



Quarterly Review

July-September 2021



Ensuring Stability and Discipline towards Advancement of the Economy

Bangladesh Securities and Exchange Commission

Quarterly Review

July-September, 2021



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 for fulltime by the Government. The Chairman acts as the Chief Executive of the Commission. The Commission has overall responsibility to make securities related rules and regulate the market accordingly. The Commission is a statutory body and attached to the Ministry of Finance.

At present, Professor Shibli Rubayat-UI-Islam is serving as the Chairman of the Commission and Dr. Shaikh Shamsuddin Ahmed, Dr. Mizanur Rahman and Mr. Md. Abdul Halim are serving as the Commissioner of the Commission.

PART - I

1. Bangladesh Securities and Exchange Commission



Prof. Shibli Rubayat-Ul-Islam
Chairman



Dr. Shaikh Shamsuddin Ahmed
Commissioner



Dr. Mizanur Rahman
Commissioner



Mr. Md. Abdul Halim
Commissioner

2. Executive Directors (ED) and Head of the Departments of the Commission

Sl. No.	Name	Designation	Head of the Departments
1	2	3	4
1	Dr. ATM Tariquzzaman	ED	Staying in New Zealand under lien
2	Mr. Md. Anowarul Islam	ED	SRI and CDS
3	Mr. Md. Saifur Rahman	ED	SRMIC, MIS and Project Director
4	Mr. Md. Ashraful Islam	ED	R & D
5	Mr. M. Hasan Mahmud	ED	Registration and Internal Audit
6	Mr. Mahbubul Alam	ED	Admin & Finance, International Affairs
7	Mr. Mahbuber Rahman Chowdury	ED	Legal Service
8	Mr. Kamrul Anam Khan	ED	MF & SPV and Office of the Chief Accountant
9	Mr. Mohammad Rezaul Karim	ED	Capital Issue, Market Surveillance and Intelligence and Spokesperson of the Commission
10	Mr. Mohammed Shafiul Azam	ED	Financial Literacy
11	Mr. Ripan Kumar Debnath	ED	Corporate Finance and CMRRC
12	Mr. Mir Mosharraf Hossain	ED	Enforcement and AML&CFT

3. Directors of the Commission and Commission Secretariat

Sl. No.	Name	Designation	Departments
1	2	3	4
1	Mr. Mohammad Jahangir Alam	Director	Enforcement
2	Mr. Mahmoodul Hoque	Director	MF and SPV
3	Mr. Prodip Kumar Basak	Director	Registration
4	Mr. Rajib Ahmed	Director	Market Surveillance and Intelligence
5	Mr. Abul Kalam	Director	CMRRC, AML & CFT Wing
6	Mr. Mansur Rahman	Director	SRI and CDS
7	Mr. Mohammad Abul Hasan	Director	SRMIC
8	Mr. Sheikh Mahbub Ur Rahman	Director	MIS & Finance
9	Ms. Farhana Faruqui	Director	Administration and IAD
10	Mr. Abu Rayhan Mohammad Mutasim Billah	Director and Commission Secretary	Financial Literacy and Commission Secretariat
11	Mr. Mohammad Fakhru Islam Mazumder	Director	Capital Issue
12	Mr. A. S. M. Mahmudul Hasan	Director	Legal Service

4. Observance of National Mourning Day-2021

In order to observe National Mourning Day-2021 on the occasion of the 46th Martyrdom Anniversary of the Father of the Nation Bangabandhu Sheikh Mujibur Rahman, a discussion meeting presided over by BSEC's Chairman Prof. Shibli Rubayat-UI-Islam was held by Bangladesh Securities and Exchange Commission on 12 August, 2021 at Multipurpose Hall, BSEC. Dr. AK Azad Chowdhury, Emeritus Professor and former Vice Chancellor of Dhaka University, was present as the Chief Guest at the meeting.

The Chairman in his speech, highlighted various aspects of Bangabandhu's struggling life and mentioned Bangabandhu's dream regarding post-independence economic development and various plans to implement it. He said that the Road Show organized by the Commission has changed the negative perception of Bangladesh abroad. He commented that the country is moving forward by keeping a balance between life and livelihood even amid Covid-19 pandemic.

The Chief Guest Prof. Dr. AK Azad Chowdhury started his speech mentioning the trial and punishment for the killers on the 15 August under existing legal process. Bangabandhu used to give priority to the emancipation and independence of the country over his family. That is why he accepted imprisonment years after years in the golden age of his life. He expressed the view that Bangabandhu's philosophy is the basis of the present socio-economic progress of Bangladesh. Commissioner Dr. Shaikh Shamsuddin Ahmed, Mr. Md. Abdul Halim and Executive Director Mr. Ashraful Islam also participated in the discussion.

Maintaining health rule, wreath were laid on the portrait of the Father of the Nation at Dhanmondi-32 under the leadership of Commission's Chairman Prof. Shibli Rubayat-UI-Islam on the occasion of National Mourning Day and 46th Martyrdom Anniversary of the Father of the Nation Bangabandhu Sheikh Mujibur Rahman.

Later on 15 August, 2021 a discussion meeting and prayer ceremony were organized through virtual platform. The meeting was presided over by BSEC's Chairman Prof. Shibli Rubayat-UI-Islam. Also, the representatives of Dhaka Stock Exchange Limited, Chittagong Stock Exchange Limited, Investment Corporation of Bangladesh, Central Depository Bangladesh Limited, Central Counterparty Bangladesh Limited, Bangladesh Institute of Capital Market, Bangladesh Academy of Securities Market, Bangladesh Association of Publicly Listed Companies, Dhaka Stock Exchange Brokers Association, Bangladesh Merchant Bankers Association, Association of Asset Management Companies and Mutual Funds, Association of Credit Rating Companies in Bangladesh and Venture Capital and Private Equity Association took part in the discussion meeting.

5. Food Distribution Program

Due to outburst of the Coronavirus across the country and the lockdown announced by the government to prevent infection, low-income people of different classes and professions have become financially loser being unemployed. For humanitarian assistance to the distressed and helpless people, the Commission had undertaken the month-long “Food Distribution Program”.

Under the program, food items (rice, pulses, oil, sugar and salt) are distributed in front of “Bangabandhu Sheikh Mujibur Rahman Memorial Trust”, Jahangirnagar University, Nakhhalpara, Kakrail and Agargaon areas by the Commission.



Food Distribution Program in front of Jahangirnagar University

6. Capital Market Related Activities

6.1 BSEC's Road Show in USA



The Bangladesh Securities and Exchange Commission organized a Road Show titled “Rise of Bengal Tiger: Trade and Investment Prospects in Bangladesh” from 26 July to 02 August, 2021 in USA

BSEC organized a Road Show on Bangladesh's Economy and Capital Market titled "The Rise of Bengal Tiger: Potentials of Trade and Investment in Bangladesh" in 4 cities of USA from 26 July to 02 August showcasing Bangladesh Capital Markets and trade and investment opportunities globally in order to attract foreign investors as well as non-resident Bangladeshi to invest.

As a part of the Road Show "Investor Summit: Bangladesh Capital Markets" on July 26, at New York, a stakeholders meeting at Washington DC on 28 July, another "Investor Summit: Bangladesh Capital Markets" at Los Angeles on 30 July and "Investor Summit" at Silicon Valley, Santa Clara on 2 August were held. The summit showcased the robust economic growth and investment potential of Bangladesh, investment opportunities, available facilities, products and services for the NRBs and foreign investors. A senior team of BSEC led by its Chairman Professor Shibli Rubayat-Ul-Islam and representatives from the concerned ministries and regulatory authorities and dignitaries including the Private Industry and Investment Adviser to the Honourable Prime Minister, Senior Secretary of Finance Division, Secretary of Ministry of Commerce, Secretary of Economic Resources Division, Executive Chairman of BIDA and Executive Chairman of BEPZA, NRBs foreign investors and media persons participated in the sessions.

Eminent Economist Mr. Lawrence H. Summers, Professor of Charles W. Eliot University, President Emeritus at Harvard University, 71st Secretary of the Treasury of President Clinton, Director of the National Economic Council of President Obama and former Chief Economist of the World Bank delivered the keynote speech at the afternoon session of the summit. He appreciates the current transparent framework of the Bangladesh financial market. He said, "Asian explosion of Britain is now being handed over to Bangladesh".

Mr. Salman Fazlur Rahman, Private Industry and Investment Adviser to the Hon'ble Prime Minister said that Bangladesh's economy is moving ahead as planned, so all expatriate business persons should invest in Bangladesh. Mentioning the facilities and advantages of investment in Bangladesh, Mr. Rahman said, "The government would provide full support to the investors to increase investments in Bangladesh".

