



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/2907/2020-1079
Date: December 20, 2020

By Courier

Shanta Securities Limited (DSE TREC Holder No. 039)
Room # 603 (5th Floor), Stock Exchange Building
9/F, Motijheel C/A, Dhaka-1000

Attention: Managing Director/CEO

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

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2907/2020-594 dated September 13, 2020 based on which the hearing was conducted on September 28, 2020.

The Commission, considering apology and written explanation of the accused vide letter ref no: -- dated September 27, 2020-which was submitted at the time of hearing, has decided to dispose-off the proceedings against you by placing on record the dissatisfaction of the Commission 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 Shanta Securities Limited, its Directors, Managing Director, Company Secretary and any other who involved from their lawful responsibilities/obligations to the person(s) who affected (if any), as a result of such default.

For Bangladesh Securities and Exchange Commission,


20.12.2020

Md. Rafiqunnabi
Assistant Director
E-mail- rafiq@sec.gov.bd
Cell- 01786 327 667

Copy for information:

1. Chairman's Office, BSEC
2. Commissioner (Enforcement), BSEC
3. Executive Director (MSI), BSEC
4. Executive Director (MIS), BSEC
5. Office file

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