



Bangladesh Securities and Exchange Commission

Securities Commission Bhaban

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

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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, with the objectives of 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, Dr. M. Khairul Hossain is serving as the Chairman of the Commission and Prof. Md. Helal Uddin Nizami, Dr. Swapan Kumar Bala and Mr. Khondoker Kamaluzzaman are serving as the Commissioner of the Commission.

Bangladesh Securities and Exchange Commission (BSEC) has been elevated to 'A' category member of International Organization of Securities Commissions (IOSCO) on 22 December, 2013 for achieving international standard through capital market reforms.

Bangladesh Securities and Exchange Commission



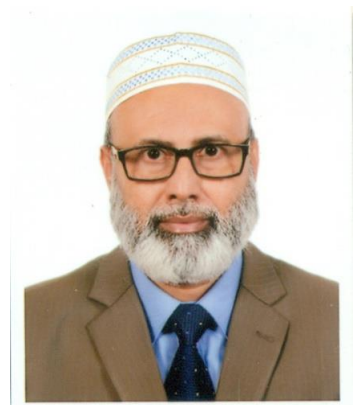
Dr. M. Khairul Hossain
Chairman



Professor Md. Helal Uddin Nizami
Commissioner



Dr. Swapan Kumar Bala FCMA
Commissioner



Mr. Khondoker Kamaluzzaman
Commissioner

2. Executive Directors and Head of the Departments of the Commission

SL No.	Name	Designation	Head of the Departments
1	Mr. Farhad Ahmed	ED	SRI and CDS
2	Mrs. Ruksana Chowdhury	ED	Capital Issue, Enforcement, Office of the Chief Accountant, Internal Audit and AML&CFT Wing
3	Dr. ATM Tariquzzaman	ED	At present in Newzealand under lien
4	Mr. Md. Anowarul Islam	ED	SRMIC and Admin & Finance
5	Mr. Md. Saifur Rahman	ED	Surveillance, Project Director and Spokesperson of the Commission
6	Mr. Md. Ashraful Islam	ED	MIS and R&D
7	Mr. M. Hasan Mahmud	ED	MF&SPV and Corporate Finance
8	Mr. Mahbubul Alam	ED	Registration, International Affairs, Financial Literacy and Director General of Bangladesh Academy of Securities Market
9	Mr. Mahbuber Rahman Chowdury	ED	CMRRC and Law

3. Directors of the Commission

SL No.	Name	Designation	Departments
1	Mr. Kamrul Anam Khan	Director	SRMIC
2	Mr. Mohammad Rezaul Karim	Director	Capital Issue and Financial Literacy
3	Mr. Shafiul Azam	Director	SRI
4	Mr. Ripan Kumar Debnath	Director	CMRRC
5	Mr. Mir Mosharraf Hossain	Director	Enforcement
6	Mr. Mohammad Jahangir Alam	Director	Registration
7	Mr. Mahmoodul Hoque	Director	MF and SPV
8	Mr. Prodip Kumar Basak	Director	Capital Issue and Corporate Finance
9	Mr. Rajib Ahmed	Director	MIS
10	Mr. Abul Kalam	Director	Finance
11	Mr. Mansur Rahman	Director	Capital Issue
12	Mr. Mohammad Abul Hasan	Director	Admin
13	Mr. Sheikh Mahbub Ur Rahman	Director	Surveillance
14	Ms. Farhana Faruqui	Commission Secretary and Director	Commission Secretariat and IAD
15	Mr. Abu Rayhan Mohammad Mutasim Billah	Director	Research & Development

4. The Missions of the Commission

An efficient, transparent and fair capital market plays an important role in development of a country's industrialization and economic development. To develop such a fair and accountable capital market, Bangladesh Securities and Exchange Commission was established as the regulator of the capital market with the following missions:

- Protecting the interest of investors in securities;
- Developing the capital and securities markets; and
- Making rules on securities related matter or ancillary thereto.

The Commission consists of the Chairman and four full time Commissioners who are appointed by the government for four years and terms of their service is determined by the government. The government may reappoint them subject to their age not exceeding 65 years. The Chairman discharges duties as the chief executive of the Commission.

The Commission carries out all its activities to meet purposes of the securities laws. Major activities of the Commission are listed below:

- Approval for issuance of securities;
- Making of securities related Rules;
- Market surveillance on securities trading ;
- Ensuring corporate governance in listed companies,
- Conducting countrywide financial literacy;
- Enforcement actions against violation of securities Laws;
- Regulating capital market and its intermediaries;
- Conducting research and publishing information.

5. Capital Market Related Activities:

A) Inauguration of World Investor Week 2019



On 30 September 2019 in the BSEC Multipurpose Hall, the chief guest Dr. M. Khairul Hossain chairman of the commission inaugurated World Investors Week-2019. the commissioner of the commission, Professor. Helal Uddin Nizami, Prof. Dr. Swapan Kumar Bala, Mr. Khondoker Kamaluzzaman, Executive Director Mr. Farhad Ahmed and Mr. Md. Mahbubul Alam are in the stage

The International Organization of Securities Commissions (IOSCO), an international body that sets global standards for capital market regulators, has been announcing Global Investment Week every year since 2017 to create awareness among investors. Accordingly, World Investor Week was celebrated in Bangladesh for the third time from September 30 to October 6, 2019. On September 30, 2019, BSEC's Chairman Dr. M. Khairul Hossain inaugurated World Investors Week-2019 at the Securities Commission Building. BSEC Commissioner Prof. Md. Helal Uddin Nizami, Prof. Dr. Swapan Kumar Bala, Mr. Khondoker Kamaluzzaman, Executive Director Mr. Farhad Ahmed and Mr. Md. Mahbubul Alam were present in the seminar. Including BSEC officials about 200 representatives of capital market related organizations participated in that event.



The chief guest Dr. M. Khairul Hossain, BSEC's Chairman spoke addressing the audience on the occasion of World Investors Week 2019 addressed the gathering

In the keynote address, BSEC's Chairman congratulated all the stakeholders including the investors on the occasion of World Investor Week 2019 and highlighted the significance of this day. With a view to improve the market he added that steps have been taken to bring telecom company Robi to the capital market to increase its market capitalization and more new products would be launched before June next year. As a consequence the depth and stability of the market will be increased. Regarding the Customer Complaints Address Module set up by the Commission to expedite the receipt and disposal of complaints of investors, he said that investors could lodge their complaints through online using this module and BSEC will address the complaints at the earliest by itself or through concerned organizations and let them inform through online. In the second session Mr. Mohammad Rezaul Karim, Director, BSEC, showed a presentation to the representatives of Trec holder organizations on "Different Aspects of Investment Education and Ensuring Good Governance".

