

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

BSEC/Enforcement/3823/2024/73
Dated: January 14, 2025

By Special Messenger

01. **Green Delta Securities Limited (DSE TREC # 095)**, Al Haj Tower (4th Floor, South Side), 82, Motijheel C/A, Dhaka-1000.
02. **Mr. Wafi Shafique Menhaz Khan, Managing Director & CEO, Compliance Authority** of Green Delta Securities Limited, Al Haj Tower (4th Floor, South Side), 82, Motijheel C/A, Dhaka-1000.
03. **Mr. Liakat Hossain, Compliance Officer**, Green Delta Securities Limited, Al Haj Tower (4th Floor, South Side), 82, Motijheel C/A, Dhaka-1000.

Subject: Non-Compliances related to closing the Extension Office without informing the Commission and the DSE: **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/3823/2024/1113 dated 22 December 2024 based on which the hearing was conducted on 06 January 2025.


Subsequently, you have submitted your replies vide letter ref: GDSL/HO/Com/2025 dated January 06, 2025, 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,


14-01-2025

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/2024/5498 dated 10th September 2024.
- ✓ 4. PO to Executive Director (ICTD), BSEC.
5. Managing Director, Dhaka Stock Exchange PLC.