

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

BSEC/Enforcement/3662/2024/800
Dated: October 15, 2024

By Special Messenger

01. **EBL Securities Limited (DSE TREC No. 026)**, Jiban Bima Bhaban (1st Floor), 10, Dilkusha C/A, Dhaka-1000.
02. **Mr. Golam Mostofa, Dhanmondi Branch in-charge**, EBL Securities Limited, Jiban Bima Bhaban (1st Floor), 10, Dilkusha C/A, Dhaka-1000.
03. **Mr. Mohammad Alauddin, Compliance Officer** of EBL Securities Limited, Jiban Bima Bhaban (1st Floor), 10, Dilkusha C/A, Dhaka-1000.

Subject: Non-Compliances related to not maintaining telephonic register and customers' complaint register: 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/3662/2024/689 dated 04 September 2024 based on which the hearing was conducted on 15 September 2024.

Subsequently, you have submitted your replies vide letter reference no. EBLSL/2104/2024 dated September 15, 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,


15-10-2025
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/2024/019/2615 dated 06th May 2024.
4. PO to Executive Director (ICTD), BSEC.
5. Managing Director, Dhaka Stock Exchange PLC.