B) A seminar on 'The Role of Independent Directors to protect the interest of Minority Shareholders' organized by Dhaka Stock Exchange Limited at Hotel Sonargaon in the capital.



BSEC's commissioner Prof. Md. Helal Uddin Nizami was present as the chief guest in the seminar titled 'The Role of Independent Directors to Protect the Interest of Minority Shareholders' Organized by Dhaka Stock Exchange Ltd. at Hotel Sonargaon in the capital

On 01 October 2019 on the second day of World Investors Week 2019, DSE organized a seminar on 'The Role of Independent Directors to Protect the Interest of Minority Shareholders' at Hotel Sonargaon in Dhaka. BSEC's Commissioner Prof. Md. Helal Uddin Nizami was present as the chief guest. About 60 independent directors participated in the seminar. DSE's Chairman Prof. Dr. Abul Hashem presided over the seminar.

Speaking as the chief guest at the seminar, Professor Nizami said that there are independent directors in the listed companies to protect the interests of investors and the government as well. However, they are not performing their responsibilities properly. Because the power of the board of directors of listed companies is still in the hands of family members. So, the Independent directors cannot exercise their powers till now. As a result, although they are supposed to see the various issues including the company's audit report, but they cannot do that. Consequently the problem is continuing. He urged them to keep in touch with the Commission on regular basis and let them know about the problems. He said that Commission will cooperate them to solve the problems.

He added that the NRC committee has been formed in the light of the rules of IOSCO. Strickt measures have been taken towards Chartered accounts and audit firms, which creates space of expectation and trust.

C) A symposium on Investor Education and Protection organized by CDBL at Hotel Sonargaon in Dhaka



Dr. M. Khairul Hossain, chairman BSEC is addressing the Symposium as the chief guest

On 02 October 2019, on the third day of World Investment Week 2019, CDBL organized "Symposium on Investor Education and Protection" at Hotel Sonargaon, Dhaka. BSEC's

chairman Dr. M. Khairul Hossain was present as the chief guest, CDBL Chairman Mr. Sheikh Kabir Hossain presided over the seminar. About 100 institutional investors participated there.

D) Conference on Awareness of Retail Investors regarding Fixed Income Securities organized by BSEC at Securities Commission Building:

On 03 October 2019, on the fourth day of World Investors Week 2019, BSEC organized “Conference on Awareness of Retail Investors Regarding Fixed Income Securities” at the Multipurpose Hall of Securities Commission building. BSEC’s chairman Dr. M. Khairul Hossain inaugurated the conference. 15 representatives of market intermediaries and senior officials of potential issuer companies attended there.



BSEC's chairman Dr. M. Khairul Hossain is addressing the conference at the opening ceremony

"We don't have a lot of fixed income securities here," he said. What are the obstacles in bringing such products, what kind of new products can be brought and how investors can expand their alternative sources of investment; initiatives have to be taken in this connection. This will reduce their degree of risk. Our investors do have limited knowledge regarding capital market. Bangladesh Academy for Securities Market has been established to develop trained and skilled manpower as well as conscious investors for developing capital market. It will be the function of the academy to expand the investors' knowledge by making them educated in investment education, so that they could earn profit applying their knowledge in investment.



Commissioner Dr. Swapan Kumar Bala is delivering speeches at the first to the conference,

The conference is conducted in two sessions. The chief guest of the 1st session was Dr. Swapan Kumar Bala, Commissioner BSEC and 2nd session was Prof. Md. Helal Uddin Nizami, Commissioner BSEC.

Dr. Bala said that there has been some progress on Bond. The BSEC, Bangladesh Bank and the National Board of Revenue (NBR) are working together on how to develop an effective bond market.



Commissioner Prof. Md. Helal Uddin Nizami is delivering speech at the Second session of the Conference.

Mr Nizami added that there were some risks involved in asset-backed securities investment. Nevertheless, we have to move forward. In this case, we have to keep an eye on the investors, so that they would not be deceived. If even 30 per cent of the PPP project can be implemented through sukuk and asset backed securities, then there would be a remarkable change in the face of the economy.

E) Closing Ceremony of World Investors Week 2019 held at the Securities Commission Building



BSEC chairman Dr. M. Khairul Hossain and the commissioner of the commission, Professor. Helal Uddin Nizami, Prof. Dr. Swapan Kumar Bala and Khondoker Kamaluzzaman and Executive Director Mr. Farhad Ahmed are in the stage

The closing ceremony of World Investors Week 2019 was held on 06 October 2019 at the Multipurpose Hall of the Securities Commission Building. BSEC's chairman said on the occasion that financial literacy is playing a role in establishing good governance in the stock market. This is why, for developing the capital market all the concerned along with small investors need to learn investment education. So in this World Investors Week, everyone has been targeted to learn investment education. The commissioners and all the officials were present there.

In addition, on the occasion of World Investor Week-2019, DSE, CSE, East West University, BMBA and market intermediaries organized a week-long seminar, symposium on financial literacy and protection for investors.

5.2 Seminar on Introducing Green Bond in Bangladesh organized by Bangladesh Academy for Securities Market (BASM)



Mr. Md. Asadul Islam, Senior Secretary, FID is delivering speech as the chief guest in the seminar

On November 20, 2019 a seminar on "Introducing Green Bond in Bangladesh" was held at the Securities Commission Building at the initiatives of Bangladesh Academy for Securities Market (BASM). Mr. Md. Asadul Islam, Senior Secretary, Financial Institutions Division, Government of the People's Republic of Bangladesh was present as the Chief Guest in the inaugural session. He mentioned about the potential role of Green Bond as a source of funding for various climate and environment friendly projects in the country and the lack of adequate infrastructure & skilled manpower in issuing green bond and way out of this in his speech. BASM will conduct regular more training for all stakeholders including regulators, policy makers, issuer companies, stock exchanges, banks, non-bank financial institutes, merchant bankers, asset management companies and fund managers in order to grow awareness among them, he expressed hopes.