In the seminar, Chairman of BSEC, Professor Shibli Rubayat-Ul-Islam said, "Bangladesh is now a region with immense potential for investment. There are plenty of opportunities to earn profit here. Bangladesh is moving forward with a lot of potential in trade and commerce. We can see Bangladesh in a better position in the future. I urge all of you to join us in this development". He said that in the last 12 years Bangladesh has made extraordinary progress in every sector including economy, trade and commerce under the leadership of Hon'ble Prime Minister Sheikh Hasina. The government is offering different types of facilities to foreign investors for FDI. 22% tax has been reduced for the foreign investors in the Hi-Tech park in the last 10 years. They have also been exempted from 80% VAT utility in Hi-Tech parks.

There are no restrictions on the investment limit for foreign investors. Besides, 50% VAT exemption has been given to foreign investors in the first year. Bangladesh is also giving 10% cash-back for export-oriented revenue. Bangladesh is trying to facilitate investors with all out support in order to ensure maximum profitability. For this, Bangladesh capital market has made many effective rules. The results of which have already been seen in the capital market. According to a report published in Hong Kong's Frontier Journal, Bangladesh has emerged as the best capital market in Asia in the third quarter of this year.

6.2 BSEC's Road Show in Switzerland



To attract investors from global and NRB communities to invest in Bangladesh, The Bangladesh Securities and Exchange Commission organized a three-days long Road Show titled “Rise of Bengal Tiger: Potentials of Trade and Investment in Bangladesh” in two cities of Switzerland on the influential countries of Europe

To attract investors from global and NRB communities to invest in Bangladesh, The Bangladesh Securities and Exchange Commission organized a three-days long Road Show focusing on showcasing Bangladesh’s economic potential, investment, trade, Bangladeshi goods and services, and capital market titled “Rise of Bengal Tiger: Potentials of Trade and Investment in Bangladesh” in two cities of Switzerland. On 20 September, 2021 Land Minister Mr. Saifuzzaman Chowdhury inaugurated the Road Show at the Dolder Grand Hotel in Zurich, Switzerland. Mr. Abdur Rauf Talukder, Senior Secretary, Finance Division, Ministry of Finance, Prof. Shibli Rubayat-UI-Islam, Chairman, BSEC, Mr. NM Ziaul Alam PA, Senior Secretary, Department of Information and Communication Technology, Maj. Gen. Nazrul Islam, Executive Chairman, Bangladesh Export Processing Zones Authority (BEPZA), Mr. Alamgir Hossain, Member of the National Board of Revenue and Dr. Shaikh Shamsuddin Ahmed, Commissioner of the Commission also attended the Zurich Road Show.

In his inaugural speech, the Hon’ble Land Minister said that “There is a balance between the macro-economy and micro-economy of Bangladesh. Foreign exchange reserves, expatriate income, GDP growth are extremely high compared to competing countries. We have already evolved from a least developed country to a developing country. As per gross consideration now is the right time to invest in Bangladesh”. “Come and invest in Bangladesh, we are ready” he addressing the businessmen and expatriates in Switzerland.

Mr. Abdur Rauf Talukder, Senior Secretary of the Finance Division of the Finance Ministry said “The government has given importance to four issues in economic development amid Covid-19 pandemic. These include increasing government spending, providing easy loans to businesses, increasing social security and increasing the flow of money in to the market. The government has already announced 28 stimulus packages. The package will cost 22 billion US Dollar to implement. The main purpose of all this is the same-to the continuity of economic development and growth. It is already moving forward with success. Education rates, improvement of social and economic indicators are the proof of economic viability of Bangladesh.

BSEC Chairman Prof. Shibli Rubayat-Ul-Islam said that “The stock market in Bangladesh has improved a lot in the last few months. We are also giving utmost importance to good governance to take the market forward and regularly reforming the necessary issues and reaping the benefits.” As the reason of emphasizing for investment in Bangladesh at this moment, the BSEC Chairman said, “Bangladesh’s economy is moving fast, it has the capacity to absorb instability, the foreign exchange rate is stable, interest rate is favorable to business people any prior approval of the government of the Bangladesh is not required to invest here, investment can be made easily through NITA account, permission is not required for getting back the along with profit. So, the foreigners can easily invest in Bangladesh.”

Closing session of the Road Show titled “Investors Summit: Bangladesh Capital Market” was held on 22 September, 2021. Mr. Arif Khan, former Commissioner, Bangladesh Securities and Exchange Commission, presented the keynote at the concluding session. He said, “Bangladesh is the hidden gem of South Asia. Bangladesh is ahead in all indicators like poverty rate, women’s employment, life expectancy, literacy rate etc. Although the capital market of Bangladesh is small in size but it has huge potential to develop”. BSEC Chairman Prof. Shibli Rubayat-Ul-Islam in his concluding remarks at the conference said, “Once upon a time Bangladesh was a country that had imported garments from other countries but it’s the second largest exporter of garments in the world. This is how Bangladesh has been changed”.

Mr. Bikarna Kumar Ghosh, Managing Director, Hi-Tech Park Authority, Mr. Mofiz Uddin Ahmed, Additional Secretary, Financial Institutions Department, Mr. Sheikh Kabir Hossain, President, Bangladesh Insurance Association, Mr. Mohammad Naqib Uddin Khan, President of Switzerland Bangladesh Chamber of Commerce and Industries, Mr. Saad Omar Fahim, General Secretary, Mr. Saifur Rahman, Mr. Mahbubul Alam, Executive Directors of BSEC and President of Bangladesh Merchant Bankers Association Mr. Sayadur Rahman were present at the Road Show.

6.3 Discussion Meeting on Prevention of Creating Rumours in Stock Market by using Social Media

On September 15, 2021 a discussion meeting titled “Prevention of Creating Rumours in the Stock Market using Social Media and other platforms” was held among the representatives of Bangladesh Securities and Exchange Commission (BSEC), Bangladesh Telecommunication Regulatory Commission (BTRC) and Digital Security Agency of Bangladesh Computer Council. BSEC Commissioner Professor Dr. Shaikh Shamsuddin Ahmed, Director General of BTRC (Systems and Services) Brigadier General Mr. Md. Nasim Parvez, Director of Digital Security Agency (CA Operation and Security) Mr. Tareq M. Barkatullah and other officials of different level of the organizations were present at the meeting.

At the meeting, representatives of the BSEC emphasize to protect any post or comments which contain predictions of price of any listed securities or any other issue that harms the interests of investors by using social media or any other platforms. An awareness message on the provision of punishment under Digital Security Act, 2018 for such activities was given.

Besides, to protect the securities market and the interests of the investors the issue of working in coordination to develop possible strategies was discussed for ensuring to refrain any person or entity from publishing any information or report using the name or logo of BSEC, DSE and CSE through social media or any other means. Another issue on keeping any person or persons or any organization refrain from publishing any news or report using logo or name of BSEC, DSE or CSE through social media or any other platform was also discussed.

Representatives of BTRC mentioned various initiatives to deactivate the IDs of various groups and individuals who spreading rumours in the market and promised to make it more effective and integrated in the future. BTRC Director General of Systems and Services Brigadier General Mr. Md. Nasim Parvez said that, “BSEC would request BTRC through the Director General of Digital Security Agency to remove or block content from digital media as per sub-section (1 and 2) of section 8 of the Digital Security Act, 2018”. He also said that initiatives would be taken between the BSEC and the BTRC on how to complain as to position creation of rumour in the stock market through the BTRC’s Content Reporting System (CRS). Mr. Tarek M. Barkatullah, Director (CA Operations and Security), Digital Security Agency, pledged all possible cooperation on behalf of his organization to prevent rumours in the capital market.

It was decided in the meeting that, a coordination meeting between the BSEC and the BTRC will be held once in every three months. It was also decided that a senior officer from BSEC and BTRC would work as a focal point on behalf of their respective organizations through regular discussions.

6.4 Seminar on “Sustainable Development Goals (SDGs)”

On September 15, 2021 a seminar on Sustainable Development Goals (SDGs) was held at the Multipurpose Hall of the BSEC. The seminar was presided over by BSEC’s Commissioner Mr. Md. Abdul Halim and the main speaker was Mr. Md. Monirul Islam, Joint Secretary, SDG Specialist (PMO). Mr. Md Ashraful Islam, Executive Director and SDG focal point of BSEC also delivered speech on the seminar. Employees of various grade of the Bangladesh Securities and Exchange Commission participated in the seminar. During the session, the speakers discussed the necessary actions to be done to implement the SDGs in details.



Mr. Md. Monirul Islam, Joint Secretary, SDG Specialist, Prime Minister's Office is presenting the keynote at the seminar on Sustainable Development Goals (SDGs) at Multipurpose Hall, BSEC on 15th September, 2021.

6.5 Seminar on “Act & Rules of Right to Information”

A seminar program on “Act & Rules of Right to Information” for Deputy Directors of the Commission was held on 29th September, 2021 at Multipurpose Hall of the Securities Commission Bhaban as part of activities for implementation of the approved annual work plan of Bangladesh Securities and Exchange Commission for the fiscal year 2021-22. The program was chaired by Mr. Md. Abdul Halim honorable Commissioner of BSEC, Commission’s Focal Point Officer for Right to Information and Executive Director Mr. Muhammad Rezaul Karim made insightful speech in the seminar while the keynote speaker was Director of Information Commission Dr. Md. Abdul Hakim.



