is increasing. Women also actively participate in the capital market. BSEC continues all legal cooperation including training of women.

Mr. Md. Abdur Rahman Khan, FCMA, Secretary of Financial Institutions Department paid tribute to Father of the Nation Bangabandhu Sheikh Mujibur Rahman in his speech as a special guest. At the same time, he expressed the opinion that the progress of women in Bangladesh is much better than in neighboring countries. He also said that without the development of the capital market, the state cannot be developed. He called on those concerned to fulfill their responsibilities more diligently to bring back the confidence of the capital market.

In the speech of the special guest, the state minister for Finance said, ‘Capital market is very important for the country’s economy. A country’s economy cannot run only through the money market, the capital market is the only driving force for long-term financing of the economy’. He mentioned that various steps taken by BSEC to increase the participation of women in the capital market and welcomed the BSEC initiatives. He urged everyone to participate in the capital market with interest and become smart investors.

In the speech of the chief guest, Bangladesh is at the top position in the world in women empowerment and it is a matter of pride that women leadership is increasing day by day in the country. He urged economic empowerment of women. He felt that ‘women are performing their duties admirably in all areas of the country.’ The capital market is a specialized field, where the potential for women’s participation is immense. The participation of women in the country’s capital market is less than that of men. He asked the BSEC to be more proactive in increasing the participation of women in the capital market and advised to increase the awareness regarding the capital market and investment across the country. He extended his sincere congratulations to all the recipients of Independence Golden Jubilee Awards.

Chairman of BSEC started the speech by congratulating the guests, the ‘Independence Golden Jubilee Award 2023’ winners and their representatives and everyone present. He also said, ‘Economic development of the country is not possible only with the money market. The rational power of money market and capital market can drive the economy of a country forward. So, we are repeatedly saying that short-medium-term businesses should be in the money market and long-term investment finance needs to be in the capital market.’ BSEC and its two affiliates BASM and BICM are working to spread investment education across the country. Work should be done to increase the participation of women in the capital market and informed everyone that BSEC is already working on introducing Orange Bonds and Pink Bonds specifically for women. He pointed out that there are many alternative tools in the capital market for financing, including Real Estate Investment Trust (REIT) and that government development projects have opportunities for financing through the capital market. He expressed optimism that capital market intermediary institutions have been honored through the Independence Golden Jubilee Award and through this the capital market intermediary institutions will be able to encourage mentality and competition to provide better services.

Ms. Mantasha Ahmed, President of Association of Fashion Designers of Bangladesh, Ms. Sangeeta Ahmed, Director of Unilever Bangladesh, Ms. Shamima Akhtar, Vice President of Association of Asset Management Companies and Mutual Funds, Ms. Monija Chowdhury, Senior Vice President of Bangladesh Women’s Chamber of Commerce and Industry, E-Commerce Association of Bangladesh and Vice President of FBCI, Ms. Shami Kaiser participated in the panel discussion moderated.

In recognition of their contribution to the capital market, intermediary institutions are awarded in three categories for the year 2023. IDLC Securities Limited, BRAC EPL Stock Brokerage Limited, Shanta Securities Limited were awarded in the ‘Stock Broker/Dealer’ category respectively. The awardees in the ‘Merchant Banker’ category are Prime Bank Investment Limited, Islami Bank Capital Management Limited, Southeast Bank Capital Services Limited respectively. The awardees in the ‘Asset Management Company’ category are Ekasia SRIM Limited, ICB Asset Management Company Limited respectively.

On the occasion, BSEC Employees Integrity Award, 2023-’24 was also announced.

Also, a smart helpline with artificial intelligence named ‘Sanchayita’ was inaugurated on the occasion for question and answer and information related to the capital market. The helpline was inaugurated and will be functional in time.



1.2 Annual meeting of IOSCO in Greece, Bilateral meeting with Monetary Authority of Singapore and Securities and Futures Commission, Hong Kong and Astana Financial Services Authority (AFSA) and Signing of MoU with International Financial Services Centers Authority

A bilateral Memorandum of Understanding (MoU) was signed between the International Financial Services Centers Authority (IFSCA) of India and the Bangladesh Securities and Exchange Commission (BSEC). The signing of the MoU is expected to enhance mutual cooperation between BSEC and IFSCA India.

Bilateral meeting held with a delegation of Astana Financial Services Authority (AFSA) Kazakhstan and BSEC. In the bilateral meeting, AFSA and BSEC hoped to increase mutual cooperation and work together on various issues related to the capital market. In the bilateral meeting, AFSA and BSEC hoped to increase mutual cooperation and work together on various issues related to the capital market. The BSEC Chairman highlighted the various aspects of Bangladesh's economic progress and prospects and mentioned the steps taken by BSEC for the development of the capital market.

Also, in this year's annual meeting of IOSCO, Bangladesh Securities and Exchange Commission (BSEC) has been nominated as the host for the 2024 annual meeting and conference program of IOSCO's 'Growth and Emerging Markets Committee'.

1.3 Real Estate Investment Fund

Bangladesh Securities and Exchange Commission (Real Estate Investment Trust Fund) Rules, 2024 have been published in the form of Bangladesh Gazette with the aim of creating financing opportunities in the real estate sector through the capital market and opening up new areas of investment. According to the rules, Real Estate Investment Fund (REIT) has to be formed in the form of trust and money can be raised through the issue of prospectus to registered investors as per the Registration Act, 1908 subject to the prior approval of the concerned Trust Deed. Fund unit certificates will be issued to the investors according to their subscription amount. Funds raised under the Fund will be invested in the real estate sector through REIT Fund Managers registered with the Commission. Fund investors will receive annual dividends from the profits of money invested in real estate. As every REIT fund is mandatorily listed on the stock exchange, investors can also make capital gains by buying and selling units of Real Estate Investment Trust Fund. Some of the significant features of Real Estate Investment Trust Fund are: The minimum size of this fund will be 200 (two hundred) crore taka; which can be raised through private or public offer or a combination of both types of offer, this fund can be formed as fixed term or non-term but the tenure structure of the fund will be determined according to the type of investment. Also, any REIT fund can be invested in Real Estate Sector following any investment method of development scheme or rental scheme. However, in the case of Development scheme, the fund must be formed as a term fund, the maximum term of which will be 10 years and the minimum term of the fund formed under the Rental Scheme will be 15 years. Real Estate Investment Trust Fund can be structured as either a general fund or a Shariah based fund. For the valuation of real estate or assets under REIT fund, the valuation process should be completed through the valuer appointed by the commission or the commission's panel of auditors. Also, the technical professional will complete the technical valuation process in each valuer valuation process. Any asset manager or merchant banker registered with the Commission or any public limited company can conduct REIT fund management activities subject to obtaining a certificate of registration as a REIT manager.



1.4 Workshop on ‘Laws, Rules and Guidelines for Implementation of Right to Information’

As part of the implementation of the annual action plan of Bangladesh Securities and Exchange Commission (BSEC), a workshop was held at BSEC’s Multipurpose Hall on 10 June 2024 with the participation of representatives of asset management companies working in the capital market to increase public awareness about the Right to Information Act and Regulations.

Honorable Commissioner of the commission’s information rights appeal officer and commissioner of Right to Information was present as a separate speaker in the workshop.



PART- II

02. Corporate Finance

Corporate Finance Division of the Commission performs the works related to the approval of capital raising through issuance of equity securities, debt securities and sukuk under public and private offer. In addition to that, the division also performs the tasks related to the right issue, bonus share issue of listed company, direct listing of the securities to the stock exchange and issuance of asset backed securities. The Commission has accorded consent to the companies/issuers who are eligible under the following rules:

- ▶ Securities and Exchange Commission (Issue of Capital) Rules, 2001
- ▶ Bangladesh Securities and Exchange Commission (Public Issue) Rules, 2015
- ▶ Bangladesh Securities and Exchange Commission (Qualified Investor Offer by Small Capital Companies) Rules, 2022
- ▶ Securities and Exchange Commission (Rights Issue) Rules, 2006
- ▶ সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (সম্পদভিত্তিক সিকিউরিটিজ ইস্যু) বিধিমালা, ২০০৪
- ▶ Bangladesh Securities and Exchange Commission (Debt Securities) Rules, 2021

Issue of Capital:

The Commission has given consent to 4 (four) issuer companies for rising capital of Tk. 2,971.31 crore under Securities and Exchange Commission (Issue of Capital) Rules, 2001.

