



SEC Investor's Education Program

**Enforcement Actions for violation of
Securities Laws**

By

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Securities and Exchange Commission

Basic Laws

- Securities and Exchange Ordinance, 1969
- Securities and Exchange Commission Act, 1993
- Securities and Exchange Commission (Appeal) Regulations, 1996
- Depository Act, 1999

Penal Measures under Securities and Exchange Ordinance, 1969

For Civil Offence-

- Penalty of taka one lac or more to be imposed by Securities and Exchange Commission
- Additional penalty of taka ten thousand for each day of continuing default

Continue.....

For Criminal Offence (Section 17)-

- Penalty of taka five lac or more to be imposed by Court of Session
- Imprisonment for a term upto five years by the Court of Session
- Combination of both.

Continue.....

Under Securities and Exchange Commission Act, 1993-

- Suspension or cancellation of Registration Certificates issued under relevant rules by SEC
- Penalty of taka five lac or more by the Court of Session for criminal offence
- Imprisonment for a term upto five years by the Court of Session for criminal offence
- Combination of both fine and imprisonment for criminal offence.

Continue.....

Under Depository Act, 1999-

- Imprisonment for a term upto five years or a penalty or combination of both by the Court of Session
- Penalty upto taka ten lac to be imposed by SEC for non-compliance of SEC directive and also additional penalty of taka ten lac each day of continuing default.

A spiral-bound notebook with a white page and a green cover. The words "THANK YOU" are written in a large, bold, black, italicized serif font across the center of the page. The spiral binding is visible on the left side.

THANK YOU