

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2565/2018 / 607
April 19, 2022

By Courier Service

AB & Co. Ltd. (TREC holder No.43)
Room # 505, 9/F,
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/2565/2018/372 dated February 23, 2022 based on which the hearing was conducted on March 14, 2022.

Considering the explanation vide letter No. ABC/DSETREC-043/2022/1508 dated March 14, 2022 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against the AB & Co. Ltd. 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