Participants and speakers of the seminar

6.6 Seminar on “Trade-Based Money Laundering in Bangladesh”

A seminar titled “Trade-Based Money Laundering in Bangladesh” was organized by the AML&CFT wing of the Bangladesh Securities and Exchange Commission on 09 August, 2021 under the Anti-Money Laundering & Combating the Financing to Terrorism. The seminar was chaired by the Commissioner of Bangladesh Securities and Exchange Commission Dr. Mizanur Rahman. Assistant Directors and the officials of above grade of BSEC participated at the seminar. The seminar was also attended by CFOs and Company Secretaries of listed companies, CEOs/Chairman of asset management companies and representatives of audit companies enlisted in the Commission’s panel through the Zoom platform. The keynote speaker at the seminar was Dr. Moinul Khan, the current VAT Commissioner and former Director General of VAT Intelligence, to elaborate on “Trade-Based Money Laundering in Bangladesh”



Assistant Directors and the officials of above grade of BSEC participated at the seminar

6.7 Capacity Building Programs

- Two days' training workshop on “Fundamental and Technical Analysis and Crisis Surveillance” was arranged on 20-21 August, 2021 for the officials of Market Surveillance and Intelligence Department of the Commission.
- A day long training program was arranged for the officials of Market Surveillance and Intelligence Department on 14th September, 2021. Honorable Commissioner Mr. Dr. Shaikh Shamsuddin Ahmed attended and inaugurated the program.



Officers participated in the training workshop

PART - II

7. Capital Issue

Capital Issue Department 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 Department also performs the tasks related to the right issue, 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, 2018

Securities and Exchange Commission (Rights Issue) Rules, 2006

সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (সম্পদ ভিত্তিক সিকিউরিটিজ ইস্যু) বিধিমালা, ২০০৮

Bangladesh Securities and Exchange Commission (Debt Securities) Rules, 2021

Initial Public Offering (IPO)

During July-September, 2021 the Commission gave consent to 3 (three) companies to raise capital of Tk. 65.36 crore from general public through Initial Public Offering (IPO) under Bangladesh Securities and Exchange Commission (Public Issue) Rules, 2015.

Qualified Investment Offer (QIO)

The Commission gave consent to 4 (four) companies to issue prospectus for rising capital of Tk. 53.00 crore from July, 2021 to September, 2021 through Qualified Investor Offer (QIO) to eligible investor.

Capital Raising through Private Offer

Public Limited Company

From July, 2021 to September, 2021 the Commission gave consent to 6 (Six) public limited companies to raise capital of Tk. 5226.29 crore through issuance of bond and Sukuk under Bangladesh Securities and Exchange Commission (Debt Securities) Rules, 2021. The details are given below:

Mediam of Raising Capital	No. of Company/Issuer	Total Capital (Crore in Tk.)
1	2	3
Common Stock	-	-
Perpetual Bond	3	1800.00
Subordinated Bond	-	-
Debenture	-	-
Convertible Preference Share	-	-
Subordinate Bond	-	-
Redeemable Preference share	-	-
Zero Coupon Bond	2	426.29
Sukuk	1	3000.00
Bond	-	-
Total	6	5226.29



Private Limited Company and Other Institution

During July-September, 2021 the Commission gave consent to 2 (Two) institutions to raise capital of Tk. 350.10 crore through issuance of bond under Bangladesh Securities and Exchange Commission (Debt Securities) Rules, 2021. The details are given below:

Mediam of Raising Capital	No. of Company/Issuer	Total Capital (Crore in Tk.)
1	2	3
Common Stock	-	-
Debenture	-	-
Convertible Preference Share	-	-
Subordinate Bond	-	-
Redeemable Preference share	-	-
Zero Coupon Bond	1	200.10
Bond	1	150.00
Total	2	350.10

Consent for raising of Capital through issuance of Bond, Debenture & Sukuk (Public and Private Offer)

Sl. No.	Name of the Company	Particulars	Consent Letter issued	Public Offer (IPO) (Amount in BDT)	Private Offer (Amount in BDT)	Total Amount (Taka)
1	2	3	4	5	6	7
1	Bangladesh Export Import Company Ltd.	Unsecured, Convertible, Green Sukuk of Tk. 30,000,000,000/-	8-Jul-21	7,500,000,000	22,500,000,000	30,000,000,000
2	HR Textile Mills Limited	Non-convertible, Zero Coupon Bond of Tk. 1,262,900,000/-	15-Jul-21	-	1,262,900,000	1,262,900,000
3	Thangamara Mohila Sabuj Sangha (TMSS)	Non-convertible, Zero Coupon Bond of Tk. 2,00,1000,000/-	24-Aug-21	-	2,001,000,000	2,001,000,000
4	Al-Arafah Islami Bank Limited	Unsecured, Contingent convertible, Floating Rate, Mudaraba, Perpetual Bond of Tk. 5,000,000,000/-	29-Aug-21	500,000,000	4,500,000,000	5,000,000,000
5	LankaBangla Finance Limited	Non-convertible, Zero Coupon Bond of Tk. 3,000,000,000/- (Face value)	5-Sep-21	-	3,000,000,000	3,000,000,000
6	Shahjalal Islami Bank Limited	Unsecured, Contingent convertible, Floating Rate, 2 nd Mudaraba, Perpetual Bond of Tk. 5,000,000,000/-	5-Sep-21	500,000,000	4,500,000,000	5,000,000,000
7	Islami Bank Bangladesh Limited	Unsecured, Contingent convertible, Floating Rate, 2 nd Mudaraba, Perpetual Bond of Tk. 8,000,000,000/-	5-Sep-21	800,000,000	7,200,000,000	8,000,000,000
8	PRAN Agro Limited	Unsecured, Non-convertible, Coupon Bearing Green Bond of Tk. 1,500,000,000/-	16-Sep-21	-	1,500,000,000	1,500,000,000
Total Taka						55,763,900,000

During July-September, 2021 the Commission accorded consent for issuance of prospectus of the following 03 (three) companies to raise capital of Tk. 65.36 crore through Initial Public Offering (IPO)

Sl. No.	Company Name	Consent Date	Capital (Before IPO) Tk.	Issue Price (Tk.)	Number of issued shares	IPO amount (incl. premium if any) Tk.	Paid up capital (Post IPO) Tk.
1	2	3	4	5	6	7	8
1	Sena Kalyan Insurance Co. Ltd.	26/08/21	24,00,00,000	10	16000000	16,00,00,000	40,00,00,000
2	ACME Pesticides Ltd.	07/09/21	1,05,00,00,000	10	30000000	30,00,00,000	1,35,00,00,000
3	Union Insurance Co. Ltd.	19/09/21	29,04,13,560	10	19360904	19,36,09,040	48,40,22,600
Total						65,36,09,040	

Commission accorded consent for publication of prospectus during July-September, 2021 under Bangladesh Securities and Exchange Commission (Qualified Investor offer by Small Capital Companies) Rules, 2018

Sl. No.	Name of the Company	Date of Consent	Paid up Capital (Before IPO) Taka	Issue Price Taka	Number of shares issued	QIO amount, in TK. (Including premium if any) Tk.	Paid up Capital (Post QIO) Taka
1	2	3	4	5	6	7	8
1	Oryza Agro Industries Limited	16-08-21	59,08,80,000	10	10000000	10,00,00,000	69,08,80,000
2	Master Feed Agrotec Limited	24-08-21	57,15,05,000	10	10000000	10,00,00,000	67,15,05,000
3	Mostafa Metal Industries Limited	09-09-21	37,85,50,000	10	11000000	11,00,00,000	48,85,50,000
4	Krishibid Feed Limited	21-09-21	27,50,00,000	10	22000000	22,00,00,000	49,50,00,000
Total					53,00,00,000		

8. Registration

Registration Department performed the following activities during July-September, 2021

Sl. No.	Type of Certificate	Name of the concerned Rules	Number of Certificate Issued/ Re-issue	Number of Certificate Renewed	Permission for Branch Opening of SD/SB & MB	Relocation/ shifting of Branch office for MB and SD/SB
1	2	3	4	5	6	7
1	Stock Dealer (DSE)	সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (স্টক ডিলার, স্টক ব্রোকার ও অনুমোদিত প্রতিনিধি) বিধিমালা, ২০০০	--	56	07	
	Stock Broker (DSE)	Do	--	57		
2	Stock Dealer (CSE)	Do	--	21		
	Stock Broker (CSE)	Do	--	23		
3	Authorized Representative (DSE)	Do	132	374		
4	Authorized Representative (CSE)	Do	08	59		
5	Merchant Bank (MB)	সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (মার্চেন্ট ব্যাংকার ও পোর্টফোলিও ম্যানেজার) বিধিমালা, ১৯৯৬	01	N/A		
6	Asset Management Company	সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (মিউচুয়াল ফান্ড) বিধিমালা, ২০০১	01	N/A		
7	Security Custodian	সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (সিকিউরিটি কাস্টডিয়ান সেবা) বিধিমালা, ২০০৩	--	--		
8	Depository Participants	ডিপজিটরি (ব্যবহারিক) প্রবিধানমালা, ২০০৩	--	82		

