

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3092/2021/৩৩২
September 29, 2021

By Courier Service

Aloco Securities Limited
DSE TREC Holder No.139
Suite # 520
DSE Annex Building (4th Floor)
9/E, 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/3092/2021/622 dated September 07, 2021 based on which the hearing was conducted on September 27, 2021.

Considering the explanation vide letter No. Aloco-TREC-139/09/2021/800 dated September 23, 2021 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against the Aloco 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

Md. Yusuf Bhuiyan
Additional Director (Enforcement)
Phone: 55007139
e-mail: yusuf@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 Executive Director (SRI), BSEC