Capital Raising through Private and Public Offer:

The Commission has accorded consent to 3 (three) companies for rising capital through issuance of bond of Tk. 2,878.00 crore under Bangladesh Securities and Exchange Commission (Debt Securities) Rules, 2021. The details are given below:

Medium of	No. of Companies	Amount in BDT (Crore)		
		Public Offer (BDT. Cr.)	Private Offer (BDT. Cr.)	Total Offer (BDT. Cr.)
Zero-Coupon Bond	2	-	28,230,000,000	28,230,000,000
Unsecured Coupon Bearing Bond	1	-	550,000,000	550,000,000
Total	3	-	28,780,000,000	28,780,000,000

Raising capital through issuance of Bonus share by listed companies:

The Commission has accorded consent to 11 (eleven) listed companies for raising capital through issuance of bonus shares of Tk. 642.92 crore under Rule 3 of Securities and Exchange Commission (Issue of Capital) Rules, 2001 as per the requirements of the notification no. BSEC/CMRRCD/2009-193/46/Admin/138 dated 03 October 2022.

03. Capital Market Regulatory Reforms and Compliance

The functions of the CMRRC department are as follows:

1. Prepared and sent the draft of the Capital Market Law to the Financial Institutions Department;
2. Formulation of capital market regulations;
3. Promulgation of orders, instructions and notifications from time to time for the benefit of the capital market and investors;
4. Prepared draft answers to capital market related questions raised in Bangladesh National Parliament;
5. Prepare the proceedings of the meeting related to the capital market held in the Parliamentary Standing Committee and take appropriate action in view of the decision of the meeting; and
6. Providing opinions on draft laws sent from various ministries/departments.

The following amendments/orders/instructions have been issued by the CMRRC Division: Which detailed description is inserted on the website of the Commission.

Sl.	Subject	Classification	Reference No.
1	Directive regarding shifting of a listed company or issuer of listed securities to Z category	Directive	BSEC/CMRRCD/2009-193/77, Dated: 20 May 2024
2	Directive regarding trading of equity securities at Alternative Trading Board	Directive	BSEC/CMRRCD/2022-409/78, Dated: 20 May 2024
3	Directive regarding audit of all registered entities through the panel of auditors of BSEC	Directive	BSEC/CMRRCD/2009-193/79, Dated: 12 June 2024
4	Inclusion of at least 1 (one) female independent director in the Board of Directors of the company by amending Corporate Governance Code-2018	Notification	BSEC/CMRRCD/2009-193/76/ PRD/151, Dated: 02 April 2024 (Published in the Bangladesh Gazette on 29 April 2024)
5	Bangladesh Securities and Exchange Commission (Real Estate Investment Trust Fund) Rules, 2024 has been sent for publication in the Bangladesh Gazette	Notification	BSEC/CMRRCD/2023-422/80/ PRD/152, Dated: 13 June 2024

04. Registration

Registration Department Issuance and Renewal of certificates to stock dealers, stock brokers, authorized representatives, asset managers, market makers, trustees, fund managers, approval of digital booths, opening of branch offices, transfer of offices of stock dealers/stock brokers/merchant banks and other market intermediaries.

Registration Activities for the quarter April to June 2024:

Sl.	Type of Certificate	Name of the Concerned Rules	Number of Certificate Issued	Number of Certificate Renewed/Annual Fee Received	Permission for Branch Opening of SB	Relocation/ Shifting/Name Change of MB and SD/SB
1	Stock Dealer (DSE)	সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (স্টক ডিলার, স্টক ব্রোকার ও অনুমোদিত প্রতিনিধি) বিধিমালা, ২০০০	01	85	-	Stock dealer certificates of 2 companies have been renamed
	Stock Broker (DSE)	-ঐ-	01	89	06	Stock Broker certificates of 2 companies have been renamed
2	Stock Dealer (CSE)	-ঐ-	-	58	-	-
	Stock Broker (CSE)	-ঐ-	-	65	-	-
3	Authorized Representative (DSE)	-ঐ-	-	189	-	-
4	Authorized Representative (CSE)	-ঐ-	-	21	-	-
5	Merchant Bank (MB)	সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (মার্চেন্ট ব্যাংকার ও পোর্টফোলিও ম্যানেজার) বিধিমালা, ১৯৯৬	-	-	-	-
6	Asset Management Company	সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (মিউচুয়াল ফান্ড) বিধিমালা, ২০০১	02	-	-	-
7	Security Custodian	সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (সিকিউরিটি কাস্টোডিয়াল সেবা) বিধিমালা, ২০০৩	-	-	-	-
8	Depository Participants	ডিপজিটরি (ব্যবহারিক) প্রবিধানমালা, ২০০৩	01	83	-	DP certificate of a company has been renamed

Sl.	Type of Certificate	Name of the Concerned Rules	Number of Certificate Issued	Number of Certificate Renewed/Annual Fee Received	Permission for Branch Opening of SB	Relocation/ Shifting/Name Change of MB and SD/SB
9	Trustee of Debt Securities	Bangladesh Securities and Exchange Commission (Debt Securities) Rules, 2021	04	-	-	-
10	Trustee	Bangladesh Securities and Exchange Commission (Alternative Investment) Rules, 2015	-	-	-	-
11	Trustee	সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (মিউচুয়াল ফান্ড) বিধিমালা, ২০০১	-	-	-	-
12	Fund Manager	Securities and Exchange Commission (Alternative Investment) Rules, 2015	01	-	-	-
13	Custodian for Mutual Fund	সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (মিউচুয়াল ফান্ড) বিধিমালা, ২০০১	-	-	-	-
14	Credit Rating Company	Bangladesh Securities and Exchange Commission (Credit Rating Companies) Rules, 2022	-	-	-	-
15	Permission of Digital Booth	Directive Date 13 December 2020	07	-	-	-
16	Market Maker	বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন (বাজার সৃষ্টিকারী) বিধিমালা, ২০১৭	-	-	-	-
17	Commodity Exchange	Bangladesh Securities and Exchange Commission (Commodity Exchange) Rules, 2023	-	-	-	-

05. Market Surveillance and Intelligence

Surveillance Activities:

Surveillance Department continuously monitors the securities market to detect any irregularities, manipulative activities or unusual trading patterns that may affect the normal course and nature of the capital market. These include securities price movements, trading volume and order flow. The surveillance department actively monitors the market movements and also analyzes various irregular transactions. It also monitors possible violations of securities laws, market manipulation, insider trading and other fraudulent activities that may undermine the transparency of the capital market and takes timely steps to protect the confidence and interests of investors by ensuring transparency, accountability of the capital market. Major activities of the Surveillance Department are as follows:

1.0 Capital Market Monitoring and Supervision:

As part of daily market surveillance, securities price movement, trading volume and order flow etc. are monitored and necessary analysis performed through ‘Instant Watch Market Surveillance System’ to detect market irregularities, suspicious transactions and misconduct.

2.0 Market Intelligence:

Surveillance Department are ensuring prudent use of information through monitoring of ‘Business Intelligence’ module of ‘Instant Watch Market’ system, stakeholders’ websites, relevant news and reports for 360-degree monitoring and in-depth investigation of market irregularities and suspicious transactions.