Sl. No.	Type of Certificate	Name of the concerned Rules	Number of Certificate Issued/ Re-issue	Number of Certificate Renewed	Permission for Branch Opening of SD/SB & MB	Relocation/ shifting of Branch office for MB and SD/SB
1	2	3	4	5	6	7
9	Trustee of Debt Securities	Bangladesh Securities and Exchange Commission (Debt Securities) Rules, 2021	14	N/A		
10	Trustee	Bangladesh Securities and Exchange Commission (Alternative Investment) Rules, 2015	--	N/A		
11	Trustee	সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (মিউচুয়াল ফান্ড) বিধিমালা, ২০০১	--	N/A		
12	Fund Manager	Bangladesh Securities and Exchange Commission (Alternative Investment) Rules, 2015	--	N/A		
13	Custodian for Mutual Fund	সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (মিউচুয়াল ফান্ড), বিধিমালা, ২০০১	--	N/A		
14	Credit Rating Company	Credit Rating Companies Rules, 1996	--	N/A		
Total			156	672	--	--

9. Enforcement

The Enforcement Department takes legal measures, including imposition of fines, 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 July-September, 2021 are furnished below:

Sl. No.	Particulars	Penalty	Warning	Dispose off	Total
1	2	3	4	5	6
1	Issuer Company/Director	0	8	0	8
2	Stock Broker/Stock Dealer/ Authorized Representative	0	61	2	63
3	Merchant Bank	0	0	0	0
4	Asset Management Company	0	0	0	0
5	Credit Rating Companies	0	0	0	0
6	Chartered Accountants	0	2	3	5
7	Investor	0	4	0	4
8	Stock Exchange	0	0	0	0
9	Others	0	7	0	7
	Grand Total	0	82	5	87

10. Corporate Finance

Corporate Financ Department performed the following activities during July-September, 2021

Sl. No.	Indicators	Expected	Actual
1	2	3	4
1	Annual Financial Statements Submission:		
1.1	Time extended	--	--
1.2	Time not extended	--	--
1.3	Referred to Enforcement Department to take action against issuer for non-submission	--	06
1.4	Regulatory submission of corporate annual reports	4	44
1.5	Number of Qualified opinion/Adverse opinion/Disclaimer from external independent auditor	--	13
1.6	Number of unqualified opinion of independent external auditors Analysis:	04	31
1.7	Explanation sought	--	16
1.8	Referred to Enforcement Department to take action against issuer for non-compliance with the securities laws	--	06
2	First Quarter (Q1) Financial Statements Submission:		
2.1	Time extended	--	--
2.2	Time not extended	--	--
2.3	Referred to Enforcement Department to take action against issuer for non-submission	--	06
2.4	Regulatory submission of interim (Q1) Financial Statements	04	17
3	Second Quarter (Q2) Financial Statements Submission:		
3.1	Time extended	--	--
3.2	Time not extended	--	--
3.3	Referred to Enforcement Department to take action against issuer for non-submission	--	06
3.4	Regulatory submission of interim (Q2) Financial Statements	119	108
4	Third Quarter (Q3) Financial Statements Submission:		
4.1	Time extended	--	--
4.2	Time not extended	--	--

Sl. No.	Indicators	Expected	Actual
1	2	3	4
4.3	Referred to Enforcement Department to take action against issuer for non-submission	--	06
4.4	Regulatory submission of interim (Q3) Financial Statements	02	12
5	Corporate Governance:		
5.1	Consent accorded for appointment of Independent Director	--	07
5.2	Consent not accorded for appointment of Independent Director	--	--
5.3	Explanation Sought	--	08
5.4	Regulatory Submission of Corporate Governance Audit Report	02	40
5.5	Nomination duly approved by the Commission	--	15
5.6	Nomination duly rejected by the Commission	--	04
6	Utilization of IPO/RPO/RI fund:		
6.1	Explanation/reports accepted	19	19
7	Enquiry/Investigation:		
7.1	Appointment of regulatory Enquires and Investigation Committee	--	--
7.2	Number of Enquires and Investigation	--	01
8	Special Audit:		
8.1	Appointment of Special Auditor *	--	03
8.2	Number of Special Audit	--	02
8.3	Referred to Enforcement Department to take action against issuer for non-compliance with the securities laws	--	--

N.B. * Special Audit for Fareast Finance and Investment Ltd., Prime Life Insurance Company Ltd. and Delta Life Insurance Company Ltd.

** Submission deadline is relaxed as per Directive No. BSEC/CMRRCD/2009-193/17; dated 03 May, 2021 due to lock-down on COVID-19 pandemic situations i.e. 14 April, 2021 to 10 August, 2021.

11. Legal Service

Total 547 cases filed by or filed against Bangladesh Securities and Exchange Commission remained pending in different courts. Name of the courts are given below along with number of pending cases:

Sl. No.	Name of the Court		Number of Cases
1	2		3
1	Supreme Court of Bangladesh	Appellate Division	13
		High Court Division	256
2	Special Tribunal, BSEC, Dhaka		16
3	District Judge Court, Joint District Judge Court, Assistant Judge Court, Dhaka		03
4	Chief Metropolitan Magistrate Court, Dhaka		03
5	General Certificate Court, Dhaka		256
Total Number of Cases :			547

12. Capital Market Regulatory Reforms and Compliance

The following amendments/orders/directives were issued in July-September, 2021

Sl. No.	Subject	Classification	Reference No.
1	2	3	4
1	Amendment to the Bangladesh Securities and Exchange Commission (Public Issue) Rules, 2015.	Notification	BSEC/CMRRCD/2009-193/27/ Admin/127; dated 19 July, 2021.
2	Directive for effective governance of the trustee of any debt securities.	Directive	BSEC/CMRRCD/2009-193/28; dated 13 September, 2021.

13. Supervision and Regulation of Intermediaries

In order to protect the interest of investors in securities, to increase the confidence among investors towards the capital market and to develop the securities market, SRI 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. This Department conducts routine inspection on the Market Intermediaries on monthly basis and also conducts special inspection as and when required. The Department also deals with the complaints lodged by the investors. During July-September, 2021 the following activities, among others, were performed by this Department:

A. Settlement of Complaints of Investors

SRI Department is responsible for settling the complaints of the investors of securities market. Since September 30, 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. As a result, efficiency, transparency and accountability in complaint settlement have been increased significantly. A summary of the complaints lodged by investors through CCAM are furnished below:

Type of the Institutions against which complaint received	Number of complaints received	Resolved	Under process
1	2	3	4
Stock Broker/Stock Dealer	104	84	20
Merchant Bank	10	4	6
Asset Manager	2	1	1
Issuer	28	27	1
Custodian	1	1	0
Total	145	117	28

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 the Institutions against which complaint received	Previous unresolved complaints	Complaints received during the period	Total complaints	Sent for Enforcement action	Resolved	Uploaded in CCAM	Under process
1	2	3	4	5	6	7	8
Stock Broker/Stock Dealer	11	8	19	4	5	7	3
Total	11	8	19	4	5	7	3

B. Exchange of Information with Government Organizations

An online platform called External Data Request Processing (EDRP) was introduced on April 15, 2019 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
1	2	3	4
Anti-Corruption Commission (ACC)	178	158	20
Criminal Investigation Department (CID)	7	7	-
National Board of Revenue (NBR)	8	8	-
Others	1	1	-
Total	194	174	20

C. Inspections on Market Intermediaries

During July-September, 2021 SRI Department has initiated 08 inspections on capital Market Intermediaries which are shown below:

Type of Market Intermediaries	Number of Inspections	Number of Reports Submitted	Under process
1	2	3	4
Stock Broker/Stock Dealer	7	7	-
Asset Management Company	1	-	1
Total	8	7	1

D. Enquiry/Investigation on Market Intermediaries

During July-September, 2021 SRI Department has initiated 01 Enquiry/Investigation on Market Intermediaries of the capital market. Details are shown below:

Type of Market Intermediaries	Number of Enquiry /Investigation	Number of Report Submitted	Under process
1	2	3	4
Merchant Bankers	01	-	01
Total	01	-	01

