



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/3209/2021/ 127
January 19, 2023

By Courier Service

Al-haj Securities & Stocks Limited

Room # 306
Stock Exchange Building
9/F, 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/3209/2021/1160 dated August 30, 2022 based on which the hearing was conducted on September 11, 2022.

Considering the explanation dated September 08, 2022 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against Al-haj Securities & Stocks 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

Akram Siraj, 19.01.2023

Akram Siraj
Assistant Director (Enforcement)
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Copy for information:

1. P.S. to Chairman, BSEC
2. P.O to Commissioner (Enforcement), BSEC
3. P.O to Director (MIS), BSEC
4. Managing Director, DSE