3.0 Enquiry & Investigation:

To identify suspicious and manipulative transactions in the first instance, the Surveillance Department shall collect evidence, and analyze data. Then, to identify the persons or institutions involved. Enquiry or investigation conducted by BSEC or through the Stock Exchange, subject to the approval of the Commission and after that, Surveillance Department sent enquiry or investigation report to the Enforcement Department to take necessary action against the relevant persons or institutions concerned.

4.0 Necessary steps taken by Surveillance Department on enquiry or investigation:

The following investigation or enquiry reports received from DSE and CSE have been forwarded from Surveillance Department to Enforcement Department for necessary action:

Sl.	Name of the Concerned Company/Matter	Received from	Date of Sending to Enforcement Department
1	Pragati Life Insurance Limited	DSE	14 May 2024

5.0 Meeting about market related issues organized Surveillance:

The Surveillance Department organizes the following meetings related to capital market supervision and development:

Sl.	Particulars of the Meeting	Participants	Date of Meeting
1	A meeting was held to discuss about present market scenario and other related issues for the development of the capital market	Officials of Surveillance Department, DSE, DBA, Top Broker's representative	22 April 2024
2	A meeting was held to discuss about present capital market scenario and ICB's role in development of the capital market	Officials of Surveillance Department and Managing Director along with Portfolio Management Committee of ICB	03 June 2024
3	A meeting was held to discuss about present market scenario and other related surveillance issues for the development of the capital market	Officials of BSEC Surveillance and DSE Surveillance	05 June 2024
4	A meeting was held to discuss about present capital market scenario and ICB's role in the capital market	Officials of BSEC Surveillance, Managing Director of ICB, CEO of ICB Asset Management Company Ltd. along with relevant officials	06 June 2024

6.0 Other activities:

- Daily alerts analysis from the system and take necessary measures to dispose of the issue, and
- Provided necessary information requested by different Department or Enquiry or Investigation team.

06. Supervision of Market and Market Intermediaries

In order to protect the interest of investors in securities, to increase the confidence of investors towards the capital market and to develop the securities market, SMMI Department supervises and regulates the activities of Stock Dealers/Stock Brokers, Depository Participants, Merchant Bankers, Credit Rating Companies, Securities Custodian, Asset Management Companies and other market intermediaries. The department also deals with the complaints lodged by the investors. The following activities, among others, were performed by this Department:

A. Settlement of Complaints of Investors:

SMMI department is responsible for settling the complaints of the investors of securities market. Since 30 September 2019, the investors have been submitting their complaints online through Customer Complaint Address Module (CCAM). Using the Module, the investors can easily track the current status of their complaints online. A summary of the complaints lodged by investors through CCAM are furnished below:

Type of Institutions against which Complaint Received	Number of Complaints Received	Resolved	Under Process
Stock Broker/Stock Dealer	21	20	1
Merchant Bank	-	-	-
Asset Manager	1	1	-
Custodian	-	-	-
CDBL	7	7	-
Total	29	28	1

In addition to the complaints lodged through CCAM, investors also lodged complaints to the Commission manually. A summary of the said complaints are furnished below:

Type of Institutions against which Complaint Received	Previous Unresolved Complaints	Complaints Received during the Period	Total Complaints	Sent for DSE	Resolved	Uploaded in CCAM	Under Process
Stock Broker/Stock Dealer	1	13	14	9	1	1	3
Total	1	13	14	9	1	1	3

B. Exchange of Information with Government Organizations:

An online Platform called External Data Request Processing (EDRP) was introduced to facilitate exchange of information with different government agencies including Anti-corruption Commission (ACC). As per request of different government organizations, information has been provided to them using the platform. Summary is shown in the table below:

Name of the Institutions who Requested Information	Number of Letters Received	Number of Letters against which Information Provided	Under Process
Anti-Corruption Commission	137	130	7
Criminal Investigation Department	26	23	3
National Board of Revenue	4	2	2
Others	1	1	-
Total	168	156	12

C. Action taken on the inspection reports submitted by the inspection teams:

As per instructions of the Commission, Chittagong Stock Exchange Limited (CSE) and Dhaka Stock Exchange Limited (DSE) conducted routine inspection on the TREC holder companies and submitted reports to the Commission. During April-June 2024, the following actions were taken on the inspection reports received by SMMI Department.

Inspection Conducted by	Previous Reports under Examination	Reports Received during the Period	Total Reports	Sent for Enforcement Action	Disposed of with Warning Letter Issued by SRI Department	Disposed of without Any Action	Under Process
DSE	1	110	111	30	1	51	29
CSE	-	10	10	-	-	10	-
Total	1	120	121	30	1	61	29

D. Examination of Audited Financial Statements of TREC holder companies:

SMMI Department, in collaboration with the stock exchanges, examines the Audited Financial Statements (AFS) of TREC holder companies. During April-June 2024, the following activities have been performed regarding examination of audited financial statements of TREC holders:

Particulars	Number of TREC Holder Companies	
	CSE	DSE
Examination of the Audited Financial Statements of TREC Holder companies by the stock exchanges	15	64
Conduction of meeting with the TREC holder companies by the stock exchanges	-	8

E. Appointment of Managing Director/CEO of Merchant Bankers:

The following activities have been performed by the Department regarding appointment of Managing Director/CEO of Merchant Bankers:

Matter of Application	Number of Previous Applications	Number of Applications Received during the Period	Total Number of Applications	Approve by the Commission	Decline by the Commission	Under Process
Appointment of Managing Director/CEO	1	2	3	1	1	1
Time extension for appointment of Managing Director/CEO in vacant post	-	-	-	-	-	-
Total	1	2	3	1	1	1

07. Enforcement

The Enforcement Department takes legal measures, including imposition of monetary penalty, considering the intensity of the violation of securities laws against the accused in the capital market. Inspections, investigations and enquiries are carried out under the securities laws by the Commission. On the basis of the violations mentioned in the inspection, enquiry and investigation report, show cause cum hearing notice is issued to the accused for violation of securities related laws. After conducting hearing and obtaining explanation from the accused, the Commission takes legal action against the accused in accordance with the Securities Laws.

The Enforcement actions taken by the Commission against the Issuer Companies, Stock Broker, Stock Dealers, Merchant Bankers, Authorized Representatives and other concerned due to non-compliance of securities related laws during the period April to June 2024, are furnished below:

SI.	Particulars	Penalty	Warning	Dispose off	Total
1	Issuer Company/Director	2	3	0	5
2	Stock Broker/Stock Dealer/ Authorized Representative	2	23	0	25
3	Merchant Bank	0	1	0	1
4	Asset Management Company	0	2	0	2
5	Credit Rating Companies	0	0	0	0
6	Custodians	0	0	0	0
7	Chartered Accountants	0	0	0	0
8	Investor	12	48	2	62
9	Stock Exchange	0	0	0	0
10	Others	3	86	0	89
	Grand Total	19	163	2	184

08. Supervision and Regulation of Issuer Companies

SRIC Department of the Commission supervises the activities of stock exchanges, over the counter (OTC) markets and issuer companies in accordance with the securities laws. Besides, the department also resolves complaints received against issuer companies under the securities laws. The functions of SRIC are enumerated below:

- a. Compliance and monitoring of board meetings, Annual General Meeting, EGM, e-voting and its relevant compliances of issuer companies;
 - b. Compliance and monitoring of Price Sensitive Information (PSI) or Material information and insider trading (if any);
 - c. Compliance and monitoring of declaration of buy, sell or transfer of shares by sponsors & directors and placements shareholders;
 - d. Compliance and monitoring periodical shareholding reports and other submissions as required by the Listing Regulations;
 - e. Monitoring issues related to declaration of no dividend and undistributed dividend;
 - f. Monitoring all activities of stock exchanges (except securities transactions) and affairs of CCBL;
 - g. Reforms of Z-Category companies & OTC Companies;
 - h. Monitoring of the companies having paid-up capital less than 30.00 Cr;
 - i. Monitoring and compliance or inter-company's loan;
 - j. Monitoring of different traded or non-traded debt instruments;
 - k. Comments on merger, amalgamation/acquisition;
 - l. Comments on Prospectus of IPO/RPOs, comments on legal issues from LSD;
 - m. Addressing the all sort of complaints against listed issuer companies;
 - n. Approval of transfer of share of listed companies outside the stock exchanges;
 - o. Departmental report relating to publication of monthly, quarterly and annual report which send to the Ministry as well as Parliament; and
 - p. Any other job assigned by the Commission.
- In the light of the above mentioned regular functions, the SRIC Department performs the following special functions to bring dynamism in the capital market during the period of April-June, 2024:
 - ✓ Capital Market related 37 (thirty seven) complaints have been settled out of 32 (thirty two) and the rest 05 (five) are under processing; and
 - ✓ Compliance and monitoring of board meetings, Annual General Meeting, EGM, e-voting and its relevant compliances of 55 (fifty five) issuer companies.