E. Action taken on the inspection reports submitted by the inspection teams

The inspection teams of SRI Department conducted inspection on Market Intermediaries and submitted reports to the Commission. Besides that, 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 July-September, 2021 the following actions were taken on the inspection reports received by SRI 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
1	2	3	4	5	6	7	8
BSEC	1	-	1	-	1	-	-
DSE	1	42	43	1	16	12	14
CSE	-	19	19	1	2	6	10
Total	2	61	63	2	19	18	24

F. Examination of Audited Financial Statements of TREC Holder companies

SRI Department, in collaboration with the stock exchanges, examines the Audited Financial Statements (AFS) of TREC Holder companies. During July-September, 2021 the following activities were performed regarding examination of audited financial statements of TREC Holders:

Particulars	Number of TREC Holder Companies	
	CSE	DSE
1	2	3
Examination of the Audited Financial Statements of TREC Holder companies by the Stock Exchanges	4	39
Observations forwarded to the Commission by the Stock Exchanges	-	91
Conduction of meeting with the TREC Holder companies by the Stock Exchanges	-	17

G. Appointment of Managing Director/CEO of Merchant Bankers

During July-September, 2021 the following activities were performed by the Department regarding appointment of Managing Director/CEO of Merchant Bankers:

Matter of Application	Number of previous Application	Number of Application received during the period	Total number of Application	Approval granted	Approval not granted	Under process
1	2	3	4	5	6	7
Appointment of Managing Director/CEO	3	5	8	2	1	5
Time extension for appointment of Managing Director /CEO in vacant post	-	3	3	3	-	-
Total	3	8	11	5	1	5

14. Market Surveillance and Intelligence

• Market Surveillance

The primary responsibility of Market Surveillance has been entrusted to the stock exchanges. However, BSEC keeps a proactive oversight on market movements and trends and in exceptional circumstances it analyses the same.

• Instant Watch

As part of daily online supervision of the market, the surveillance officials of the Commission watch surveillance system “Instant Watch Market” and analyze the trading activities of the stock exchanges in order to find out irregularities, suspicious trading and market misconducts, if any. At the end of the day, a daily trade report is prepared by pointing out market conditions and is submitted to the Chairman, the Commissioners and the concerned Executive Director of the Commission.

• Intelligence

The surveillance officials of the Commission use their intelligence and observe suspicion with 360 degree view to find financial crime in depth through watching stakeholder’s website, relevant news & report and “Business Intelligence” of “Instant Watch Market” system.

• Enquiry & Investigation

In order to ensure fair trading and build confidence among investors in the securities market, it is necessary to ensure proper compliance of securities related laws, rules and regulations through investigation in to suspicious and manipulative cases.

During July-September, 2021 BSEC conducted Enquiry & Investigation on unusual movement of price and volume of the following scripts:

Sl. No.	Enquiry & Investigation	Status
1	2	3
1	S.S Steel Limited	Explanation letter has been sent to SS Steel Ltd. to further clarify on investment accounts, source of invested fund, PSI and investors interest
2	Spreading rumour regarding prediction of price and undisclosed information through social and other media	The report has been submitted by the committee and based on this report MSI Department has already arranged a coordination meeting with BTRC and Digital Security Agency.
3	Anwar Galvanizing Ltd., GBB Power Ltd., Emerald Oil Industries Ltd., Bangladesh National Insurance Company Ltd., National Feed Mill Ltd., Paper Processing & Packaging Ltd., The Dacca Dyeing & Manufacturing Co. Ltd., Fu-Wang Ceramic Industries Ltd. and Beacon Pharmaceuticals Ltd.	Enquiry Committee is formed and the report is yet to be submitted.

During July-September, 2021 BSEC conducted the following inspections:

Sl. No.	Inspected Companies	Status
1	2	3
1	Shurwid Industries Limited	The report is under process.
2	Kattali Textile Limited	The report is referred to Enforcement Department for further necessary action.
3	CNA Textiles Limited	The report has been submitted and based on that report commission asked DSE to explain their position.

During July-September, 2021 Dhaka Stock Exchange Limited (DSE) and Chittagong Stock Exchange Limited (CSE) have submitted the following investigation reports to the Commission:

Sl. No.	Investigation Reports	Status
1	2	3
1	Bangladesh Finance and Investment Company Limited	The report was referred to Enforcement Department for further necessary action.
2	Dhaka Insurance Limited	The report was referred to Enforcement Department for further necessary action.
3	GBB Power Ltd.	The report was referred to Enforcement Department for further necessary action.
4	Asia Pacific General Insurance Limited	The report was referred to Enforcement Department for further necessary action.
5	Continental Insurance Limited	The report was referred to Enforcement Department for further necessary action.
6	Provati Insurance Company Limited	The report was referred to Enforcement Department for further necessary action.
7	NRB Commercial Bank Limited	The report was referred to Enforcement Department for further necessary action.
8	Global Insurance Company Limited	The report was referred to Enforcement Department for further necessary action.
9	Dominage Steel Building Systems Ltd.	The report was referred to Enforcement Department for further necessary action.
10	Bangladesh Thai Aluminium Ltd.	The report was referred to Enforcement Department for further necessary action.

Inspection of Surveillance Department of Stock Exchanges

The Surveillance Department of Stock Exchanges has been strengthened in terms of manpower and systems as directed by the BSEC. During July-September, 2021 the BSEC inspected Surveillance Department of Dhaka Stock Exchange Limited and Chittagong Stock Exchange Limited. Shortcomings and suggestions of the exchanges have also been provided through zoom platform to them for improvement of the functioning of Surveillance Department.

Coordination Meeting among the Stakeholders & Regulatory Bodies

Coordination meeting with Market Surveillance and Intelligence Department of the Commission and Surveillance Department of DSE was held on August 22, 2021 where present market scenario specially PSI and its implementation, share price movement of non-performing companies, to start an Integrated Back Office Software, to prepare an Integrated Insider Database have been discussed.

A coordination meeting among Bangladesh Securities and Exchange Commission (BSEC), Bangladesh Telecommunication Regulatory Commission (BTRC) and Digital Security Agency of Bangladesh Computer Council (BCC) was held on 15th September, 2021 on the issue “To protect investors from rumours in capital market by using social media and other platforms.”

Public Hearing on “Role of Smart Investor and Market Surveillance”

Public Hearing on “Role of Smart Investor and Market Surveillance” was arranged on August 29, 2021 where Commissioners of BSEC Dr. Shaikh Shamsuddin Ahmed, Mr. Md. Abdul Halim, entire team of Market Surveillance and Intelligence Department of the Commission, Surveillance Department of DSE & CSE, representatives of Capital Market Journalist Forum, Brokerage Houses, Merchant Banks and individual investors participated.

15. Mutual Fund & SPV

During July-September, 2021 Mutual Fund and SPV Department performed the following activities:

(1) Activities related to the approval of Mutual Fund

Sl. No.	Name of the Fund	Fund Highlights
1	2	3
1	GM Equity 1 st Mutual Fund	Nature: Open-end Mutual Fund.
		Life and Size of the Fund: Open-end.
		Sponsor & Asset Manager: GM Equity Limited.
		Trustee: Sandhani Life Insurance Company Ltd.
		Custodian: BRAC Bank Limited.
		Initial Size of the Fund: 10.00 Crore.
		Sponsors Contribution: Tk. 1.00 Crore. General Investors: Tk. 9.00 Crore.
		Face Value: Tk. 10 (Taka Ten) per unit.
		Prospectus Approval Date: 08.09.2021.

(2) A brief scenario of existing Mutual Funds

- Open-end Mutual Funds

Sl. No.	Name of the Fund	Fund Size (Taka in crore)	NAV at Cost Price (As on 30/09/2021)	NAV at Market Price (As on 30/09/2021)
1	2	3	4	5
1	ICB AMCL Pension Holders Unit Fund	48.74	41.23	38.22
2	ICB AMCL Unit Fund	839.75	839.75	855.72
3	Prime Financial First Unit fund	15.56	20.29	20.48
4	Alliance Shandhani Life Unit Fund	25.02	26.39	27.97
5	Bangladesh Fund	2,022.13	1,786.01	1,906.85



