

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

BSEC/Enforcement/3786/2024/68
Dated: January 12, 2025

By Special Messenger

01. **Beximco Securities Limited (DSE TREC # 178)**, House # 19/B, Road # 01, Dhanmondi R/A, Dhaka-1205.
02. **Mr. Sharif Md. Kaiser Hamid, Compliance officer**, Beximco Securities Limited, House # 19/B, Road # 01, Dhanmondi R/A, Dhaka-1205.
03. **Mr. Mir Saydur Rahman, Accounts In-Charge**, Beximco Securities Limited, House # 19/B, Road # 01, Dhanmondi R/A, Dhaka-1205.

Subject: Non-Compliances related to not maintaining sufficient fund of customers' in the Consolidated Customers' Account of the Company: **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/3786/2024/1100 dated 18 December 2024 based on which the hearing was conducted on 30 December 2024.


Subsequently, you have submitted your replies vide letter dated December 29, 2024 where you mentioned your compliance status.

The Commission, considering your degree of non-compliances, has decided to warn you to be careful in future and also suggested to be cautious about maintaining due diligence related to securities related laws. Any divergence of securities related laws and failing of lawful responsibilities will be taken seriously whereas you will be brought under appropriate enforcement action.

You are hereby advised to follow up individual job responsibility of the employee and make them responsible about lapse found in the above-mentioned show-cause letter.

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,


12-01-2025
Rubel Hossain
Assistant Director (Enforcement)

Copy for information:

1. Chairman Office, BSEC.
2. P.O. to all Commissioner (Enforcement), BSEC.
3. PO to Executive Director (MIAD), BSEC; with reference to DSE letter no. DSE/MCD/BSEC/2024/5215 dated 02nd September 2024.
- ✓ 4. PO to Executive Director (ICTD), BSEC.
5. Managing Director, Dhaka Stock Exchange PLC.