



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/3283/2022/798

Dated: October 22, 2023

Bangladesh Finance Securities Limited

(DSE TREC Holder # 030)

Plot # 64 (2nd Floor), Motijheel C/A, Dhaka-1000

Kind 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/3283/2022/646 Dated: September 07, 2023 based on which the hearing conducted on September 24, 2023.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter No. BFSL/HO/COMPLIANCE/2023/0623 dated September 18, 2023 which was submitted at the time of hearing regarding Share Trading of Emerald Oil Industries Ltd. (EMERALDOIL) for the period from 27.04.2023 to 28.05.2023, has decided to dispose of the matter against you (Bangladesh Finance 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,


22.10.2023

Md. Sultan Salah Uddin

Deputy Director (Enforcement)

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Copy for information:

1. PS to the Honorable Chairman, BSEC.
2. P.O. to Commissioner (Enforcement), BSEC.
- ✓ 3. P.O. to Executive Director (MIS), BSEC.
4. P.O. to Executive Director (MSI), BSEC. [Ref: BSEC/Surveillance/2020-949 (Vol-3)]
5. P.O. to Director (Enforcement), BSEC.
6. Managing Director, Dhaka Stock Exchange Ltd.