Sl. No.	Name of the Fund	Fund Size (Taka in crore)	NAV at Cost Price (As on 30/09/2021)	NAV at Market Price (As on 30/09/2021)
1	2	3	4	5
6	MTB Unit Fund	76.96	79.71	86.64
7	Rupali life Insurance First Mutual Fund	33.07	35.63	37.21
8	ICB AMCL Converted First Unit Fund.	40.15	40.15	39.79
9	CAPM Unit Fund	16.72	16.72	19.24
10	ICB AMCL Islamic Unit Fund	72.77	72.77	78.22
11	UFS Popular Life Unit Fund.	64.67	73.87	82.66
12	Peninsula AMCL BDBL Unit Fund One	19.01	12.60	14.34
13	VIPB Accelerated Income Unit Fund	52.69	63.09	73.12
14	First ICB Unit Fund	99.92	99.92	99.84
15	Second ICB Unit Fund	20.65	20.65	20.47
16	Third ICB Unit Fund	39.52	39.52	41.16
17	Fourth ICB Unit Fund	24.41	24.41	25.33
18	Fifth ICB Unit Fund	39.91	39.91	41.82
19	Sixth ICB Unit Fund	31.00	31.00	33.28
20	UFS Padma Life Islamic Unit Fund	46.81	51.78	57.52
21	LankaBangla 1 st Balanced Unit Fund	37.74	49.68	54.34
22	ATC Shariah Unit Fund	15.29	15.29	15.67
23	ICL Balanced Fund	30.35	34.54	39.25
24	Seventh ICB Unit Fund	47.06	47.06	48.71
25	UFS Pragati Life Unit Fund.	8.31	9.86	12.04
26	Prime Finance Second Mutual Fund	21.26	28.85	29.29
27	Eighth ICB Unit Fund	41.85	41.85	42.17
28	Credence First Growth Fund	20.00	21.15	23.77
29	UFS- IBBL Shariah Unit Fund	101.12	112.12	117.75
30	IDLC Growth Fund	28.62	34.05	39.22
31	NAM IBBL Islamic Unit Fund	19.84	19.84	19.74



Sl. No.	Name of the Fund	Fund Size (Taka in crore)	NAV at Cost price (As on 30/09/2021)	NAV at Market Price (As on 30/09/2021)
1	2	3	4	5
32	Peninsula Sadharan Bima Corporation Unit Fund	37.56	10.79	12.34
33	Zenith Annual Income Fund	6.22	10.59	12.33
34	HFAML Unit Fund	50.00	39.11	40.46
35	LankaBangla Al-Arafah Shariah Unit Fund	30.52	31.97	34.77
36	Credence First Shariah Unit	10.00	10.81	12.53
37	Shanta First Income Unit Fund	87.89	115.90	142.20
38	VIPB Growth Fund	18.89	21.06	23.09
39	IDLC Balanced Fund	41.03	47.25	54.05
40	UFS-Bank Asia Unit Fund	19.92	23.59	26.77
41	BCB ICL Growth Fund	26.04	29.38	32.88
42	Capitec Padma P.F. Shariah Unit Fund	35.99	35.99	36.99
43	EDGE Bangladesh Mutual Fund	39.74	39.74	45.20
44	HFAML-ACME Employees' Unit Fund	20.00	20.05	21.64
45	Vanguard AML Growth Fund	8.43	11.12	13.01
46	Shanta Amanah Shariah Fund	28.21	34.48	38.68
47	AAML Unit Fund	7.56	10.59	13.64
48	ICB AMCL Second NRB Unit Fund	141.03	141.03	158.24
49	Peninsula Balanced Fund	9.29	11.81	14.40
50	Constellation Unit Fund	10.00	5.13	5.56
51	CWT Emerging Bangladesh First Unit Fund	8.58	11.79	13.84
52	Esquire ICL Apparel Fund	19.73	24.39	28.60
53	Capitec Popular Life Unit Fund	28.51	28.51	31.31
54	IDLC Asset Management Shariah Fund	19.34	21.62	24.16
55	EDGE AMC Growth Fund	34.92	34.92	39.49
56	Ekush First Unit Fund	28.87	26.51	28.87
57	EBL AML 1 st Unit Fund	30.00	19.04	19.97

Sl. No.	Name of the Fund	Fund Size (Taka in crore)	NAV at Cost price (As on 30/09/2021)	NAV at Market Price (As on 30/09/2021)
1	2	3	4	5
58	1 st ACACIA SRIM SME Growth Unit Fund	39.37	39.37	42.08
59	CWT-Sadharan Bima Growth Fund	15.69	20.57	23.26
60	RACE Special Opportunities Fund	43.05	47.95	55.05
61	LB Gratuity Opportunities Fund	10.16	11.86	12.59
62	LB Gratuity Wealth Builder Fund	9.73	9.86	9.95
63	Joytun 1 st Unit Fund	10.00	10.55	10.79
64	RBIMCO BGFI Fund	10.00	10.19	10.21
65	CWT Opportunities Fund	20.34	20.69	22.32
66	IDLC Income Fund	13.75	13.88	13.95
67	Shanta Fixed Income Fund	13.15	13.09	13.09
68	VIPB Balanced Fund	10.69	11.68	13.22
69	Candlestone Rupali Bank Growth Fund	46.30	48.09	46.60
70	ICB AMCL Shotoborsho Unit Fund	20.00	29.99	33.20
71	Capitec IBBL Shariah Unit Fund	23.15	24.28	26.45
72	SAML Income Unit Fund	11.41	12.60	13.39

* Given Fund Size is as per the latest information received.

- Close-end Mutual Funds

Sl. No.	Name of the Fund	Fund Size (Taka in crore)	NAV at Cost Price (As on 30/09/2021)	NAV at Market Price (As on 30/09/2021)
1	2	3	4	5
1	IFIL Islamic Mutual Fund-1	100.00	110.05	105.12
2	Grameen Mutual Fund 1: Scheme Two	182.40	197.61	394.48
3	Prime Finance First Mutual Fund	20.00	38.50	33.63
4	EBL First Mutual Fund	144.75	159.72	160.50
5	ICB AMCL Second Mutual Fund	50.00	67.64	59.52
6	ICB Employees Provident Mutual Fund: Scheme-1	75.00	88.95	80.78
7	DBH First Mutual Fund	120.00	120.53	140.40
8	Trust Bank 1 st Mutual Fund	303.60	327.90	365.86
9	Prime Bank 1 st ICB AMCL Mutual Fund	100.00	119.55	113.71
10	IFIC Bank 1 st Mutual Fund	182.17	196.31	208.97
11	Phoenix Finance 1 st Mutual Fund	60.00	72.27	67.53
12	ICB AMCL 3 rd NRB Mutual Fund	100.00	115.97	105.55
13	First Janata Bank Mutual Fund	289.92	312.48	331.34
14	Green Delta Mutual Fund	150.00	150.85	174.50
15	Popular Life First Mutual Fund	299.09	323.77	349.46
16	PHP First Mutual Fund	281.89	298.62	329.65
17	AIBL 1 st Islamic Mutual Fund	100.00	101.20	116.49
18	MBL 1 st Mutual Fund	100.00	101.75	124.56
19	EBL NRB Mutual Fund	243.30	242.89	287.50
20	Southeast Bank 1 st Mutual Fund	99.80	127.29	134.69
21	Reliance One' The First Scheme of Reliance Insurance Mutual Fund	60.50	65.26	90.12
22	LR GLOBAL Bangladesh Mutual Fund One	311.08	359.09	420.02
23	AB Bank 1 st Mutual Fund	239.09	265.47	287.89
24	First Bangladesh Fixed Income Fund	776.15	842.36	928.10



Sl. No.	Name of the Fund	Fund Size (Taka in crore)	NAV at Cost Price (As on 30/09/2021)	NAV at Market Price (As on 30/09/2021)
1	2	3	4	5
25	NLI First Mutual Fund	50.33	62.09	74.55
26	NCCBL Mutual Fund-1	108.60	117.50	142.61
27	EXIM Bank 1 st Mutual Fund	143.26	155.09	175.09
28	ICB AMCL Sonali Bank Limited 1 st Mutual Fund	100.00	114.99	115.46
29	Asian Tiger Sandhani Life Growth Fund	61.80	66.49	75.35
30	SEML Lecture Equity Management Fund	50.00	56.50	56.69
31	Vanguard AML BD Finance Mutual Fund One	104.32	129.03	152.63
32	Vanguard AML Rupali Bank Balanced Fund	158.75	184.01	204.65
33	CAPM BDBL Mutual Fund 01	50.10	54.56	63.39
34	SEML IBBL Shariah Fund	100.00	109.89	111.45
35	ICB AMCL First Agrani Bank Mutual Fund	98.20	109.69	121.52
36	CAPM IBBL Islamic Mutual Fund	66.90	70.82	84.02
37	SEML FBSL Growth Fund	72.94	79.66	85.07

* Given Fund Size is as per the latest information received.

16. Supervision and Regulation of Markets and Issuer Companies

SRMIC Department of the Commission supervises 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 SRMIC are enumerated below:

- a. Monitoring the declaration of sale/purchase/transfer of securities by the sponsor/director of the listed companies.
- b. Monitoring the position of monthly shareholding of sponsors/directors.
- c. Monitoring disclosure of price sensitive information of listed companies.
- d. Approval of transfer of share of listed companies outside the stock exchanges.
- e. Monitoring all activities of stock exchanges (except securities transactions).
- f. Taking effective measures to resolve complaints related to capital market.