Complaint against Listed Companies: (April to June 2024)

Nature of Complaint	No. of Complaints	Under Process	Resolved
Non-payment or delay in payment of dividend	26	-	26
Non-payment of debenture installment	-	-	-
Regarding transfer of shares	3	3	-
Non-receipt of letter of rights share offering	1	1	-
Non-receipt of annual report	-	-	-
Refund warrant	-	-	-
Non-demat of shares	-	-	-
Miscellaneous	7	1	6
Total	37	5	32

NB: This is the status of complaints forwarded by the Bangladesh Securities and Exchange Commission, lodged directly at DSE and via Customer Complaint Address Module (CCAM)

List of Companies who hold its board meetings, Annual General Meeting, EGM,
e-voting and its relevant compliances

Sl.	Nature of Companies	Year-End	Date of AGM	% of Dividend		Record Date	Declaration Date
				Cash	Stock		
1	Miracle Industries Limited	202306	15.04.2024	-	-	29.02.2024	26.09.2023
2	Summit Power Ltd.	202306	18.04.2024	10.00	-	14.03.2024	22.02.2024
3	Robi Axiata PLC.	202312	24.04.2024	10.00	-	18.03.2024	18.02.2024
4	Eastern Bank PLC.	202312	29.04.2024	12.50	12.50	02.04.2024	11.03.2024
5	IDLC Finance PLC.	202312	29.04.2024	15.00	-	04.04.2024	13.03.2024
6	United Insurance Company Ltd.	202312	30.04.2024	10.00	-	21.03.2024	28.02.2024
7	Eastland Insurance Company Ltd.	202312	30.04.2024	10.00	-	02.04.2024	10.03.2024
8	Grameenphone Ltd.	202312	02.05.2024	125.00		29.02.2024	06.02.2024
9	Heidelberg Cement Bangladesh Ltd.	202312	08.05.2024	25.00	-	02.04.2024	07.03.2024
10	LafargeHolcim Bangladesh Ltd.	202312	14.05.2024	50.00	-	24.03.2024	03.03.2024
11	Unilever Consumer Care Limited	202312	14.05.2024	300.00	-	02.04.2024	10.03.2024
12	DBH Finance PLC	202312	16.05.2024	15.00	-	09.04.2024	12.03.2024
13	IPDC Finance Limited	202312	16.05.2024	5.00	5.00	24.04.2024	31.03.2024
14	Sonali Aansh Industries Limited	202306	21.05.2024	10.00	100.00	07.12.2023	06.11.2023

Sl.	Nature of Companies	Year-End	Date of AGM	% of Dividend		Record Date	Declaration Date
				Cash	Stock		
15	Reckitt Benckiser (Bangladesh) PLC	202312	28.05.2024	550.00	-	25.04.2024	31.03.2024
16	City Bank PLC.	202312	30.05.2024	15.00	10.00	23.04.2024	28.03.2024
17	Uttara Bank PLC.	202312	30.05.2024	17.50	12.50	07.05.2024	16.04.2024
18	Prime Bank PLC.	202312	30.05.2024	17.50	-	07.05.2024	16.04.2024
19	BRAC Bank PLC.	202312	30.05.2024	10.00	10.00	07.05.2024	03.04.2024
20	Mercantile Bank PLC.	202312	30.05.2024	10.00	-	08.05.2024	17.04.2024
21	Shahjalal Islami Bank PLC.	202312	30.05.2024	14.00	-	08.05.2024	18.04.2024
22	Mutual Trust Bank PLC.	202312	03.06.2024	10.00	-	09.05.2024	18.04.2024
23	Pubali Bank PLC.	202312	05.06.2024	12.50	12.50	12.05.2024	21.04.2024
24	Dutch-Bangla Bank PLC.	202312	09.06.2024	17.50	17.50	09.05.2024	18.04.2024
25	ACME Pesticides Limited	202306	10.06.2024	0.10	-	22.04.2024	04.04.2024
26	Peoples Insurance Company Ltd.	202312	10.06.2024	10.00	-	27.05.2024	30.04.2024
27	Prime Insurance Company Limited	202312	11.06.2024	12.00	-	21.05.2024	30.04.2024
28	Central Insurance Company Limited	202312	12.06.2024	12.00	-	30.04.2024	24.03.2024
29	Premier Bank PLC.	202312	12.06.2024	12.50	-	21.05.2024	30.04.2024
30	AB Bank PLC.	202312	12.06.2024	-	2.00	26.05.2024	05.05.2024



Sl.	Nature of Companies	Year-End	Date of AGM	% of Dividend		Record Date	Declaration Date
				Cash	Stock		
31	United Finance Limited	202312	13.06.2024	6.00	-	16.05.2024	25.04.2024
32	Midland Bank PLC.	202312	13.06.2024	5.00	-	20.05.2024	29.04.2024
33	NRBC Bank PLC	202312	13.06.2024	11.00	-	21.05.2024	02.05.2024
34	Meghna Insurance Company Ltd.	202312	19.06.2024	10.00	-	30.05.2024	23.04.2024
35	SBAC Bank PLC	202312	22.06.2024	2.00	-	29.05.2024	02.05.2024
36	Bank Asia PLC.	202312	23.06.2024	15.00	-	20.05.2024	29.04.2024
37	First Security Islami Bank PLC.	202312	24.06.2024	5.00	5.00	26.05.2024	30.04.2024
38	Islami Bank Bd Ltd	202312	25.06.2024	10.00	-	16.05.2024	25.04.2024
39	IBBL Mudaraba Perpetual Bond	202312	25.06.2024	7.44	-	16.05.2024	25.04.2024
40	Dhaka Bank PLC.	202312	25.06.2024	10.00	-	19.05.2024	29.04.2024
41	Bangladesh National Insurance Company Limited	202312	25.06.2024	20.00	-	27.05.2024	25.04.2024
42	Paramount Insurance Co. Ltd.	202312	26.06.2024	10.00	-	06.05.2024	04.04.2024
43	Social Islami Bank PLC.	202312	26.06.2024	5.00	5.00	19.05.2024	25.04.2024
44	Standard Insurance Ltd.	202312	26.06.2024	10.00	-	23.05.2024	30.04.2024
45	Pragati Insurance Ltd.	202312	26.06.2024	20.00	7.00	27.05.2024	29.04.2024
46	Agrani Insurance Co Ltd.	202312	27.06.2024	12.00	-	24.04.2024	31.03.2024



