



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন  
Bangladesh Securities and Exchange Commission

Jiban Bima Tower, 10 Dilkusha C/A, Dhaka-1000, Bangladesh  
Phone (PABX): 0088-02 9568101-2, 0088-02 9561525, Fax: 0088-02 9563721, 7176604

**SEC/Enforcement/1037/2012/133**  
**February 07, 2013**

HAC Securities Limited  
DSE Membership No.74  
Room No.610  
Stock Exchange Building  
9/F Motijheel C/A  
Dhaka-1000.

**Attention: Managing Director/CEO**

**Subject: Warning: Non-compliance of আচরনবিধি 7 of দ্বিতীয় তফসিল of সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (স্টক ডিলার, স্টক ব্রোকার ও অনুমোদিত প্রতিনিধি) বিধিমালা, ২০০০.**

This refers to SEC's show cause-cum-hearing notice No. SEC/Enforcement/1037/2012/404 dated August 08, 2012 and your explanation letter no.NIL dated September 18,2012.

The Commission considering your prayer, has decided to dispose off the proceedings against HAC Securities Limited by placing on record the Commission's dissatisfaction on the defaults/contraventions made by the broker with a warning to ensure compliance of all securities related laws in future.

Please note that this disposal does not absolve HAC Securities Limited from its lawful responsibilities/obligations to any person, if affected as a result of your above said default.

For Bangladesh Securities and Exchange Commission

**Mustari Jahan**  
**Deputy Director (Enforcement Dept.)**



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন  
Bangladesh Securities and Exchange Commission

Jiban Bima Tower, 10 Dilkusha C/A, Dhaka-1000, Bangladesh  
Phone (PABX): 0088-02 9568101-2, 0088-02 9561525, Fax: 0088-02 9563721, 7176604

**Distribution:**

Chief Executive Officer, Dhaka Stock Exchange Limited  
Chief Executive Officer, Chittagong Stock Exchange Limited

**Copy for information:**

P.O to Commissioner (Enforcement), BSEC  
P.O to Executive Director (Surveillance), BSEC  
P.O to Executive Director (MIS), BSEC  
Chairman's office, BSEC