



Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2662/2018/ 48

January 09, 2022

By Courier Service

AD Holdings & Securities Limited
Room # 201 & 306(A)
Amin Court Bhaban
(2nd & 3rd Floor), 62-63
Motijheel C/A, Dhaka-1000

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16.01.22
DD-1 (MIS)

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/2662/2018/1080 dated December 06, 2021 based on which the hearing was conducted on December 15, 2021.

Considering the explanation vide letter dated December 14, 2021 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against AD Holdings & 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
Akram Siraj 09.01.2022
Assistant Director (Enforcement)
E-mail: akram@sec.gov.bd

Copy for information:

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