



**BANGLADESH SECURITIES AND EXCHANGE COMMISSION**  
Securities Commission Bhaban  
E-6/C Agargaon, Sher-e-Bangla Nagar  
Administrative Area, Dhaka 1207, Bangladesh



**BSEC/Enforcement/2990/2020/98**  
**Dated: 08 February, 2021**

**By Special Messenger**

Aries Securities Limited  
(DSE TREC Holder No. 48)  
Suite-603,  
Modhumita Cinema Hall Building (5<sup>th</sup> floor),  
158-160, 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/2990/2020/1161 dated December 29, 2020 based on which the hearing was conducted on 11.01.2021.

The Commission, considering your explanation vide letter ref. No. ASL/BSEC/2021/01/002 dated January 10, 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,

  
08.02.2021

**Mohammad Al Masum Mirdha**  
Deputy 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.

“মুজিববর্ষের অঙ্গীকার উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”