Sl.	Nature of Companies	Year-End	Date of AGM	% of Dividend		Record Date	Declaration Date
				Cash	Stock		
47	Nitol Insurance Co. Ltd.	202312	27.06.2024	10.50	-	19.05.2024	28.04.2024
48	Export Import (Exim) Bank of Bangladesh PLC.	202312	27.06.2024	10.00	-	26.05.2024	23.04.2024
49	Mercantile Islami Insurance PLC	202312	27.06.2024	10.00	-	26.05.2024	30.04.2024
50	Republic Insurance Company Ltd.	202312	27.06.2024	11.00	-	26.05.2024	30.04.2024
51	IFIC Bank PLC	202312	27.06.2024	-	5.00	26.05.2024	30.04.2024
52	Asia Pacific General Insurance Co. Ltd.	202312	27.06.2024	12.00	-	30.05.2024	29.04.2024
53	NRB Bank Limited	202312	27.06.2024	10.00	-	02.06.2024	29.04.2024
54	United Commercial Bank PLC	202312	30.06.2024	5.00	5.00	23.05.2024	30.04.2024
55	National Life Insurance Co Ltd	202312	30.06.2024	38.00	-	12.06.2024	26.05.2024

09. Investment Management

The Investment Management Division consists of two divisions namely Mutual Funds, Collective Investment Schemes and Securitization Division and Alternative Investments Division. Brief activities of this division are mentioned below:

Activities related to the approval of Mutual Fund:

In April-June 2024, this department has provided Approval to the following funds:

Sl.	Fund Name	Fund Size (Crore BDT)	Approval Date
01.	VIPB Fixed Income Fund	25.00	26 June 2024
	Total	25.00	

A brief scenario of existing mutual funds:

Close-end mutual funds:

Sl.	Name of Mutual Fund	Name of Asset Manager	Unit Capital Fund in Crore (As on 30.06.2024)	NAV at Cost Price in Tk Crore (As on 30.06.2024)	NAV at Market Price Tk Crore (As on 30.06.2024)
1	Grameen One: Scheme Two	AIMS AMCL	182.40	196.87	292.74
2	Reliance First Mutual Fund	AIMS AMCL	60.50	66.60	67.64
3	Asian Tiger Sandhani Life Growth Fund	Asian Tiger Capital	61.79	11.27	8.33
4	Capitec Grameen Bank Growth Fund	Capitec Asset Management Ltd.	155.68	161.22	144.36
5	CAPM BDBL Mutual Fund 01	CAPM AMCL	50.13	54.99	44.16
6	CAPM IBBL Islamic Mutual Fund	CAPM AMCL	66.85	72.56	57.95
7	ICB AMCL CMSF Golden Jubilee Mutual Fund	ICB AMCL	100.00	102.55	83.77
8	ICB AMCL First Agrani Bank Mutual Fund	ICB AMCL	98.15	111.82	80.76
9	ICB AMCL Second Mutual Fund	ICB AMCL	50.00	69.34	39.76
10	ICB AMCL Sonali Bank Limited 1st Mutual Fund	ICB AMCL	100.00	120.84	80.16
11	ICB AMCL Third NRB Mutual Fund	ICB AMCL	100.00	121.63	71.12
12	ICB Employees Provident Mutual Fund One : Scheme One	ICB AMCL	75.00	93.33	55.32
13	IFIL Islamic Mutual Fund-1	ICB AMCL	100.00	114.48	68.47
14	Phoenix Finance 1st Mutual Fund	ICB AMCL	60.00	75.91	42.92
15	Prime Bank 1st ICB AMCL Mutual Fund	ICB AMCL	100.00	125.58	76.79

Sl.	Name of Mutual Fund	Name of Asset Manager	Unit Capital Fund in Crore (As on 30.06.2024)	NAV at Cost Price in Tk Crore (As on 30.06.2024)	NAV at Market Price Tk Crore (As on 30.06.2024)
16	Prime Finance First Mutual Fund	ICB AMCL	20.00	35.75	18.53
17	AIBL 1st Islamic Mutual Fund	LR Global Bangladesh	100.00	105	91
18	DBH First Mutual Fund	LR Global Bangladesh	120.00	122	103
19	Green Delta Mutual Fund	LR Global Bangladesh	150.00	155.10	131.68
20	LR Global Bangladesh Mutual Fund One	LR Global Bangladesh	311.08	319	270
21	MBL 1st Mutual Fund	LR Global Bangladesh	100.00	103	86
22	NCCBL Mutual Fund-1	LR Global Bangladesh	108.50	113	100
23	1st Janata Bank Mutual Fund	RACE	-	-	-
24	AB Bank First Mutual Fund	RACE	-	-	-
25	EBL First Mutual Fund	RACE	-	-	-
26	EBL NRB Mutual Fund	RACE	-	-	-
27	EXIM Bank First Mutual Fund	RACE	-	-	-
28	First Bangladesh Fixed Income Fund	RACE	-	-	-
29	IFIC Bank First Mutual Fund	RACE	-	-	-
30	PHP First Mutual Fund	RACE	-	-	-

Sl.	Name of Mutual Fund	Name of Asset Manager	Unit Capital Fund in Crore (As on 30.06.2024)	NAV at Cost Price in Tk Crore (As on 30.06.2024)	NAV at Market Price Tk Crore (As on 30.06.2024)
31	Popular Life 1st Mutual Fund	RACE	-	-	-
32	Trust Bank First Mutual Fund	RACE	-	-	-
33	SEML FBLSL Growth Fund	SEML	72.94	10.55	9.08
34	SEML IBBL Shariah Fund	SEML	100.00	10.86	9.34
35	SEML Lecture Equity Management Fund	SEML	50.00	11.15	9.28
36	Vanguard AML BD Finance Mutual Fund One	Vanguard	104.32	115.19	95.77
37	Vanguard AML Rupali Bank Balanced Fund	Vanguard	158.75	175.22	138.56
Total			2,756.09	2,774.76	2,276.22

- Information of 1st Janata Bank Mutual Fund, AB Bank First Mutual Fund, EBL First Mutual Fund, EBL NRB Mutual Fund, EXIM Bank First Mutual Fund, First Bangladesh Fixed Income Fund, IFIC Bank First Mutual Fund, PHP First Mutual Fund, Popular Life 1st Mutual Fund, Trust Bank First Mutual Fund is unavailable.

Open-end mutual funds:

Sl.	Name of Mutual Fund	Name of Asset Manager	Unit Capital Fund in Crore (As on 30.06.2024)	NAV at Cost Price in Tk Crore ((As on 30.06.2024)	NAV at Market Price Tk Crore (As on 30.06.2024)
1	1st ACACIA SRIM SME Growth Unit Fund	ACACIA SRIM LTD.	-	-	-
2	Grameen Bank-AIMS First Unit Fund	AIMS AMCL	142.63	150.36	146.74
3	AAML Unit Fund	Assurance Asset Management Ltd.	11.08	16.26	11.89
4	Alliance Sandhani Life Unit Fund	Alliance Capital	-	-	-
5	MTB Unit Fund	Alliance Capital	-	-	-
6	ATC Shariah Unit Fund	Asian Tiger Capital	13.76	11.86	9.31
7	BMSL National Housing Growth Fund	BMSL Asset Management Company Ltd.	90.00	91.34	89.63
8	Blue-wealth 1st Unit Fund	Blue-Wealth	24.3974	25.2080	24.3147
9	Candlestone Rupali Bank Growth Fund	CandleStone Investment	45.99	47.28	36.21
10	Capitec IBBL Shariah Unit Fund	Capitec Asset	26.34	28.63	22.03
11	Capitec Padma P.F. Shariah Unit Fund	Capitec Asset	38.09	43.90	32.66
12	Capitec Popular Life Unit Fund	Capitec Asset	24.59	26.53	21.42
13	CAPM Unit Fund	CAPM AMCL	11.3	12.20	9.58
14	Constellation Unit Fund	Constellation	-	-	-
15	Credence First Growth Fund	Credence AML	17.59	20.86	14.98

