

বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

BSEC/Enforcement/3049/2021/ ২৫১

Dated: September 29, 2021

By Special Messenger

Elegant Stock and Securities Limited
(DSE TREC No. 51)
Room # 410, Stock Exchange Building,
9/F, Motijheel C/A,
Dhaka-1000

Attention: Managing Director/CEO

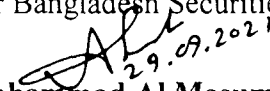
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3049/2021/ 372 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 August 25, 2021 and subsequent letter dated September 09, 2021 has decided to dispose of the proceedings against Elegant Stock and 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. **Moreover, you are also instructed to add the note of "Receivables from clients" in their next audited reports and intimate to the Commission.**

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,


29.09.2021
Mohammad Al Masum Mirdha
Additional Director (Enforcement)
Phone : 55007147
Email: almasum@sec.gov.bd
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.