

Bangladesh Securities and Exchange Commission

Enforcement Division
Enforcement Department
Issuer Company Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3532/2023/183

Date: January 28, 2025

Alhaj Securities & Stocks Limited

Room # 306, Stock Exchange Building
9/F, Motijheel C/A, Dhaka-1000

Alhaj Md. Jubaier Hossain

Managing Director
Alhaj Securities & Stocks Limited
Room # 306, Stock Exchange Building
9/F, Motijheel C/A, Dhaka-1000

Md. Jubayer Ahamed

Compliance Authority
Alhaj Securities & Stocks Limited
Room # 306, Stock Exchange Building
9/F, Motijheel C/A, Dhaka-1000

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/3532/2023/1211 dated December 31, 2024 based on which the hearing was conducted on January 13, 2025. Subsequently, you have submitted your replies vide letter dated January 13, 2025 where you mentioned your compliance status.

The Commission, considering your degree of non-compliances, has decided to warn you to be careful in future and also suggested to be cautious about maintaining due diligence related to securities related laws. Any divergence of securities related laws and failing of lawful responsibilities will be taken seriously whereas you will be brought under appropriate enforcement action.




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You are hereby advised to follow up individual job responsibility of the employee and make them responsible about lapse found in the above-mentioned show-cause letter. 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,


28.01.2025

Akram Siraj

Assistant Director (Enforcement)

E-mail: akram@sec.gov.bd

Copy for information:

1. Chairman's Office, BSEC
2. PO to Commissioners, BSEC
3. PO to Executive Director (MIAD)
- ✓ 4. PO to Executive Director (ICTD), BSEC
5. Managing Director, Dhaka Stock Exchange PLC