Dr. M. Khairul Hossain the chairman of BSEC and the chairman of BASM's Board of Governors is speaking

The event was presided over by Dr. M. Khairul Hossain, the Chairman of BSEC and the Chairman of Board of Governors of BASM. On the occasion, the chairman said that sustainable development requires sustainable financing and investment. In this case, he put emphasis on raising fund from the capital market through the issuance of green bonds. He mentioned the potentiality of green financing for renewable energy and its moderate use, green building and green transport infrastructure in Bangladesh. Beside this, he mentioned the various steps taken recently by the commission to develop the overall bond market, along with green bonds. Officers from FID and Commissioners of the Commission were present at that time among all.



Executive Director of the Commission and BASM
Director General Mr. Md. Mahbubul Alam is delivering welcome speech

Mr. Md. Mahbubul Alam, Executive Director of BSEC and Director General of BASM delivered the welcome address. Mr. Mohammad Rezaul Karim, Director, BSEC and Additional Director General, BASM presented the keynote at the seminar. The main article provides an overview of green bonds and discusses the prospects and challenges of green bonds in the context of Bangladesh.



In the technical session of the seminar on 'Introducing Green Bond in Bangladesh', Additional Secretary Mr. Arijit Chowdhury, Commissioner Dr. Swapan Kumar Bala, Member (Policy) of NBR Mr. Md. Alamgir Hossain, IDRA member Dr. M Mosharraf Hossain and Mr. Md. Mahbubul Alam, Executive Director and DG of BASM participated in the panel discussion

During the technical session of the seminar, a panel discussion was held on "Prospect and Challenges on Introducing Green Bond in Bangladesh". Additional Secretary of FID Mr. Arijit Chowdhury, Commissioner Swapan Kumar Bala, Member of the National Board of Revenue (Policy) Mr. Md. Alamgir Hossain and Member of the Insurance Development and Regulatory Authority. M Mosharraf Hossain participated in panel discussion. The session was conducted by Mr. Md. Mahbubul Alam, Executive Director of BSEC and Director General of BASM. 150 participant including representatives of various government institutions, stock exchanges, banks, non-bank financial institutions, merchant bankers, asset management companies and fund managers presented and many of them provided their valuable views on green bonds.

5.3 Workshop 2019 for increasing awareness on Prevention of Money Laundering and Financing of Terrorism



Chairman of the Commission, Dr. M. Khairul Hossain is delivering speech as the chief guest in the Workshop 2019 for increasing awareness on Prevention of Money Laundering and Financing of Terrorism on 8 November ,2019

On November 8, 2019, Bangladesh Securities and Exchange Commission organized a workshop titled “Workshop 2019 for increasing awareness on Prevention of Money Laundering and Financing of Terrorism “at Hotel Royal Tulip Sea Pearl Beach Resort, Inani, Cox's Bazar. The chairman of the commission Dr. M. Khairul Hossain was present as the chief guest and commissioner Prof. Md. Helal Uddin Nizami, Dr. Swapan Kumar Bala and Mr. Khaondoker Kamaluzzaman were present as the special guest. Employees of different levels of the commission participated in the workshop. Mrs. Ruksana Chowdhury, Executive Director of the Commission delivered the welcome speech at the program. Dr. M. Khairul Hossain highlighted the importance of the issue in his speech as the chief guest and announced the auspicious inauguration of the event. Mrs. Ruksana Chowdhury presented the key note. She discussed the overall issues of Prevention of Money Laundering Act 2012, Anti-Terrorism (Amendment) Act, 2013, Necessity to prevention of Money Laundering, Responsibilities of the regulatory authority (Rule-32) as per Prevention of Money Laundering Rules-2019 in her key note presentations.

5.4 Workshop 2019-2020 for implementation of National Integrity Strategy



Dr. M. Khairul Hossain the chairman of the commission is speaking as the chief guest

On 9th November, 2019, Bangladesh Securities and Exchange Commission organized a workshop on “Workshop 2019-2020 for implementation of National Integrity Strategy” at Hotel Royal Tulip Sea Pearl Beach Resort, Inani, Cox's Bazar. Dr. M. Khairul Hossain the chairman of the commission was present as the chief guest and commissioner Prof. Md. Helal Uddin Nizami, Dr. Swapan Kumar Bala and Mr. Khondoker Kamaluzzaman were present as the special guest. Employees of different levels of the commission participated in the workshop. Mrs. Ruksana Chowdhury, Executive Director of the Commission delivered the welcome speech at the beginning of the program. Dr. M. Khairul Hossain highlighted the importance of National Integrity Strategy in his speech and inaugurated the event. Mrs. Ruksana Chowdhury presented the key note. In the key note, she discussed the work plan for the implementation of the National Integrity Strategy 2019-2020 in the Bangladesh Securities and Exchange Commission, the necessity to implement the National Integrity Strategy, etc.

6. Capital Market Regulatory Reforms and Compliance (CMRRC)

Following amendments/orders/directives have been issued by the Commission which are presented in website:

Serial No	Subject	Classification	Reference No.
1.	Order regarding share price movement in the stock exchange trading	Order	BSEC/CMRRCD/2001-07/229 dated 14 November 2019
2.	Order to repeal the Order No. SEC/CMRRCD/2001-07/168 dated 13 May 2015	Order	BSEC/CMRRCD/2001-07/230 dated 14 November 2019
3.	Amendment to the সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (মার্চেন্ট ব্যাংকার ও পোর্টফোলিও ম্যানেজার) বিধিমালা, ১৯৯৬	Notification	BSEC/CMRRCD/2001-50/231/Admin/100 dated 10 December 2019
4.	Bangladesh Securities and Exchange Commission (Alternative Trading System) Rules, 2019	Notification	BSEC/CMRRCD/2001-16/232/Admin/101 dated 31 December 2019

