



# BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

**BSEC/Enforcement/3334/2022/1279**

**Date: October 04, 2022**

**Mona Financial Consultancy & Securities Limited**

(DSE TREC Holder # 164)

Room # 412, 413 & 417

Stock Exchange Building 9/F Motijheel C/A

Dhaka-1000.

**Kind attention: Managing Director/CEO**

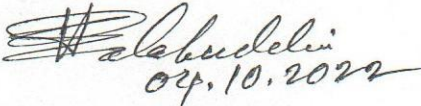
**Subject: Warning to ensure compliance of all securities related laws in future.**

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/3334/2022/1199 Date: September 14, 2022 based on which the hearing was conducted on September 25, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter No. MFCSL/BSEC/2022/08 dated September 22, 2022 which was submitted at the time of hearing, has decided to dispose of the matter against you (Mona Financial Consultancy & Securities Limited) 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 the default.

For Bangladesh Securities and Exchange Commission,

  
04.10.2022

**Md. Sultan Salah Uddin**

**Deputy Director (Enforcement)**

PABX: 88-02-55007131-2, Ext- 1306

E-mail: [ssuddin@sec.gov.bd](mailto:ssuddin@sec.gov.bd)

**Copy for information:**

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O to Executive Director (MIS), BSEC.
4. P.O. to Executive Director (MSI), BSEC.
5. Managing Director, Dhaka Stock Exchange Ltd.