In light of the above mentioned regular functions, the SRMIC Department performed the following special functions to bring dynamism in the capital market during the period July-September, 2021:

- Under the relevant announcement of substantial securities purchase/sale/transfer by the sponsors/directors of the listed companies-3 companies have been approved and 2 companies have been called for explanation.
- Letter has been issued to a company to ensure 2%-30% monthly shareholding position of sponsors/directors.
- Recommendation for appointment of Managing Director and Chief Regulatory Officer of Dhaka Stock Exchange.
- To issue instructions for formulation of uniform service regulations of Dhaka and Chittagong Stock Exchanges.
- Approval of 9 new TREC issues of Dhaka Stock Exchange Ltd.
- Formation of a committee to investigate irregularities in the Delta Life Insurance.
- Initiative has been taken to appoint special audit to review the overall condition of Active Fine Co. Ltd.
- Boards of three companies have been reconstituted for their smooth management.
- Two notifications have been issued for transfer of OTC companies under SME, ATB and Exit Plan.
- Under the Exit Plan, three companies have been given initial approval for Exit.
- Instructing companies to increase free-float shares to 10% to increase supply of shares in the capital market.
- Complaints received related to the capital market have been sent to stock exchanges and companies for settlement.

Settlement of complaint by the stock exchange against listed companies during July-September, 2021

Nature of Complaint	No. of Complaints	Under Process	Resolved
1	2	3	4
Non-payment or delay in payment of dividend	24	5	19
Non-payment of debenture installment	-	-	-
Regarding transfer of shares	-	-	-
Non-receipt of letter of rights share offering	-	-	-
Non-receipt of annual report	-	-	-
Refund warrant	-	-	-
Non-demat of shares	-	-	-
Miscellaneous	-	-	-
Total	24	5	19

All the complaints are settled by DSE and report to the Commission as per the above format under the BSEC Notification No. SEC/SRMIC/94-231/271 dated October 12, 2011.

Information on Dividend Declared by the Listed Companies

The following Issuer Companies conducted Annual General Meeting and declared the dividend during July-September, 2021

Sl. No.	Code No.	Name	Year-End	Date of AGM	% of Dividend		Record Date	Declaration Date	Right
					Cash	Stock			
1	2	3	4	5	6	7	8	9	10
1	11120	Social Islami Bank Ltd.	202012	06-07-21	5.00	5%B	01-06-21	02-05-21	
2	11147	First Security Islami Bank Ltd.	202012	07-07-21	5.00	5%B	06-06-21	12-05-21	1R:2
3	25729	Asia Pacific General Insurance Co. Ltd.	202012	08-07-21	10.00	-	30-05-21	28-04-21	
4	25737	Standard Insurance Ltd.	202012	08-07-21	12.50	-	13-06-21	24-05-21	
5	11110	ICB Islamic Bank Limited	202012	13-07-21	Nil	-	12-05-21	01-04-21	
6	18451	Ambee Pharmaceuticals Ltd.	202006	13-07-21	15.00	-	28-06-21	08-06-21	
7	25701	Bangladesh General Insurance Company Ltd.	202012	14-07-21	12.00	-	14-06-21	20-05-21	
8	18481	Marico Bangladesh Ltd.	202103	26-07-21	900% (including 700% Interim)	-	27-05-21	28-04-21	
9	25739	Republic Insurance Company Ltd.	202012	27-07-21	7.00	7%B	24-06-21	27-05-21	
10	11141	Union Capital Ltd.	202012	28-07-21	Nil	-	22-06-21	31-05-21	
11	25705	Eastern Insurance Co. Ltd.	202012	29-07-21	20.00	-	25-05-21	02-05-21	
12	11125	Standard Bank Ltd.	202012	29-07-21	2.50	2.50%B	06-06-21	29-04-21	
13	25706	Janata Insurance Company Ltd.	202012	29-07-21	6.00	5%B	07-06-21	25-04-21	

Sl. No.	Code No.	Name	Year-End	Date of AGM	% of Dividend		Record Date	Declaration Date	Right
					Cash	Stock			
1	2	3	4	5	6	7	8	9	10
14	25709	Central Insurance Company Limited	202012	29-07-21	6.00	7.50%B	17-06-21	23-05-21	
15	17449	The Dacca Dyeing and Manufacturing Co. Ltd.	201812 201912	30-07-21	Nil	-	12-07-21	21-06-21	
15	17449	The Dacca Dyeing and Manufacturing Co. Ltd.	202012	30-07-21	1.00	-	12-07-21	21-06-21	
16	25736	Takaful Islami Insurance Ltd.	202012	31-07-21	10.00	-	21-06-21	09-05-21	
17	25740	Asia Insurance Co. Ltd.	202012	02-08-21	12.00	-	22-06-21	02-06-21	
18	25711	Rupali Insurance Company Ltd.	202012	03-08-21	10.00	-	10-06-21	02-05-21	
19	25713	Federal Insurance Company Ltd.	202012	04-08-21	5.00	5%B	07-07-21	09-06-21	
20	11119	National Credit and Commerce Bank Ltd.	202012	05-08-21	7.50	7.50%B	03-06-21	27-04-21	
21	11108	United Commercial Bank Ltd.	202012	05-08-21	5.00	5%B	30-06-21	09-06-21	
22	25742	Islami Insurance BD. Ltd.	202012	07-08-21	-	10%B	07-06-21	12-05-21	
23	25738	Northern General Insurance Co. Ltd.	202012	07-08-21	10.00	-	23-06-21	01-06-21	
24	11115	Al-Arafah Islami Bank Ltd.	202012	09-08-21	15.00	-	10-06-21	11-05-21	
25	11145	Trust Bank Ltd.	202012	09-08-21	10.00	10%B	07-07-21	09-06-21	
26	25744	Dhaka Insurance Co. Ltd.	202012	10-08-21	20.00	-	05-07-21	10-06-21	
27	25707	Phoenix Insurance Company Ltd.	202012	11-08-21	15.00	-	30-06-21	06-06-21	

Sl. No.	Code No.	Name	Year-End	Date of AGM	% of Dividend		Record Date	Declaration Date	Right
					Cash	Stock			
1	2	3	4	5	6	7	8	9	10
28	23603	Bata Shoe Company (Bangladesh) Limited	202012	12-08-21	25.00	-	22-06-21	02-06-21	
29	25731	Pragati Life Insurance Ltd.	202012	12-08-21	12.00	-	19-07-21	29-06-21	
30	25723	Global Insurance Co. Ltd.	202012	14-08-21	10.00	-	22-06-21	02-06-21	
31	11107	Rupali Bank Ltd.	202012	18-08-21	-	10%B	14-07-21	22-06-21	
32	25732	Prime Islami Life Insurance Ltd.	202012	23-08-21	Nil	-	12-07-21	22-06-21	
33	25724	Popular Life Insurance Company Ltd.	202012	24-08-21	40.00	-	26-07-21	27-06-21	
34	25751	Sonali Life Insurance Company Limited	202012	24-08-21	10.00	-	04-08-21	25-07-21	
35	25720	Pioneer Insurance Company Ltd.	202012	25-08-21	20.00	10%B	18-07-21	27-06-21	
36	25710	Karnaphuli Insurance Co. Ltd.	202012	26-08-21	10.00	-	27-06-21	23-05-21	
37	25717	Pragati Insurance Ltd.	202012	26-08-21	30.00	-	30-06-21	01-06-21	
38	11122	MIDAS Financing Ltd.	202012	20-09-21	2.50	2.5	25-08-21	03-08-21	
39	25730	Sonar Bangla Insurance Ltd.	202012	23-09-21	15.00	-	27-07-21	16-06-21	
40	25718	Sandhani Life Insurance Ltd.	202012	28-09-21	12.00	-	25-08-21	29-07-21	
41	11149	GSP Finance Company (Bangladesh) Limited	202012	28-09-21	-	10%B	07-09-21	16-08-21	
42	25750	Desh General Insurance Company Limited	202012	28-09-21	10.00	-	13-09-21	24-08-21	
43	25712	National Life Insurance Co. Ltd.	202012	29-09-21	32.00	-	18-08-21	29-07-21	
44	13248	Walton Hi-Tech Industries Limited	202106	29-09-21	250.00	-	05-09-21	11-08-21	
45	25715	Purabi Gen. Insurance Company Ltd.	202012	30-09-21	5.00	5%B	27-07-21	05-07-21	

17. Management Information System

- The main objectives of MIS Department is to carry out development of ICT infrastructure, maintenance and it's 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 bellow
 - 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 100 Mbps speed (including 100 Mbps redundant connection);
 - Taking back-up and preserve 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 to 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;
 - Ensuring information security of the Commission's dynamic website using SSL certificate, keeping the website always up through 3 domains-www.sec.gov.bd, www.secdb.org and www.এসইসিবিডি.বাংলা and updating the content;
 - Providing assistance to Digital Transformation Consultant for the purpose of modern digital transformation of the capital market.
- The activities accomplished/continued during July-September, 2021

Sl. No.	Activities Performed	Current Status
1	2	3
1	Launching of online-based Regulatory Information System (RIS) for listed companies and market intermediaries to collect information, carrying out activities and preserve data	All listed companies will submit their monthly/quarterly/annual reports and financial statement based on specified template/form through RIS. Based on specified template/form, the interested institutions will apply for registration as a market intermediaries in the capital market using RIS.
2	Launching Independent Directors' Online Database Platform for capital market related companies	A system has been developed for submitting the updated information of Independent Directors of different companies concerning capital market through Independent Directors' Online Database Platform. The launching of system is under process.