7. Corporate Finance

Sl. No.	Particulars	Action taken	No. of Company
1.	Reports on utilization of proceeds of IPO/RPO/Rights Issue / Convertible Preference Shares	Reports/Audit reports on utilization of fund raised through IPO/RPO/Rights Issue/Convertible Preference Shares have been accepted by the Commission	02
		Explanation sought from the issuers	01
		Referred to Enforcement Department to take necessary action against the issuer for non-compliance with the securities laws	01
		Referred to Enforcement Department to take necessary action against the auditor for non-compliance with the securities laws	01
2.	Extension of time for submission of Audited Financial Statements for the year ended on June 30, 2016;2017; 2018 and 2019	Time extended	07
		Time not extended	09
		Referred to Enforcement Department for non-submission of Audited Financial Statements within stipulated time	16
3.	Audited Financial Statements for the year ended on June 30, 2017 and 2019	Explanation sought from the issuer	02
		Issuer's explanations on the information provided in the financial statements has been accepted by the Commission	03
		Referred to Enforcement Department to take necessary action against the issuer for non-compliance with the securities laws	02
		Referred to Enforcement Department to take necessary action against the auditor for non-compliance with the securities laws	01
4.	Extension of time for submission of quarterly audited /un-audited financial statements for the 1 st quarter ended on September 30, 2016;2017; 2018 and 2019	Time extended	06
		Referred to Enforcement Department for non-submission of quarterly financial statements within stipulated time	14
5.	Extension of time for submission of quarterly audited /un-audited financial statements for the 2 nd quarter ended on December 31, 2015; 2016; 2017; 2018 and 2019	Time extended	01
		Referred to Enforcement Department for non-submission of quarterly financial statements within stipulated time	15
6.	Extension of time for submission of quarterly audited /un-audited financial statements for the 3 rd quarter ended on March 31, 2016; 2017; 2018 and 2019	Referred to Enforcement Department for non-submission of quarterly financial statements within stipulated time	14
7.	Appointment of Independent Director	Consent accorded	07
		Consent not accorded	02

8. Capital Issue

List of approval of Public Limited Companies' capital raising:

Sl No	Name of the Company	Consent Letter issued	Amount
1	Power Grid Company of Bangladesh Limited	27.11.2019	2,518,140,000
	Total Taka		2,518,140,000

List of approval of Companies' Bond and Debenture issues:

Sl No	Name of the Company	Consent Letter issued	Amount
1	Pubali Bank Limited	31.10.2019	7,500,000,000
2	United Finance Limited	31.10.2019	1,000,000,000
3	North-West Power Generation Company Limited	19.11.2019	10,000,000,000
4	Islami Bank Bangladesh Limited	27.11.2019	6,000,000,000
5	Mutual Trust Bank Limited	31.12.2019	5,000,000,000
	Total Taka		29,500,000,000

Serial No.	Name of the Company	Date of Approval	Amount (BDT)
01	Golden Harvest Agro Industries Limited	01.10.2019	899,323,420.00

09. Surveillance

Daily Market Surveillance:

As part of daily market surveillance, the surveillance officials watch and analyze the trading activities of the stock exchanges through Commission's surveillance system "InstantWatch Market" in order to find out irregularities, suspicious trading and market misconducts, if any. At the end of daily trading, a daily trade report is prepared by pointing out market conditions and is submitted to the Chairman, the Commissioners and concerned Executive Director of the Commission.

Enquiry and Investigation:

In order to ensure fair trading and build confidence of investors in the securities market, it is necessary to ensure proper compliance of securities related laws, rules and regulations through investigation into suspicious and manipulative cases. During October-December 2019, Dhaka Stock Exchange Limited (DSE) and Chittagong Stock Exchange Limited (CSE) have submitted total 14 (Fourteen) investigation reports to the Commission.

As per instruction of BSEC, Dhaka Stock Exchange Limited and Chittagong Stock Exchange Limited investigated into short-selling alerts generated in "InstantWatch" market surveillance system during October -December, 2019 and submitted those reports to the Commission.

10. Registration

Registration department deals with activities of issuance and renewal of Certificates of Stock Dealer /Stock Broker, Authorized Representative, Merchant Bank, Asset Management Company, Depository Participant, Fund Manager, Trustee of Debt Securities, Security Custodian. During the period, the following certificates have been issued and renewed:

SL No.	Types of Certificate Issued	No. of Certificates Issued	No. of Renewal Certificate	Branch Approval	office Transfer
01	Stock Dealer (i)	-	24 (DSE)	03	02
		-	38(CSE)	--	--
02	Stock Broker (i)	-	26(DSE)	--	--
		-	43 (CSE)	--	--
03	Authorized Representative (i)	01(DSE)	127	--	--
		00(CSE)	51	--	--
04	Merchant Bank (ii)	--	--	--	--
05	Asset Management Company (iii)	--	--	--	--
06	Security Custodian (iv)	--	01	--	--
07	Depository Participant (v)	01 (CDBL)	75	--	--
08	Trustee of Debt Securities (vi)	--	--	--	--
09	Fund Manager (vii)	--	--	--	--
10	Trustee (vii)	--	--	--	--
11	Custodian for Mutual Fund(iii)	--	--	--	--

Registration department carries out activities under the followings rules and regulations

- i. সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (স্টক ডিলার, স্টক ব্রোকার ও অনুমোদিত প্রতিনিধি) বিধিমালা, ২০০০;
- ii. সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (মার্চেন্ট ব্যাংকার ও পোর্টফোলিও ম্যানেজার) বিধিমালা, ১৯৯৬;
- iii. সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (মিউচুয়াল ফান্ড), বিধিমালা, ২০০১;
- iv. সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (সিকিউরিটিজ কাস্টডিয়াল সেবা) বিধিমালা, ২০০৩;
- v. ডিপজিটরি (ব্যবহারিক) প্রবিধানমালা, ২০০৩;
- vi. Securities and Exchange Commission (Private Placement of Debt Securities) Rules, 2012;
- vii. Securities and Exchange Commission (Alternative Investment) Rules, 2015;

DSE= Dhaka Stock Exchange

CSE= Chittagong Stock Exchange

CDBL= Central Depository Bangladesh Limited

11. Mutual Fund and Special Purpose Vehicle (MF & SPV)

During the period, following activities have been accomplished:

(1) Public issue related functions of mutual fund:

SL. No.	Name of the Fund	Approval Date	Fund Size (TK. in crore)
1	Maslin VC Fund-1	01.12.2019	10.00

12. Supervision and Regulation of Markets and Issuer Companies (SRMIC)

Following activities have been accomplished:

