

Enforcement Action

Sl.	Date	Particular	Allegations	Action taken	Remarks
01	September 29, 2016	Sylhet Metro City Securities Limited (CSE TREC no. 025)	Various non-compliance regarding the securities laws	Suspension	
02	May 02, 2017	Jalalabad Securities Ltd. (CSE TREC no. 104)	Various non-compliance regarding the securities laws	Suspend the TREC except Head office and imposed penal penalty.	
03	May 02, 2017	Maharram Securities Ltd. (CSE TREC no. 108)	Various non-compliance regarding the securities laws	Suspension	After complied, the suspension was withdrawn.
04	September 11, 2017	Firstlead Securities Ltd. (CSE TREC no. 122)	Non compliance of several securities laws and failed to settle clients complaint	Suspension	The suspension was withdrawn after significant development & assurance for fully settlement.