

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

BSEC/Enforcement/3498/2023/ 276
Dated: March 21, 2024

By Special Messenger/Courier

Hazrat Amanat Shah Securities Limited
(TREC no. DSE 173)
Phoenix Bhaban (2nd Floor, Southeast Portion),
12, Dilkusha C/A, Dhaka-1000.

Mr. Md. Abul Hasnat
CEO
Hazrat Amanat Shah Securities Limited Phoenix
Bhaban (2nd Floor, Southeast Portion),
12, Dilkusha C/A, Dhaka-1000.

Mr. Mohammad Shofiul Azam
Compliance Officer
Hazrat Amanat Shah Securities Limited Phoenix
Bhaban (2nd Floor, Southeast Portion),
12, Dilkusha C/A, Dhaka-1000.

Mr. Mohammad Oli Mia Bhuyan
Accounts In-Charge
Hazrat Amanat Shah Securities Limited Phoenix
Bhaban (2nd Floor, Southeast Portion),
12, Dilkusha C/A, Dhaka-1000.

Attention: Managing Director/CEO/Alleged Person

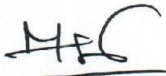
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3498/2023/1023 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