

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2730/2019/20

Dated: January 03, 2022

By Special Messenger

A.K. Khan Securities Limited
(DSE TREC Holder # 06)
Room Number #01,
Bay's Galleria (2nd Floor)
57 Gulshan Avenue, Gulshan-1, Dhaka-1212.

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Dm (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/2730/2019/1157 dated December 14, 2021 based on which the hearing was conducted on December 29, 2021.

The Commission, considering your explanation vide letter dated 28.12.2021 has decided to dispose of the proceedings against A.K. Khan 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 such default.

For Bangladesh Securities and Exchange Commission,



^{03.01.2022}
Md. Mahmudul Hasan
Assistant Director-v (Enforcement)
Mobile: 01515292195
Email: mahmudulhasan@sec.gov.bd

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.