- **List of AGM and Dividend of listed Companies:**

Sl. No.	Name	Year-End	Date of AGM	Dividend	
				cash	stock
1	National Polymer Industries Ltd.	201906	10/15/2019	-	22%B
2	Apex Tannery Limited	201906	10/21/2019	35.00	-
3	Evince Textiles Limited	201906	10/28/2019	2.00	10%B
4	Argon Denims Limited	201906	10/28/2019	10.00	5%B
5	United Power Generation & Distribution Company Limited	201906	11/5/2019	130.00	10%B
6	KDS Accessories Limited	201906	11/7/2019	10.00	5%B
7	The Peninsula Chittagong Ltd.	201906	11/7/2019	7.50	-
8	Apex Footwear Limited	201906	11/12/2019	55.00	-
9	The IBN SINA Pharmaceutical Industry Ltd.	201906	11/14/2019	30.00	-
10	Eastern Housing Limited	201906	11/14/2019	20.00	-
11	JMI Syringes & Medical Devices Ltd.	201906	11/23/2019	30.00	-
12	Summit Power Ltd.	201906	11/24/2019	35.00	-
13	Bangladesh Shipping Corporation	201906	11/24/2019	10.00	-
14	Silva Pharmaceuticals Limited	201906	11/25/2019	6.00	5%B
15	Bangladesh Submarine Cable Company Limited	201906	11/26/2019	16.00	-
16	Khulna Power Company Ltd.	201906	12/1/2019	40.00	-
17	Bangladesh Lamps Limited	201906	12/4/2019	20.00	-
18	IT Consultants Limited	201906	12/5/2019	5.00	7%B
19	MJL Bangladesh Limited	201906	12/5/2019	45.00	-
20	Monno Jute Stafflers Ltd.	201906	12/5/2019	-	20%B
21	Rangpur Dairy & Food Products Limited	201906	12/7/2019	-	5%B

22	Shyampur Sugar Mills Limited	201906	12/7/2019	nil	-
23	Northern Jute Manufacturing Co. Ltd.	201906	12/8/2019	100.00	-
24	Paramount Textile Limited	201906	12/9/2019	7.00	9%B
25	Aziz Pipes Ltd.	201906	12/11/2019	7.00	-
26	Doreen Power Generations and Systems Limited	201906	12/12/2019	17.00	13%B
27	Padma Islami Life Insurance Limited	201812	12/12/2019	nil	-
28	The ACME Laboratories Limited	201906	12/12/2019	35.00	-
29	Western Marine Shipyard Limited	201906	12/12/2019	-	15%B
30	Apex Spinning & Knitting Mills Limited	201906	12/12/2019	20.00	-
31	Apex Foods Limited	201906	12/12/2019	20.00	-
32	Far East Knitting & Dyeing Industries Limited	201906	12/12/2019	5.00	5%B
33	Summit Alliance Port Limited	201906	12/12/2019	6.00	4%B
34	Pacific Denims Limited	201906	12/12/2019	-	14%B
35	Quasem Industries Limited	201906	12/12/2019	5.00	7%B
36	Square Textiles Limited	201906	12/12/2019	20.00	-
37	Square Pharmaceuticals Ltd.	201906	12/12/2019	42.00	7%B
38	IFAD Autos Limited	201906	12/12/2019	10.00	-
39	Fine Foods Limited	201906	12/12/2019	2.00	-
40	Aman Cotton Fibrous Limited	201906	12/12/2019	10.00	-
41	Saiham Cotton Mills Limited	201906	12/12/2019	10.00	-
42	Alltex Industries Ltd.	201906	12/12/2019	nil	-
43	Bengal Windsor Thermoplastics Ltd.	201906	12/12/2019	5.00	-
44	Advent Pharma Limited	201906	12/12/2019	2.00	10%B
45	Indo-Bangla Pharmaceuticals Limited	201906	12/12/2019	2.00	9%B
46	Saiham Textile Mills Ltd.	201906	12/12/2019	10.00	-
47	Agni Systems Ltd.	201906	12/12/2019	7.00	-
48	Matin Spinning Mills Ltd.	201906	12/12/2019		-

				15.00	
49	Salvo Chemical Industry Limited	201906	12/12/2019	nil	-
50	Information Services Network Ltd.	201906	12/12/2019	2.00	-
51	GQ Ball Pen Industries Ltd.	201906	12/14/2019	10.00	-
52	Renwick Jaineswar & Co (Bd) Ltd.	201906	12/14/2019	nil	-
53	Dragon Sweater and Spinning Limited	201906	12/14/2019	-	10%B
54	Bangladesh Autocars Ltd.	201906	12/15/2019	10.00	-
55	Orion Infusion Ltd.	201906	12/15/2019	14.00	-
56	Kohinoor Chemicals Company (Bangladesh) Ltd.	201906	12/15/2019	20.00	20%B
57	Bd.Thai Aluminium Ltd.	201906	12/15/2019	nil	-
58	Stylecraft Limited	201906	12/15/2019	-	150%B
59	Orion Pharma Ltd.	201906	12/15/2019	15.00	-
60	Runner Automobiles Limited	201906	12/17/2019	10.00	5%B
61	Kay & Que (Bangladesh) Ltd.	201906	12/18/2019	7.50	-
62	Alif Industries Limited	201906	12/18/2019	3.00	7%B
63	Alif Manufacturing Company Ltd.	201906	12/18/2019	2.00	8%B
64	Fu Wang Food Ltd.	201906	12/18/2019	2.00	-
65	Sonargaon Textiles Ltd.	201906	12/18/2019	3.00	-
66	GBB Power Limited	201906	12/18/2019	10.00	-
67	Bangladesh Steel Re-Rolling Mills Limited	201906	12/19/2019	25.00	-
68	BSRM Steels Limited	201906	12/19/2019	25.00	-
69	Nurani Dyeing & Sweater Limited	201906	12/19/2019	-	10%B
70	M.I. Cement Factory Limited	201906	12/19/2019	10.00	-
71	Desh Garments Ltd.	201906	12/19/2019	-	10%B
72	Monno Ceramic Industries Ltd.	201906	12/19/2019	10.00	10%B
73	Oimex Electrode Limited	201906	12/19/2019	-	12.50%B
74	VFS Thread Dyeing Limited	201906	12/19/2019	6.00	10%B
75	Aman Feed Limited	201906	12/19/2019		-

