

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

BSEC/Enforcement/3498/2023/277
Dated: March 21, 2024

By Special Messenger/Courier

Fortune Securities (Pvt.) Limited

(TREC no. DSE 147)
Room # 632 (5th Floor), 9/E,
Motijheel C/A, Dhaka-1000.

Mr. Ashek Ahmed Adel

Compliance Officer
Fortune Securities (Pvt.) Limited
Room # 632 (5th Floor), 9/E,
Motijheel C/A, Dhaka-1000.

Mr. Md. Hasan Ahmed Imon

Accounts In charge
Fortune Securities (Pvt.) Limited
Room # 632 (5th Floor), 9/E,
Motijheel C/A, Dhaka-1000.

Attention: Managing Director/CEO/Alleged Person

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/3498/2023/1021 dated November 19, 2023 based on which the hearing was conducted on December 03, 2023.

The Commission, considering your adjustment of irregularities vide letter dated 03.12.2023 has decided to dispose of the proceedings against you 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,



21.03.2024

Md. Mahmudul Hasan
Assistant Director (Enforcement)
Mobile: 01515292195
Email: mahmudulhasan@sec.gov.bd

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SMMID), BSEC. With reference to memo no. BSEC/SMMI/DSE/Ins-84/2022/699 Dated: October 10, 2023.
3. PO to Executive Director (ICTD), BSEC.
4. Managing Director, Dhaka Stock Exchange PLC. With reference no. DSE/MCD/BSEC/2023/019/5298 Dated: September 20, 2023.