

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3632/2024/589

Dated: July 11, 2024

01. **Azam Securities Limited (DSE TREC # 019)**, Room # 726 (6th Floor), 9/E, Motijheel C/A, Dhaka-1000.
02. **Mr. Ahmed Kabir Majumder, Managing Director and Compliance Authority** of Azam Securities Limited, Room # 726 (6th Floor), 9/E, Motijheel C/A, Dhaka-1000.
03. **A.T.M. Golam Rabbani, Head of Compliance**, of Azam Securities Limited, Room # 726 (6th Floor), 9/E, Motijheel C/A, Dhaka-1000.
04. **Mr. Mohammad Nizam Uddin, Mirpur DOHS Branch In-Charge & Compliance Officer**, Azam Securities Limited, Room # 726 (6th Floor), 9/E, Motijheel C/A, Dhaka-1000.
05. **Mr. S.M. Akteruzzaman, Accounts Officer**, Azam Securities Limited, Room # 726 (6th Floor), 9/E, Motijheel C/A, Dhaka-1000.
06. **Mr. Mohammad Jahangir Alam, Authorised Representative** of the Mirpur DOHS Branch, Azam Securities Limited, Room # 726 (6th Floor), 9/E, Motijheel C/A, Dhaka-1000.


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/3632/2024/530 dated 23 June 2024 based on which the hearing was conducted on 30 June 2024.

The Commission, considering your explanation vide letter ref. ASL/DSE-019/06/2024/SC-530/Reply dated 30.06.2024 has decided to dispose of the proceedings against you/your's 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,


11-07-2024
Rubel Hossain
Assistant Director (Enforcement)
E-mail: rubel@sec.gov.bd
Mobile : 01922-151361

Copy for information:

1. Chairman Office, BSEC.
2. PO to Executive Director (MIAD), BSEC; with reference to DSE letter no. DSE/MCD/BSEC/2024/019/2619 dated 06th May 2024.
- ✓ 3. PO to Executive Director (ICTD), BSEC.
4. Managing Director, Dhaka Stock Exchange PLC.