



BANGLADESH SECURITIES AND EXCHANGE COMMISSION
Securities Commission Bhaban
E-6/C Agargaon, Sher-e-Bangla Nagar
Administrative Area, Dhaka 1207, Bangladesh



BSEC/Enforcement/3056/2021/924
November 14, 2021

By Courier Service

AB Securities Limited (DSE TREC # 201)
W W Tower (6th Floor)
68, 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/3056/2021/924 dated November 01, 2021 based on which the hearing was conducted on November 08, 2021.

Considering the explanation dated November 08, 2021 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against AB 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

Akram Siraj 14.11.2021
Akram Siraj
Assistant Director (Enforcement)
Phone: 01831781753
e-mail: akram@sec.gov.bd

Copy for information:

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

“মুজিববর্ষের অঙ্গীকার উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”