



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3182/2021/ 1241
Dated: September 26, 2022

By Special Messenger

A.L. Securities Limited (DSE TREC No. 222)
Suite # 701, 158-160, Modhumita Cinema Building,
Motijheel C/A, Dhaka-1000
Bangladesh.

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/3182/2021/926 dated June 22, 2022 based on which the hearing was schedule on July 18, 2022 and notice No. BSEC/Enforcement/3182/2021/1087 based on which the hearing schedule on December 15, 2021. The Commission has considered their letter dated July 17, 2022 to reschedule the date of hearing and they were requested to appear in the hearing on September 11, 2022

Considering the explanation vide letter No: ALS/OFF/0165/2022 dated September 11, 2022 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against the A.L. Securities 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. Amirul Islam
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 Executive Director (MIS), BSEC
4. P.O.to Executive Director (SRI), BSEC
5. MD, DSE