Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Issuer Companies Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3865/2024/694
Dated: 17 May, 2025

By Special Messenger

**01. MTB Securities Ltd.**
(DSE TREC # 197)
WW Tower (Level - 04)
68 Motijheel C/A, Dhaka-1000.

**02. Mr. Md. Nazrul Islam Mazumder**
Director and CEO
MTB Securities Ltd.

**03. Mr. Lutfur Rahman Diwani**
Compliance Officer (Head Office)
MTB Securities Ltd.

**04. Mr. Md. Shakhawat Hossain**
Branch In-Charge and Branch Compliance Officer
MTB Securities Ltd.

**Subject: 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/3865/2024/618, Date: 22 April, 2025 based on which the hearing was conducted on May 05, 2025.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter ref: MTBSL/CHO/2025/121 dated May 05, 2025 which was submitted at the time of hearing, has decided to dispose of the matter against you 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,

17/5/2025

Rabiul Islam
Assistant Director (Enforcement)
Mobile: 01731-421312
Email: rabiul@sec.gov.bd

**Copy for information:**

1. PS to the Honorable Chairman, BSEC
2. PO to Commissioner (Enforcement), BSEC
3. PO to Executive Director (MIS)
4. PO to Executive Director (MIAD) with reference to DSE letter No: DSE/MCD/BSEC/2024/2631, dated 07 May, 2024
5. PO to Director (Enforcement), BSEC
6. Managing Director, Dhaka Stock Exchange PLC.