



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

HON BIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH

E-6/C, Agargaon, Shere Bangla Nagar, Dhaka-1207

BSEC/Enforcement/2355/2016/138

Dated: April 26, 2017

By Courier Service

Managing Director
Chittagong Stock Exchange Limited
CSE Building
1080, Sk. Mujib Road
Agrabad, Chittagong.

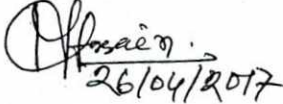
Sub: **Non-compliance of securities related laws. WARNING**

This refers to the commission's show cause-cum-hearing notice no. BSEC/Enforcement/2355/2016/438 dated November 14, 2016 based on which the hearing was conducted on December 15, 2016.

The Commission, considering your explanation vide letter dated December 11, 2016 submitted at the time of hearing, has decided to dispose of the proceedings against Managing Director, Chittagong Stock Exchange 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 the stated default.

For Bangladesh Securities and Exchange Commission


26/04/2017

Md. Hossain Khan

Deputy Director

Copy for information:

Commissioner (Enforcement), BSEC
Executive Director (SRMIC), BSEC
Executive Director (Law), BSEC
Executive Director (MIS), BSEC
Chairman's Office



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

JIBON BIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH

E-6/C, Agargaon, Shere Bangla Nagar, Dhaka-1207

BSEC/Enforcement/2355/2016/135

By Courier Service

Dated: April 26, 2017

Chief Regulatory Officer
Chittagong Stock Exchange Limited
CSE Building
1080, Sk. Mujib Road
Agrabad, Chittagong.

Attention: Managing Director/CEO


Sub: Non-compliance of securities related laws. WARNING

This refers to the commission's show cause-cum-hearing notice no. BSEC/Enforcement/2355/2016/438 dated November 14, 2016 based on which the hearing was conducted on December 15, 2016.

The Commission, considering your explanation vide letter dated December 15, 2016 submitted at the time of hearing, has decided to dispose of the proceedings against Chief Regulatory Officer, Chittagong Stock Exchange 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 the stated default.

For Bangladesh Securities and Exchange Commission


26/04/2017

Md. Hossain Khan

Deputy Director

Copy for information:

Commissioner (Enforcement), BSEC
Executive Director (SRMIC), BSEC
Executive Director (Law), BSEC
Executive Director (MIS), BSEC
Chairman's Office



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

JIBON BIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH

E-6/C, Agargaon, Shere Bangla Nagar, Dhaka-1207

BSEC/Enforcement/2355/2016/137

By Courier Service

Dated: April 26, 2017

Head of Listing Department
Chittagong Stock Exchange Limited
CSE Building
1080, Sk. Mujib Road
Agrabad, Chittagong.

Attention: Managing Director/CEO

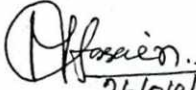
Sub: Non-compliance of securities related laws. WARNING

This refers to the commission's show cause-cum-hearing notice no. BSEC/Enforcement/2355/2016/438 dated November 14, 2016 based on which the hearing was conducted on December 15, 2016.

The Commission, considering your explanation vide letter dated December 15, 2016 submitted at the time of hearing, has decided to dispose of the proceedings against Head of Listing Department, Chittagong Stock Exchange 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 the stated default.

For Bangladesh Securities and Exchange Commission


26/04/2017

Md. Hossain Khan

Deputy Director

Copy for information:

Commissioner (Enforcement), BSEC
Executive Director (SRMIC), BSEC
Executive Director (Law), BSEC
Executive Director (MIS), BSEC
Chairman's Office



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

JIBON-DIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH

E-6/C, Agargaon, Shere Bangla Nagar, Dhaka-1207

BSEC/Enforcement/2355/2016/136

By Courier Service

Dated: April 26, 2017

Head of Market Operation Department
Chittagong Stock Exchange Limited
CSE Building
1080, Sk. Mujib Road
Agrabad, Chittagong.

Attention: Managing Director/CEO

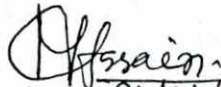
Sub: Non-compliance of securities related laws. WARNING

This refers to the commission's show cause-cum-hearing notice no. BSEC/Enforcement/2355/2016/39 dated January 18, 2017 based on which the hearing was conducted on January 23, 2017.

The Commission, considering your explanation vide letter dated January 23, 2017 submitted at the time of hearing, has decided to dispose of the proceedings against Head of Market Operation Department, Chittagong Stock Exchange 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 the stated default.

For Bangladesh Securities and Exchange Commission


26/04/2017

Md. Hossain Khan

Deputy Director

Copy for information:

Commissioner (Enforcement), BSEC
Executive Director (SRMIC), BSEC
Executive Director (Law), BSEC
Executive Director (MIS), BSEC
Chairman's Office