				12.50	
76	Gemini Sea Food Ltd.	201906	12/19/2019	-	10%B
77	Kattali Textile Limited	201906	12/19/2019	2.00	10%B
78	Shasha Denims Limited	201906	12/19/2019	5.00	5%B
79	Dulamia Cotton Spinning Mills Ltd (DCSML)	201906	12/19/2019	nil	-
80	Global Heavy Chemicals Limited	201906	12/19/2019	5.00	-
81	M.L. Dyeing Limited	201906	12/19/2019	5.00	15%B
82	Meghna Cement Mills Ltd	201906	12/19/2019	10.00	5%B
83	Usmania Glass Sheet Factory Limited.	201906	12/20/2019	nil	-
84	Rahim Textile Mills Ltd.	201906	12/21/2019	20.00	10%B
85	Malek Spinning Mills Ltd.	201906	12/21/2019	10.00	-
86	Envoy Textiles Limited	201906	12/21/2019	15.00	-
87	Premier Cement Mills Limited	201906	12/21/2019	10.00	-
88	Investment Corporation Of Bangladesh Limited	201906	12/21/2019	-	10%B
89	Agricultural Marketing Company Ltd. (Pran)	201906	12/21/2019	32.00	-
90	Rangpur Foundry Ltd.	201906	12/21/2019	23.00	-
91	Renata Ltd.	201906	12/21/2019	100.00	10%B
92	BBS Cables Limited	201906	12/21/2019	10.00	10%B
93	Bangladesh Building Systems Ltd.	201906	12/21/2019	-	10%B
94	Zeal Bangla Sugar Mills Ltd.	201906	12/21/2019	nil	-
95	Khan Brothers PP Woven Bag Industries Limited	201906	12/21/2019	nil	-
96	Generation Next Fashions Limited	201906	12/21/2019	nil	-
97	Bangladesh Export Import Company Ltd.	201906	12/21/2019	5.00	-
98	Beximco Pharmaceuticals Ltd.	201906	12/21/2019	15.00	-
99	Beximco Synthetics Ltd.	201906	12/21/2019	nil	-
100	Shinepukur Ceramics Ltd.	201906	12/21/2019	nil	-
101	Nahee Aluminum Composite Panel Ltd.	201906	12/21/2019	5.00	10%B
102	Yeakin Polymer Limited	201906	12/21/2019	-	5%B

103	Titas Gas Trans. & Dist. Co. Ltd.	201906	12/22/2019	26.00	-
104	Anlima Yarn Dyeing Ltd.	201906	12/22/2019	5.00	-
105	Far Chemical Industries Ltd.	201906	12/22/2019	-	10%B
106	Aramit Limited	201906	12/22/2019	50.00	-
107	R.N. Spinning Mills Ltd.	201906	12/22/2019	nil	-
108	Aramit Cement Limited	201906	12/22/2019	nil	-
109	Queen South Textile Mills Limited	201906	12/22/2019	8.00	10%B
110	Sonali Aansh Industries Limited	201906	12/22/2019	10.00	-
111	Fu-Wang Ceramic Industries Ltd.	201906	12/23/2019	1.00	-
112	Tosrifa Industries Limited	201906	12/23/2019	1.00	-
113	Navana CNG Limited	201906	12/23/2019	23.00	-
114	Aftab Automobiles Limited	201906	12/23/2019	10.00	-
115	ACI Formulations Ltd.	201906	12/23/2019	35.00	-
116	ACI Limited.	201906	12/23/2019	100.00	15%B
117	Genex Infosys Limited	201906	12/24/2019	5.00	15%B
118	Beacon Pharmaceuticals Ltd.	201906	12/24/2019	5.00	-
119	Intraco Refueling Station Limited	201906	12/24/2019	-	10%B
120	National Tea Company Limited	201906	12/24/2019	22.00	-
121	BDCOM Online Ltd.	201906	12/24/2019	6.00	6%B
122	Confidence Cement Ltd.	201906	12/24/2019	15.00	15%B
123	Daffodil Computers Ltd.	201906	12/24/2019	10.00	-
124	CVO Petrochemical Refinery Limited	201906	12/24/2019	2.00	-
125	Deshbandhu Polymer Limited	201906	12/24/2019	5.00	-
126	Intech Limited	201906	12/24/2019	nil	-
127	Fortune Shoes Limited	201906	12/24/2019	2.00	18%B
128	Mozaffar Hossain Spinning Mills Ltd.	201906	12/24/2019	-	2%B
129	Samata Leather Complex Ltd.	201906	12/24/2019		-

				2.00	
130	Bashundhara Paper Mills Limited	201906	12/24/2019	15.00	-
131	Unique Hotel & Resorts Limited	201906	12/26/2019	20.00	-
132	Silco Pharmaceuticals Limited	201906	12/26/2019	2.00	10%B
133	Wata Chemicals Limited	201906	12/26/2019	30.00	25%B
134	aamra networks limited	201906	12/26/2019	6.00	6%B
135	Zahintex Industries Limited	201906	12/26/2019	nil	-
136	aamra technologies limited	201906	12/26/2019	5.00	5%B
137	GPH Ispat Ltd.	201906	12/26/2019	5.00	5%B
138	Metro Spinning Ltd.	201906	12/26/2019	2.00	-
139	Simtex Industries Limited	201906	12/26/2019	9.00	5%B
140	Meghna Pet Industries Ltd.	201906	12/26/2019	nil	-
141	Meghna Condensed Milk Ind. Ltd.	201906	12/26/2019	nil	-
142	Sea Pearl Beach Resort & Spa Limited	201906	12/26/2019	-	5%B
143	Hakkani Pulp & Paper Mills Ltd.	201906	12/26/2019	2.00	-
144	Golden Son Limited	201906	12/26/2019	nil	-
145	Shepherd Industries Limited	201906	12/26/2019	-	10%B
146	National tubes Ltd.	201906	12/26/2019	-	10%B
147	Hwa Well Textiles (BD) Limited	201906	12/26/2019	17.00	-
148	Olympic Accessories Limited	201906	12/26/2019	2.00	-
149	Olympic Industries Limited	201906	12/26/2019	50.00	-
150	Pharma Aids Ltd.	201906	12/26/2019	50.00	-
151	Safko Spinnings Mills Ltd.	201906	12/26/2019	nil	-
152	Ring Shine Textiles Ltd.	201906	12/26/2019	-	15%B
153	Bangladesh Services Ltd.	201906	12/26/2019	nil	-
154	Golden Harvest Agro Industries Ltd.	201906	12/28/2019	7.00	5%B
155	Standard Ceramic Industries Ltd.	201906	12/28/2019	5.00	-
156	Miracle Industries Limited	201906	12/28/2019	-	4%B
157	Atlas Bangladesh Ltd.	201906	12/28/2019	5.00	-
158	Zaheen Spinning Limited	201906	12/28/2019	-	5%B