Sl.	Name of Mutual Fund	Name of Asset Manager	Unit Capital Fund in Crore (As on 30.06.2024)	NAV at Cost Price in Tk Crore ((As on 30.06.2024)	NAV at Market Price Tk Crore (As on 30.06.2024)
16	Credence First Shariah Unit Fund	Credence AML	9.52	12.31	9.53
17	CWT Emerging Bangladesh First Growth Fund	CWT	4.81	6.15	5.91
18	CWT Community Bank Shariah Fund	CWT	13.68	13.89	13.59
19	CWT Opportunities Fund	CWT	7.23	6.91	6.70
20	CWT Sadharon Bima Growth Fund	CWT	6.30	7.32	7.08
21	EBLAML 1st Unit Fund	EBL AML	24	27	21
22	EDGE Al-Amin Shariah Consumer Fund	EDGE	14.07	14.61	14.07
23	EDGE AMC Growth Fund	EDGE	18.78	19.83	18.78
24	EDGE Bangladesh Mutual Fund	EDGE	15.81	16.47	15.81
25	EDGE High Quality Income Fund	EDGE	60.64	59.04	60.64
26	Ekush First Unit Fund	Ekush Wealth	-	-	-
27	Ekush Growth Fund	Ekush Wealth	-	-	-
28	Ekush Stable Return Fund	Ekush Wealth	-	-	-
29	HFAML Shariah Unit Fund	HF AMCL	24.77	25.57	21.81
30	HFAML Unit Fund	HF AMCL	27.10	32.16	21.54
31	HFAML-ACME Employees' Unit Fund	HF AMCL	16.91	20.45	13.92

Sl.	Name of Mutual Fund	Name of Asset Manager	Unit Capital Fund in Crore (As on 30.06.2024)	NAV at Cost Price in Tk Crore ((As on 30.06.2024)	NAV at Market Price Tk Crore (As on 30.06.2024)
32	Bangladesh Fund	ICB AMCL	1,750.79	2,156.29	1,383.30
33	Eighth ICB Unit Fund	ICB AMCL	29.36	39.60	26.20
34	Fifth ICB Unit Fund	ICB AMCL	28.50	36.53	24.34
35	First ICB Unit Fund	ICB AMCL	77.19	101.78	61.12
36	Fourth ICB Unit Fund	ICB AMCL	18.15	23.95	15.49
37	ICB AMCL Converted First Unit Fund	ICB AMCL	32.57	45.57	27.58
38	ICB AMCL Islamic Unit Fund	ICB AMCL	66.72	76.87	49.14
39	ICB AMCL Pension Holders' Unit Fund	ICB AMCL	23.52	66.06	38.78
40	ICB AMCL Second NRB Unit Fund	ICB AMCL	122.96	137.71	103.22
41	ICB AMCL Shotoborsho Unit Fund	ICB AMCL	32.53	34.85	24.30
42	ICB AMCL Unit Fund	ICB AMCL	378.98	1,031.56	692.76
43	Second ICB Unit Fund	ICB AMCL	20.10	27.16	19.61
44	Seventh ICB Unit Fund	ICB AMCL	32.73	44.26	30.98
45	Sixth ICB Unit Fund	ICB AMCL	27.71	34.96	22.70
46	Third ICB Unit Fund	ICB AMCL	25.87	33.83	22.72
47	IDLC Asset Management Shariah Fund	IDLC AMCL	60.11	63.21	59.76

Sl.	Name of Mutual Fund	Name of Asset Manager	Unit Capital Fund in Crore (As on 30.06.2024)	NAV at Cost Price in Tk Crore ((As on 30.06.2024)	NAV at Market Price Tk Crore (As on 30.06.2024)
48	IDLC Balanced Fund	IDLC AMCL	50.61	51.81	48.59
49	IDLC Growth Fund	IDLC AMCL	68.94	76.63	72.71
50	IDLC Income Fund	IDLC AMCL	73.95	82.42	82.50
51	BCB ICL Growth Fund	Impress Capital	19.83	22.07	19.91
52	Esquire ICL Apparel Fund	Impress Capital	8.21	9.82	8.98
53	ICL INCTL Shariah Fund	Impress Capital Limited	7.53	7.67	7.50
54	ICL Balanced Fund	Impress Capital	21.59	23.30	21.70
55	Investasia Growth Fund	Investasia AML	-	-	-
56	Joytun 1st Unit Fund	Joytun AML	-	-	-
57	LankaBangla 1st Balanced Unit Fund	LankaBangla AMCL	37.66	46.72	38.43
58	LankaBangla Al-Arafah Shariah Fund	LankaBangla AMCL	30.21	30.68	30.81
59	LB Gratuity Opportunities Fund	LankaBangla AMCL	8.97	10.16	8.43
60	LB Gratuity Wealth Builder Fund	LankaBangla AMCL	8.18	8.13	7.10
61	Mercantile Bank Unit Fund	MBL AML	-	-	-
62	NAM IBBL Islamic Unit Fund	National AMCL	23.23	26.36	15.89
63	Peninsula Balanced Fund	Peninsula AMCL	10.15	11.88	10.21

Sl.	Name of Mutual Fund	Name of Asset Manager	Unit Capital Fund in Crore (As on 30.06.2024)	NAV at Cost Price in Tk Crore ((As on 30.06.2024)	NAV at Market Price Tk Crore (As on 30.06.2024)
64	Peninsula Sadharan Bima Corporation Unit Fund One	Peninsula AMCL	36.36	38.93	29.78
65	Peninsula AMCL BDBL Unit Fund One	Peninsula AMCL	19.10	23.58	18.06
66	Prime Financial First Unit Fund	Prime Finance AMCL	-	-	-
67	Prime Finance Second Mutual Fund	Prime Finance AMCL	-	-	-
68	Rupali Life Insurance First Mutual Fund	Prime Finance AMCL	-	-	-
69	RACE Financial Inclusion Unit Fund	RACE	-	-	-
70	RACE Special Opportunities Unit Fund	RACE	-	-	-
71	RBIMCO BGFI Fund	Royal Bengal	-	-	-
72	SAML Income Unit Fund	Shahjalal Asset Management Limited	13.81	16.35	16.15
73	Sandhani AML SLIC Fixed Income Fund	Sandhani AML	73.79	83.73	81.33
74	SEML PBSL FIXED INCOME FUND	SEML	95.00	10.59	10.37
75	Shanta Amanah Shariah Fund	Shanta AMCL	4.72	47.23	49.82
76	Shanta First Income Unit Fund	Shanta AMCL	6.50	65.00	71.29
77	Shanta Fixed Income Fund	Shanta AMCL	8.95	89.47	93.85
78	UCB AML First Mutual Fund	UCB AMCL	20.09	21.21	17.98
79	UCB Income Plus Fund	UCB AMCL	152.64	165.80	165.84

Sl.	Name of Mutual Fund	Name of Asset Manager	Unit Capital Fund in Crore (As on 30.06.2024)	NAV at Cost Price in Tk Crore ((As on 30.06.2024)	NAV at Market Price Tk Crore (As on 30.06.2024)
80	UCB Taqwa Growth Fund	UCB AMCL	35.10	36.31	34.59
81	UFS Bank Asia Unit Fund	UFSL	-	-	-
82	UFS IBBL Shariah Unit Fund	UFSL	-	-	-
83	UFS Padma Life Islamic Unit Fund	UFSL	-	-	-
84	UFS Popular Life Unit Fund	UFSL	-	-	-
85	UFS Pragati Life Unit Fund	UFSL	-	-	-
86	Vanguard AML Growth Fund	Vanguard	8.74	11.13	9.36
87	VIPB Balanced Fund	VIPB AMCL	10	10.88	10.50
88	VIPB NLI First Mutual Fund	VIPB AMCL	63	64.95	56.48
89	VIPB SEBL 1st Unit Fund	VIPB AMCL	93	98.51	90.06
90	VIPB Accelerated Income Unit Fund	VIPB AMCL	31	31.53	31.38
91	VIPB Growth Fund	VIPB AMCL	17	19.00	17.62
92	Zenith Annual Income Unit Fund	Zenith Investments	6.60	7.76	6.01
Total			4,481.95	5,940.16	4,434.18

- Information of 1st ACACIA SRIM SME Growth Unit, FundAlliance Sandhani Life Unit Fund, MTB Unit Fund, Constellation Unit Fund, Ekush First Unit Fund, Ekush Growth Fund, Ekush Stable Return Fund, Investasia Growth Fund, Joytun 1st Unit Fund, Prime Finanacial First Unit Fund, Prime Finance Second Mutual Fund, Rupali Life Insurance First Mutual Fund, RACE Financial Inclusion Unit Fund, RACE Special Opportunities Unit Fund, RBIMCO BGFI Fund, UFS-Bank Asia Unit Fund , UFS-IBBL Shariah Unit Fund , UFS-Padma Life Islamic Unit Fund, UFS-Popular Life Unit Fund, UFS-Pragati Life Unit Fund is unavailable.

