



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

BSEC/Enforcement/3049/2021/২৬২  
Dated: September 29, 2021

By Special Messenger

Dragon Securities Ltd.  
(DSE TREC No. 119)  
Bilquis Tower (8th Floor, North Side & 3rd Floor),  
Plot # 6 (New), 2nd Circle,  
Gulshan, Dhaka-1212

**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/3049/2021/391 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 26.08.2021 has decided to dispose of the proceedings against Dragon 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,

*Mohammad Al Masum Mirdha*  
29.09.2021

**Mohammad Al Masum Mirdha**  
Additional Director (Enforcement)  
Phone : 55007147  
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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