

বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

BSEC/Enforcement/2501/2018/451
Dated: August 10, 2021

By Special Messenger

Ali Securities Co. Ltd.
DSE TREC Holder # 105
Room: 608, Stock Exchange Building
9/F Motijheel Commercial Area
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/2501/2018/338 dated May 24, 2021 based on which the hearing was conducted on 27.06.2021.

The Commission, considering your explanation vide letter dated 27.06.2021 has decided to dispose of the proceedings against Ali Securities 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 such default.

For Bangladesh Securities and Exchange Commission,

Ali
10.08.2021

Mohammad Al Masum Mirdha
Additional Director (Enforcement)
Phone : 55007147
Email: almasum@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.