Other Activities:

- A seminar on compliance issues for the asset management companies was held on 28-29 June 2024 at BCDM Rajendrapur, Gazipur as part of activities for implementation of approved National Integrity Strategy work plan of BSEC for the fiscal year 2023-'24. Dr. Shaikh Shamsuddin Ahmed, Commissioner, graced the seminar as chief guest. Representatives from Ministry of Finance, BSEC and asset management companies attended the seminar.

10. Corporate Reporting

As per new organogram of the Commission, there are two departments under Chief Accountant Division which are:

- a. Accounting and Auditing Policy Department, and
- b. Corporate Reporting Department.

The Main functions of the corporate reporting department are as follows:

- i. Supervision of timely submission (of annual and interim financial statements) by the listed companies;
- ii. Review of Interim Financial Statements of the listed companies;
- iii. Review of Audited Financial Statements of the listed companies;
- iv. Proposal appointment of audit firms for conducting special audit into the affairs of the listed companies;
- v. Review of utilization reports of capital raised through IPO, QIO, RPO, Rights Issue & bond;
- vi. Proposal for inspection/ enquiry/ investigation; and
- vii. Any other job assigned by the Commission.

A summary of the activities of corporate reporting department for the quarter: April-June 2024 is presented in the following table:

Submission Status of Financial Statements

Indicators	Expected	Actual
Submission of Corporate Annual Audited Financial Statements	154	120
Submission of First Quarter (Q1) Interim Financial Statements	153	121
Submission of Half Yearly (Q2) Interim Financial Statements	00	02
Submission of Third Quarter (Q3) Interim Financial Statements	247	213
Submission of utilization of IPO/RPO/RI/QIO proceeds	33	24

Other Activities/Actions

Indicators	No. of Action
Annual Audited Financial Statements:	
Further disclosure, information or explanation required	36
Time extended for submission of financial statements	21
Application for time extension rejected	06
Referred to enforcement department to take action against the listed companies for late & non-submission	15
Referred to enforcement department to take action against the listed companies for non-compliance with the securities laws	07
Number of qualified opinion/Adverse opinion/Disclaimer from external/statutory auditor	05
First Quarter (Q1) Financial Statements:	
Time extended for submission of financial statements	14
Application for time extension rejected	00
Referred to enforcement department to take action against the listed companies for late & non-submission	46
Second Quarter (Q2) Financial Statements:	
Time extended for submission of financial statements	01
Application for time extension rejected	00
Referred to enforcement department to take action against the listed companies for late & non-submission	00
Third Quarter (Q3) Financial Statements:	
Time extended for submission of financial statements	10
Application for time extension rejected	00
Referred to enforcement department to take action against the listed companies for late & non-submission	44
Enquiry/Investigation and Special Audit:	
Appointment of committee for conducting Enquiry, Inspection and Investigation	06
Appointment of Special Auditors*	02
Referred to enforcement department to take action against the listed companies for non-compliance with the securities laws	08

* Proposal for appointment of special auditor: Progressive Life Insurance Co. Ltd. and Keya Cosmetics Ltd.



11. Management Information Systems

The main objective of MIS Department is to carry out development of ICT infrastructure, maintenance, and its upgradation, introduce e-services to facilitate ease of doing business and build up a digitalized capital market monitoring system.

The activities of MIS Department are given below:

- ✓ Providing technical assistance in the use of government e-Nothi system for official activities;
- ✓ Installation and maintenance of official computer hardware and software;
- ✓ Providing technical support for various meetings/seminars/presentations including online meetings;
- ✓ Ensuring uninterrupted internet service of 200 Mbps speed (including 100 Mbps redundant connection);
- ✓ Taking back-up and preserving the digital information of the Commission;
- ✓ Preparing Technical Specification for IT related purchases;
- ✓ Taking steps to ensure the cyber security of the Commission's information;
- ✓ Arranging training for the employees of the Commission on Information Security Awareness;
- ✓ Providing necessary assistance in completing the tender process of the Commission through e-GP portal;
- ✓ Carrying out system development/modification/upgradation/maintenance as per requirements of different departments of the Commission; and
- ✓ Keeping the Commission's website (2 domains- www.sec.gov.bd & www.SECBD.bangla) up and running, updating information and ensuring cyber security etc.

The activities accomplished continued during April-June, 2024:

1. The report of the results evaluated through the online platform has been sent to the concerned committee for the purpose of distribution of integrity awards among the employees of the commission.
2. Two (2) departmental officers participated in the training titled 'Cyber Security for CII Officials' organized for the officials of Critical Information Infrastructures (CII) through the 'Enhancing Digital Government & Economy' (EDGE) project implemented by Bangladesh Computer Council.

The following information has been uploaded on the Commission's website during April-June, 2024:

- IPO Prospectus : 1,
- Right Issue Document : 1,
- Enforcement Action : 79,
- Orders/Notifications/Directives etc. : 6,
- Quarterly Report : 3,
- Annual Report : 1,
- Press Releases : 11,
- Tender Notice : 1,
- NOC : 8.



12. Legal Services

Court Cases of Bangladesh Securities and Exchange Commission:

During the April-June, 2024 quarter, total of 8 cases were filed by and filed against Bangladesh Securities and Exchange Commission in different Courts and 02 cases were disposed of. The details of the cases are as follows:

Cases Filed by and Filed against BSEC	Number of Cases	Brief Description
Cases filed by BSEC	02	02 Certificate cases were filed in the General Certificate Court, Dhaka in order to recover the penalty imposed by the Commission under Public Demands Recovery Act, 1913 for violation of securities laws.
Cases filed against BSEC	06	06 Writ Petitions were filed in the Hon'ble High Court Division of the Supreme Court of Bangladesh challenging securities laws, penalty order of the Commission and for other reasons.

Disposed of cases in different courts during the April-June, 2024 quarter:

Number of Disposed of Cases	Brief Description
02	01 Writ Petition and 01 Company Matter have been disposed of in favour of the Commission which were filed against the Commission in the Hon'ble High Court Division of the Supreme Court of Bangladesh.

13. Central Depository System

The Following Bonds joined Central Depository System during Q4, 2023-'24:

Sl.	Name of the Mutual Fund/Companies/Bonds	Applied Fund Size in IPO (BDT)	Subscribed Amount (BDT)	Subscribed Percentage (%)	Dematerialization Against Subscription (%)	Date of Enlistment
1	3i AMCL 1st Mutual Fund	250,000,000	109,660,000	43.86	100	01.04.2024
2	IBBL Fourth Mudaraba Non-convertible Unsecured Floating rate Fully-redeemable Subordinated Bond	8,000,000,000	8,000,000,000	100	100	04.04.2024
3	Beximco 1st Unsecured Zero-Coupon Non-Convertible Redeemable Bond	15,000,000,000	1,013,900,000	6.76	100	20.05.2024
4	Craftsman Footwear and Accessories Limited	50,000,000	50,000,000	100	100	14.05.2024
	Total	23,300,000,000	9,173,560,000		100	

14. Financial Literacy

As a part of countrywide financial literacy program, Financial Literacy Division of the Commission organizes different training, seminar, workshop and conference that help the investors to get knowledge for taking appropriate investment decision. Besides, this division performs the activities related to investor's education program which is organized by market intermediaries, training to the employees working at the organizations in the capital market. Financial Literacy Division also organizes programs to observe the IOSCO World Investor Week.

