



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন
সিকিউরিটিজ কমিশন ভবন
ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭
www.sec.gov.bd



BSEC/Enforcement/2937/2020/954

Dated: November 26, 2020

By Special Messenger

Cosmopolitan Finance Limited (Merchant Banker)
Summit Centre (6th Floor),
18 Karwan Bazar C/A,
Dhaka 1215.

Attention: Managing Director/CEO

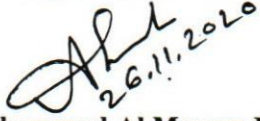
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement /2937/2020/600 dated September 15, 2020 based on which the hearing was conducted on 28.09.2020.

The Commission, considering your explanation vide letter ref. No. CFL/SEC/2020/03 dated September 28, 2020 and CFL/BSEC/Share-Allotment/2020/04 dated October 15, 2020 has decided to dispose of the proceedings against Cosmopolitan Finance Limited by placing on record the Commission's dissatisfaction on the default/contravention made by you with a warning to ensure compliance of all securities related laws in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of such default.

For Bangladesh Securities and Exchange Commission,


26.11.2020
Mohammad Al Masum Mirdha
Deputy Director (Enforcement)
Phone : 55007147
Email: almasum@sec.gov.bd

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.

“মুজিববর্ষের অঙ্গীকার
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”