

## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3049/2021/ ৪৫৪  
Dated: October 12, 2021

By Special Messenger

Aries Securities Ltd.  
(DSE TREC No. 48)  
Room # 603, Modhumita Building (5th floor),  
158 - 160, Motijheel C/A,  
Dhaka-1000.

07 NOV 2021  
DMIS

**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/3049/2021/379 dated June 13, 2021 and subsequent letter dated August 12, 2021 based on which the hearing was conducted on August 26, 2021.

The Commission, considering your explanation vide letter dated August 25, 2021 and subsequent letter dated September 08, 2021 has decided to dispose of the proceedings against Aries Securities 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,

*Al Masum*  
12.10.2021

**Mohammad Al Masum Mirdha**  
Additional Director (Enforcement)  
Phone : 55007147  
Email: [almasum@sec.gov.bd](mailto: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