The activities of Financial Literacy Division and the activities of DSE & CSE under the supervision of this division for the period of April-June, 2024 are given below:

Sl.	Particulars of Training	Number of Participants (Person)
1	Investor's education program	220
2	Training for authorized representatives of DSE and CSE TREC Holders	80
3	Training for the employees of Market Intermediaries	122
	Total	422

15. Research and Development

Important Activities of Research and Development Department of BSEC:

Preparation of BSEC's research papers, publication of BSEC's annual report, preparation and printing of the capital market related part of the annual report of the Financial Institutions Department of the Ministry of Financial Institutions Division, publication of quarterly reports of the Commission, exchange of information with the National Parliament, various ministries and Bangladesh Bank and other organizations and library related activities are carried out by the research and development department.

A. From April-June, 2024 the Research and Development (R&D) Department performed the following significant functions:

Sl.	Title
1	Sending report for publication of booklet entitled 'Annual Report of Financial Institutions Division 2023-'24'
2	Preparation report of monthly important activities of BSEC and has been sent to the Ministry of Finance
3	Sending information related to Annual Report on Exchange Arrangement and Exchange Restrictions (AREAER) to Bangladesh Bank

B. List of reports published by the Research and Development (R&D) Department During April-June 2024:

Sl.	Title
1	'Parikrama' October-December 2023
2	Quarterly Review (October-December) 2023
3	BSEC's Annual Report (Bangla) 2022-2023
4	'Parikrama' January-March 2024

16. Public Relation

Public Relation Department of the Bangladesh Securities and Exchange Commission completes necessary functions regarding the public relations of the Commission.

The quarterly activities of the Public Relations Department for the quarter April to June 2024 are as follows:

1. Taking steps to publish two (02) gazettes from Bangladesh Forms and Publication Office.
2. 11 (eleven) press releases issued by the Commission have been published on the website of the Commission (www.sec.gov.bd এবং www.এসইসিবিডি.বাংলা)



17. International Affairs

International Affairs Department carries out all activities for participation in trainings/webinars/meetings/symposiums organized by international organizations on various issues related to capital markets.

During the quarter ended on June 2024, the following functions were performed at the International Affairs Department:

Sl.	Activities	Types of Activities
1	Arranging participation in trainings (virtual & host-sponsored in-person) of international organizations regarding capital market	In the mentioned period, arrangements are made for the participation of employees of the Commission in 02 (two) virtual seminars/training sessions
2	Taking part in the Query & Survey of international organizations after assessing its relevance	Participation in 01 (one) Survey during the mentioned period
3	Maintaining strategic relationship with different countries and organizations	<p>a. A bilateral Memorandum of Understanding (MoU) between the Bangladesh Securities and Exchange Commission (BSEC) and the International Financial Services Centers Authority (IFSCA) of Gujarat, India, was signed during the IOSCO annual meeting; and</p> <p>b. Organizing of a day-long meeting on trade and investment with the eight newly appointed officers in the positions of Commercial Counselor and First Secretary (Commercial) at the Commercial Wings of Bangladesh Missions in abroad.</p>

18. Market Intelligence and Investigation

The Market Intelligence Department (MID) of the Commission consists with two sections namely:

- i. Exchanges Affairs Section, and
- ii. Issuer Companies and Other Intermediaries Affairs Section.

The functions performed by the Market Intelligence Department are as follows:

1. Collecting online and offline intelligence on market manipulation, rumors and fraudulent activities related to capital market;
2. By analyzing the intelligence data Market Intelligence Department submit 05(five) Intelligence Report to the Commission; and
3. The signing of the Memorandum of Understanding (MoU) between BSEC and National Telecommunication Monitoring Center (NTMC) is currently underway.

In addition, Market Intelligence Department is conducting regular online and offline monitoring activities to gather information about possible irregularities in the capital market and the individuals involved in it.

19. Innovation Team

Innovation Activities:

BSEC has continued its overall efforts to improve the quality of service with the aim of building a smart and developed capital market in building a smart Bangladesh.

The functions performed by the Commission's Innovation Team are as follows:

1. The supervision of BSEC, a larger action plan has been formulated with the aim of developing a smart capital market,
2. Participated in Innovation Showcasing organized by the Financial Institutions Department, and
3. 'IT Support Management System' has been implemented in the internal IT service delivery of the Commission.

20. Operational Statistics of Stock Exchanges

DSE Operational Statistics

April-June 2024

Trading	DSE Broad Index-DSEX (as on last trading day)	Market Capitalization (as on last trading day)	No. of Trading Days	Turnover of Securities in		Traded Amount in	
Months	In Points	Million Taka	Nos.	Million Quantity		Million Taka	
				Monthly	Daily average	Monthly	Daily average
April	5,584.65	7,035,111.24	18	2,813.02	156.28	93,571.86	5,198.44
May	5,251.96	6,489,220.93	20	4,081.02	204.05	133,555.41	6,677.77
June	5,328.40	6,621,558.85	18	2,319.79	128.88	83,545.04	4,641.39
Total	-	-	56	9,213.83	164.53	310,672.31	5,547.72

* Index and Market Capitalization of the last trading day of the months have been considered as relevant figures of respective months

CSE Operational Statistics

April-June 2024

Trading	All Share Price Index (as on last trading day)	Market Capitalization (as on last trading day)	No. of Trading Days	Turnover of Securities in		Traded Amount in	
Months	In Points	Million Taka	Nos.	Million Quantity		Million Taka	
				Monthly	Daily average	Monthly	Daily average
April	15,953.0627	7,344,114.80	18	105.55	5.86	3,555.67	197.54
May	15,072.2006	6,854,397.36	20	180.51	9.03	9,890.13	494.51
June	15,066.8151	6,915,760.01	18	254.03	14.11	18,619.53	1,034.42
Total			56	540.10	9.64	32,065.32	572.60

* Index and Market Capitalization of the last trading day of the months have been considered as relevant figures of respective months

21. List of Commission's Executives

As on 30 June 2023

Sl.	Name of Executives	Designation	E-mail ID
1.	Mr. Md. Anowarul Islam	Executive Director (General)	maislam@sec.gov.bd
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139.	Mr. Binoy Das	Assistant Director (General)	binoy@sec.gov.bd
140.	Mr. Akram Siraj	Assistant Director (General)	akram@sec.gov.bd
141.	Mr. Md. Ariful Islam	Assistant Director (General)	ariful@sec.gov.bd
142.	Mr. Md. Abdul Awal	Assistant Director (General)	awal@sec.gov.bd

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145.	Mr. Md. Aswad Dewan	Assistant Director (MIS)	aswad@sec.gov.bd
146.	Mr. Md. Masum Billah	Assistant Director (Legal Service)	masum@sec.gov.bd
147.	Mr. Md. Tauhidul Islam Saddam	Assistant Director (Legal Service)	tauhidul@sec.gov.bd
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BSEC Website Content

- About BSEC
- Notable Events
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- Employment Information
- Tender Information
- Comments Request on Rules Amendment
- Important Links

Reference Room

Securities Commission Bhaban

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Where you will find

- BSEC's Publications
- Prospectus of Listed Companies
- Annual Reports of Listed Companies
- Published Half-yearly Financial Statements of Listed Companies
- Securities Laws, Rules & Regulations/Gazette Notifications
- Local/Foreign Publications on Capital Market
- Opportunity to Become a Subscriber of BSEC's Publications

Bangladesh Securities and Exchange Commission

Securities Commission Bhaban

E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207

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