

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2754/2019/273

By Special Messenger

February 09, 2022

Fortune Securities (Pvt.) Ltd.
(DSE TREC No.147)
Room # 632 (5th Floor)
9/E, 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/2754/2019/97 dated January 13, 2022 based on which the hearing was conducted on January 23, 2022.

The Commission, considering your explanation vide letter dated January 23, 2022 has decided to dispose of the proceedings against Fortune Securities (Pvt.) 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

Mahmuda Shireen

০৭.০২.২২

Mahmuda Shireen

Deputy Director (Enforcement)

E-mail: shireen@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O. to Executive Director (SRI), BSEC
3. P.O. to Executive Director (MIS), BSEC
4. Managing Director, Dhaka Stock Exchange Limited