Sl. No.	Activities Performed	Current Status
1	2	3
3	Launching of Internet-based Cloud Back-up System to protect official data of the Commission's employees	The internet-based Cloud Back-up System has been prepared for the protection of official data of the employees of the Commission. The launching of system is under process.
4	Launching of ERP System	Using ERP system, the employees of the Commission are performing various daily activities such as Leave Application, Attendance Management, Stationary Requisition, Payroll Management & Accounting System etc. It has been implemented and post-implementation monitoring work is on-going.
5	Launching of Online IPO Application Submission Platform	The applicant of IPO will apply for IPO using Online IPO Application Platform. The system already has been developed and it is under process for launching.
6	Upgradation and modernization of Polycom Video Conferencing System	It is under implementing process.
7	Launching of Online Application for Enlistment of Audit Firms	Primarily, a template of application form is being prepared and the development process is ongoing based on template.

■ The uploaded information during July-September, 2021 in the Commission's website

- IPO Prospectus-02
- Mutual Fund Prospectus-01
- Enforcement Actions-74
- Other Order/Notification/Directive etc.-11
- Quarterly Report-02
- Press Release-14
- Tender Information-06
- Other received list.

18. Research and Development

During July-September, 2021 Research and Development Department performed the following functions:SSO

- Sending BSEC related updated information on implementation and progress of recommendations report included in the annual report of the Cabinet Division for the fiscal year 2019-2020;
- Sending a report comparative numerical information (according to prescribed table) on different indicators of BSEC's development and success in the fiscal years 2008-2009 and 2019-2020 for incorporating in the book titled "An Era of Development and Success of the present Government" to be published;
- Submission of annual report on the activities of BSEC performed in the fiscal year 2020-2021;
- Sending a summarize report on the most important functions of BSEC performed in the fiscal year 2020-2001;
- Sending information on monthly significant/important functions of the Commission as per requirement of the Financial Institutions Division of the Ministry of Finance;
- Sending capital market related information for incorporating in the book to be published Ministry of Finance, Financial Institutions Division.

During the period the following reports were edited/published by the Research and Development Department:

Sl. No.	Reports Name	Number
1	2	3
1	Quarterly Review	1
2	Bangla News Letter/Porikroma	1

19. Central Depository System

The following Companies joined Central Depository System during July-September, 2021

Sl. No	Name of the Companies	Applied for IPO (Fund Size in BDT)	Subscribed amount in BDT	Enlisted in CDS
1	2	3	4	5
1	Baraka Patenga Power Limited	2,250,000,000	2,250,000,000	15.07.2021
2	South Bangla Agriculture and Commerce Bank Limited	1,000,000,000	1,000,000,000	11.08.2021
3	Master Feed Agrotec Limited (QIO)	100,000,000	100,000,000	30.09.2021
4	Oryza Agro Industries Limited (QIO)	100,000,000	100,000,000	30.09.2021

The following Mutual Funds joined Central Depository System during July-September, 2021

Sl. No	Name of the Mutual Fund	Applied for IPO (Fund Size in BDT)	Subscribed amount in BDT	Enlisted in CDS
1	2	3	4	5
1	Candle Stone Rupali Bank Growth Fund	1,000,000,000	1,000,000,000	11.07.2021
2	IDLC Income Fund	100,000,000	100,000,000	24.07.2021
3	RBIMCO BGFII Fund	100,000,000	100,000,000	26.07.2021
4	LB Gratuity Wealth Builder Fund	100,000,000	100,000,000	15.08.2021
5	RACE Special Opportunities Unit Fund	350,000,000	350,000,000	24.08.2021
6	Shanta Fixed Income Fund	100,000,000	100,000,000	06.09.2021

20. International Affairs

1. Activities performed during the period July-September, 2021 Bangladesh Securities and Exchange Commission (BSEC) has successfully organized the Road Shows titled “Rising of Bengal Tiger: Potentials of Bangladesh Capital Markets” in the USA and Switzerland during 26 July-02 August, 2021 and 20-22 September, 2021 respectively. A team from the Commission led by Professor Shibli Rubayat-UI-Islam, Chairman BSEC along with other representatives from the different Financial Institutions of Bangladesh attended the Road Shows. A number of NRB and foreign investors actively participated in the programs.
2. International Affairs Department replied several correspondences of foreign bodies concerning queries on different issues and maintained continuous liaison throughout the quarter.
3. In that quarter, BSEC participated in different surveys of IOSCO and other international organizations.

21. Financial Literacy

Financial Literacy Department performed the following activities during July-September, 2021

Financial Literacy Department of the Commission conducts different types of Training, Seminar, Workshop and Conference to create awareness among the investors about investment decision making. The Department also trains the employees of different capital market institutions.

The activities of Financial Literacy Department of the Commission and DSE & CSE under the supervision of the department for the period of July-September, 2021 are given below:

Sl.	Particulars of Training	Number of participants
1	2	3
1	Training for Authorized Representatives	896
2	Training for General Investors	567
3	Training for Capital Market Intermediaries Employees	370
4	Training for TREC Holder Companies Employees of DSE and CSE	1,087
	Total	2,920 Persons

22. Operational Statistics of Stock Exchanges

DSE Operational Statistics

July-September, 2021

Trading Months	DSE Broad Index (DSEX) (as on last Trading Day)	Market Capitalization (as on last Trading Day) Million Taka	No. of Trading Days	Turnover of Securities in Million Quantity		Traded Amount in Million Taka	
				Monthly	Daily Average	Monthly	Daily Average
1	2	3	4	5	6	7	8
July	6,425.26	5,344,048.03	15	8,550.00	570.00	233,033.87	15,535.59
August	6,869.25	5,579,723.32	18	14,660.00	814.44	451,186.93	25,065.94
September	7,329.04	5,815,431.23	22	12,010.00	545.90	507,063.98	23,048.36
Total	--	--	55	35,220.00	640.36	1,191,284.78	21,659.72

* Index and Market Capitalization of the last Trading Day of the months have been considered as relevant figures are of respective months.

CSE Operational Statistics

July-September, 2021

Trading Month	All Share Price Index (as on last Trading Day)	Market Capitalization in Million Taka (as on last Trading Day)	No. of Trading Days	Turnover of Securities in Million Quantity		Traded Amount in Million Taka	
				Monthly	Daily Average	Monthly	Daily Average
1	2	3	4	5	6	7	8
July	18,635.3972	4,577,200.98	15	400.53	26.70	9,051.30	603.42
August	19,997.4537	4,804.659.29	18	737.48	40.97	17,093.22	949.62
September	21,377.0725	5,041,764.16	22	567.85	25.81	18,442.50	838.29
Total	--	--	55	1,705.86	31.01	44,587.02	810.67

* Index and Market Capitalization of the last Trading Day of the months have been considered as relevant figures are of respective months.

23. Press Releases

The Commission 14 Press Releases on it's activities during this period, which were uploaded in the Commission's website (www.sec.gov.bd, www.secbd.org and www.এসইসিবিডি.বাংলা).



BSEC Website Content

- About BSEC
- Notable Events
- Press Release
- Securities Laws
- Investor's Information
- IPO Prospectors
- Annual Report
- Quarterly Report
- Enforcement Actions
- List of Market Intermediaries
- Employment Information
- Tender Information
- Comments Request on Rules Amendment
- Important Links

রেফারেন্স রুম

সিকিউরিটিজ কমিশন ভবন, ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭, বাংলাদেশ
ফোন: (৮৮)-০২-৫৫০০৭১৭৩-২, ফ্যাক্স: (৮৮)-০২-৫৫০০৭১০৬

যা আছে:

- বিএসইসি'র প্রকাশনা
 - তালিকাভুক্ত কোম্পানিসমূহের প্রসপেক্টাস
 - তালিকাভুক্ত কোম্পানিসমূহের বার্ষিক প্রতিবেদন
- তালিকাভুক্ত কোম্পানিসমূহের প্রকাশিত অর্ধ-বার্ষিক হিসাব বিবরণী
- সিকিউরিটি আইন, রুলস্ ও রেগুলেশনস্/গেজেট নোটিফিকেশনস্
 - পুঁজিবাজারের উপর স্থানীয়/বিদেশি প্রকাশনা
 - বিএসইসি প্রকাশনার গ্রাহক হওয়ার সুযোগ

বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

সিকিউরিটিজ কমিশন ভবন

ই-৬/সি, আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭, বাংলাদেশ

Website: www.sec.gov.bd, www.এসইসিবিডি.বাংলা

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