



# BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

*a/c*

BSEC/Enforcement/2275/2016-527

By Courier service

Dated: December 02, 2018

Commerce Bank Securities and Investment Limited  
Taranga Complex, 19 Rajuk Avenue  
Motijheel C/A  
Dhaka-1000

Attention: Managing Director/CEO.


**Sub: Warning to ensure compliance of all securities related law in future.**

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2275/2016-424, dated October 23, 2018 based on which the hearing was conducted on November 15, 2018.

The Commission, considering the accused apology and written explanation vide letter no CBSIL/HO/COMP/2018/1731, dated November 14, 2018-which was submitted at the time of hearing, has decided to dispose off the proceedings against you by placing on record the Commission's dissatisfaction on the default/contravention made by the accused with a **Warning** to ensure compliance of all securities related laws in future.

Please note that this disposal does not absolve Commerce Bank Securities and Investment Limited, its Directors, Managing Director, Company Secretary and any other involved from their lawful responsibilities/obligations to any person, if affected, as a result of the default.

For Bangladesh Securities and Exchange Commission

  
02.12.18

Md. Rafiqunnabi

Assistant Director

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Copy for information:

1. Chairman's Office, BSEC
2. Commissioner (Enforcement), BSEC
3. Executive Director (Capital Issue), BSEC
- ✓ 4. Executive Director (R&D), BSEC
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