



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

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

BSEC/Enforcement/2628/2018/৩৩

Dated: ০৫ March, 2019

Commerce Bank Securities and Investment Limited
(DSE TREC holder no. 180)
Taranga Complex (2nd Floor),
19, Rajuk Avenue,
Motijheel C/A, Dhaka-1000.

By Special Messenger

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/2628/2018/462 Dated- October 31, 2018 based on which the hearing was conducted on November 12, 2018.

The Commission, considering your explanation vide letter, ref. no. CBSIL/HO/2018/1707 dated- 06.11.2018 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,

Md. Shahnaws

Assistant Director (Enforcement)

Email: shahnaws@sec.gov.bd

Ph. No. 55007131 Ext.1318

Copy for information:

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

D(MIS)