159	Prime Textile Spinning Mills Ltd.	201906	12/28/2019	5.00	-
160	Legacy Footwear Ltd.	201906	12/28/2019	5.00	-
161	Baraka Power Limited	201906	12/29/2019	10.00	-
162	SAIF Powertec Limited	201906	12/29/2019	4.00	6%B
163	SK Trims & Industries Limited	201906	12/29/2019	10.00	10%B
164	Hamid Fabrics Limited	201906	12/29/2019	10.00	-
165	Samorita Hospital Ltd.	201906	12/29/2019	10.00	5%B
166	Ratanpur Steel Re-Rolling Mills Limited	201906	12/29/2019	12.00	-
167	Regent Textile Mills Limited	201906	12/29/2019	-	5%B
168	National Feed Mill Limited	201906	12/30/2019	-	1%B
169	New Line Clothings Limited	201906	12/30/2019	3.00	7%B
170	Shurwid Industries Limited	201906	12/30/2019	10.00	-
171	Central Pharmaceuticals Limited	201906	12/30/2019	1.00	-
172	Bangas Ltd.	201906	12/30/2019	5.00	5%B
173	S. S. Steel Limited	201906	12/31/2019	-	15%B
174	Khulna Printing and Packaging Limited	201906	12/31/2019	1.00	-
175	Ambee Pharmaceuticals Ltd.	201906	12/31/2019	30.00	-
176	AFC Agro Biotech Ltd.	201906	12/31/2019	-	10%B
177	Active Fine Chemicals Ltd.	201906	12/31/2019	2.00	-
178	Familytex (BD) Ltd.	201906	12/31/2019	nil	-

Note: 201906= June-2019

13. Supervision and Regulation of Intermediaries (SRI)

The functions of SRI Department are supervising and regulating the activities of stock-dealers/stock brokers, depository participants, security custodian, merchant bankers, Asset Management Companies and other market intermediaries. This department conducts the regular inspection of stock brokers/dealers, depository participants and merchant banks on monthly basis and also conducts special inspection as and when required. The SRI department also deals with the complaints lodged by the general investors and other stakeholders. During **October - December, 2019** the following activities were performed by this department:

- A. Customer Complaint Address Module (CCAM):** Customer Complaint Address Module (CCAM) was launched on September 30, 2019. Through the newly launched CCAM, investors can easily file complaints against various capital market intermediaries and issuer companies through online from anywhere. Moreover through the module they can know the status of their complaint, can lodge appeal and can withdraw their complaints. A summary of the complaints lodged through CCAM during October - December, 2019 are furnished below:

Duration	No of complaints lodged	No of complaint disposed	Under process
October - December, 2019	165	147	18

- B. External Data Request Processing (EDRP):** 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). During October-December, 2019 we have responded 203 letters of ACC and other government agencies.
- C.** The annual audited financial reports submitted by DSE and CSE track holders are examined by the SRI department. During the period, 49 audited accounts of the TREC Holder of DSE and 117 audited accounts of the TREC Holder of CSE are examined and out of which SRI department has given observation on 38 TREC Holder accounts of DSE and 27 TREC Holder accounts of CSE. It appeared that 6 TREC Holder of DSE had deficits of Tk. Tk. 31.39 crore in the Consolidated Customer's Accounts (CCA). 51.18% deficit amount has been returned to TREC Holders accounts due to intervention of SRI department. CSE's 27 track holders are in the process of negotiating. The summary are furnished below:-

Description	No. of Companies	Amount
Adjusted in Consolidated Customers' Account	5	20.63 crore
Directive issued to adjusted Deficit in Consolidated Customers' Account	1	10.56 crore
Total	6	31.19 crore

- D.** In addition to the Customer Complaint Address Module (CCAM), investors lodge manual complaints to the Commission. During October-December, 2019 investors lodged 34 manual complaints to the Commission, of which 19 complaints were addressed through CCAM. A summary of the remaining 15 complaints are furnished below:

Intermediaries	No of complaints	Under process	Sent to Enf. Dept. for necessary action	Sent to DSE/CSE/MB for necessary action	Disposed
DSE TREC Holder	8	-	-	1	7
CSE TREC Holder	7	-	-	2	5
Merchant Bankers	-	-	-	-	-

14. Enforcement

Under the Securities laws, the Enforcement Dept takes legal measures including imposition of monetary penalty against those who break /violate securities laws in consideration of the nature of offences they commit. Prior to taking measures it follows due process that includes carrying out inspection and enquiry. On the basis of violations of securities laws detected during the inspection/enquiry process, explanations are sought from the concerned issuer and person or institution alleged and then hearing is conducted as per the concerned securities laws and thereafter a report is submitted before the Commission. The Commission takes necessary legal action as per securities laws.

