



Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2990/2020/05

By Special Messenger

January 02, 2022

Aries Securities Limited
(DSE TREC No.048)
Room # 603, Modhumita Building (5th floor)
158 - 160, Motijheel C/A, Dhaka-1000

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Dr (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/2990/2020/1240 dated December 22, 2021 based on which the hearing was conducted on December 30, 2021.

The Commission, considering your explanation vide letter dated December 30, 2021 has decided to dispose of the proceedings against Aries 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

Mahmuda Shireen

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Mahmuda Shireen

Deputy Director (Enforcement)

E-mail: shireen@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O. to Executive Director (SRI), BSEC
3. P.O. to Executive Director (MIS), BSEC
4. Managing Director, Dhaka Stock Exchange Limited