



# বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

সিকিউরিটিজ কমিশন ভবন, ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭, বাংলাদেশ।

BSEC/Enforcement/2650/2018/১৭৭

Dated: 11 December, 2018

**By Special Messenger**

Commerce Bank Securities and Investment Limited  
(DSE TREC No. 180)  
Taranga Complex,  
19, Rajuk Avenue,  
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/2650/2018/471 dated November 11, 2018 based on which the hearing was conducted on November 26, 2018.

The Commission, considering your explanation vide letter no. CBSIL/HO/2018/1835 dated 26.11.18 has decided to dispose of the proceedings against Commerce Bank Securities and Investment 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 default.

For Bangladesh Securities and Exchange Commission,

*AM*  
11.12.18

**Mohammad Al Masum Mirdha**

Deputy Director (Enforcement)

Phone : 55007147

Email: almasum@sec.gov.bd

Copy for information:

1. Managing Director, Dhaka Stock Exchange Ltd.
2. PS to the Honorable Chairman, BSEC.
3. PO to Executive Director (SRI), BSEC.
4. PO to Executive Director (MIS), BSEC