During the period, enforcement actions taken against issuer companies, chartered accountant firms, stockbrokers, stock-dealers, Credit Rating Company, depository participants (DPs), issue managers and others by the Commission for non-compliance of the securities related laws are furnished as below:

Sl. No.	Nature of institution	No. of Institutions	Nature of Action	
			Penalty	Warning
01	Issuer Company	17	7	10
02	Stock Broker/ Stock Dealer/Authorized Representatives	40	2	38
03	Others	2	-	2
	Total	60	9	51

15. Law

A total of 548 cases filed by or against Bangladesh Securities and Exchange Commission are 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
01.	Supreme Court of Bangladesh	Appellate Division	11
		High Court Division	237
02.	Special Tribunal, BSEC Dhaka		16
03.	District Judge Court, Joint Dist. Judge Court, Assistant Judge Court, Dhaka		11
04.	Chief Metropolitan Magistrate Court, Dhaka		03
05.	General Certificate Court, Dhaka		270
Total number of Cases :			548

16. Central Depository Services (CDS)

The following companies joined the CDBL during the period:

Sl	Name of the companies	Enlisted in CDBL
01	Constellation Unit Fund	October 14. 2019
02	Ring Shane Textile Limited	December 12. 2019
03	IDLC Asset Management Shariya Fund	December 14. 2019

17. Management Information Systems (MIS)

- MIS Department is responsible for assisting different departments of BSEC through development of automation in their activities, development of capital market monitoring system based on computerized data analysis, informing all about securities laws and other related matters through website and thus enabling the Commission with modern information technology capacity.
- Initiatives have been taken to develop new technology based network and information technology infrastructure at the Commission's new office building. Upon implementation, officers of the Commission will be able to use new Computer/Laptop and high speed Gigabit LAN. At present, 200 Mbps internet connection has been set up with LAN of the Commission which officers of the Commission are using from their workstation on shared basis. The internet connection has been made redundant; as a result, uninterrupted use of internet has been made successful. Besides, establishment of WiFi network through out of the Securities Commission Bhaban is under process.
- At present all officers of BSEC use computers in their daily activities. All computers are connected through local area network (LAN). BSEC has already prepared e-Service Roadmap-2021, under which new technology-based online Regulatory Information System is in implementation process. Upon implementation, all Stakeholders will be able to submit their report through online using this system. Integrated Securities and Exchange Commission Automated System (SECAS) is still existing at BSEC, but it is old one.
- The website of the Commission has already been made dynamic database based. Now, the website has three domains - www.sec.gov.bd, www.secbd.org and www.এসইসিবিডি.বাংলা. The website can be browsed through these three domains. Securities related acts, rules, regulations, order, directive, notification etc have been presented on BSEC's website in an innovative way that is more helpful for users to find out information.
- The government's e-Nothi system has been implemented in the Commission with the help of a2i, through which electronic filing system has been introduced replacing traditional paper based filing. As a result, paper-based filings have been transforming into electronic filing gradually. A2I has provided training to all employees of the Commission in this regard.
- MIS Department carries out various systems development, modification, website upgradation and maintenance activities as per requirement of the Commission.

During October - December, 2019, Important Web Uploads:

Works	Number
IPO Prospectus Upload	02
Enforcement Actions Upload	55
Other Order/Notification/Directive etc Upload	05
Press Release	19
Tender	01

18. Research and Development

- During the period, the following activities have been accomplished:-
 - a. Monthly report sent to the government as requested:-
 - 1. Report on status of achievement on Hon'ble Prime Minister's commitments / directions.
 - 2. Monthly report on mentionable/important activities.
 - b. Send information as per the demand of the Hon'ble Parliament:
 - c. Monthly report sent to the Central Bank as requested:-
 - 1. Monthly trade report of Capital Market.
 - d. Send information for publication of ministry in accordance with needs.
 - 1. Capital market information for Economic Review according to needs.
 - 2. Capital market information for publication of activities of financial institutions according to needs.
 - e. The following reports have been published:

Name of Work	Publication Time
Annual Report (Bengli)	2018-2019
Annual Report (English)	2018-2019
Quarterly Review	01
Tramashik Parikrama	01

19. Financial Literacy

Financial Literacy Department of the Commission conducts different types of Seminar, Workshop, and conference with active participation of the investors and creates awareness among investors about investment decision process. The Department approves training program to different intermediaries of the capital market and also conduct training program for Authorized Representative of the Stock Exchanges. Departmental activities are given below:

SL.No	Particular	Number of Participants
01	Training by intermediaries through investment education program	658
02	Training for those who are involving in intermediaries activities	200
03	Training through World Investor Week Observation	538
	Total	1392

20. International Affairs

During the time, International Affairs Department performed following activities:

International Affairs Department, besides its regular activities, performed following activities during July–September, 2019:

1. Like last two years, Bangladesh Securities and Exchange Commission (BSEC) observed World Investor Week, 2019 from 30 September to 06 October, 2019. This is actually an initiative of International Organization of Securities Commissions (IOSCO) and observed by the other jurisdiction as well. BSEC and capital market related organizations organized seminar, workshop etc on this occasion. International Affairs Department maintained continuous liaison with IOSCO and later on sent a report to IOSCO in this regard.
2. A 13 (thirteen) members team of BSEC visited National Institute of Securities Markets (NISM), Mumbai, India for training. In this training, they learned theoretical and practical issues of capital market.
3. Besides these activities, surveys sent from different international organizations have been responded in due time. International Affairs Department replied several correspondences of foreign bodies concerning queries on different issues and maintained continuous liaison throughout the quarter.

21. Stock Exchanges' operational statistics

DSE OPERATIONAL STATISTICS

Trading Month	DSE Board Index (DSEX)	Market Capitalization in Million Tk.	No. of Trading Days	Turnover of Securities in Million (No.)		Traded Amount in Million Tk.	
				Monthly	Daily Average	Monthly	Daily Average
October	4682.90	3559381	22	2317	105.34	70202.25	3191.01
November	4731.44	3567038	19	2653	139.65	74108.81	3900.46
December	4452.93	3395551	20	2645	132.23	67027.28	3351.36
Total			61	7615	124.84	211338.4	3464.56

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

CSE OPERATIONAL STATISTICS

Trading Month	All Share Price Index	Market Capitalization in Million Tk.	No. of Trading Days	Turnover of Securities in Million (No.)		Traded Amount in Million Tk.	
				Monthly	Daily Average	Monthly	Daily Average
October	14221.7872	2844961.13	22	19	182.13	8.28	4194.54
November	14392.4351	2858601.12	19	185.77	978	5174.54	272.34
December	13505.7004	2688876.01	20	166.31	8.32	3956.57	197.83
Total			61	534.21	8.76	13325.65	218.45

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

Source: Concern Stock Exchange

22. Press Release

The Commission has issued 19 press releases on its activities during this period, which are uploaded in Commission's website (www.sec.gov.bd and www.secbd.org, www.এসইসিবিডি.বাংলা).