

## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3214/2021/1291

Date: December 29, 2021

**Mona Financial Consultancy & Securities Limited**

(CSE TREC Holder No. 103)

Room # 413 & 417, DSE Building

9/F 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/3214/2021/1168 Dated December 19, 2021 based on which the hearing was conducted on December 27, 2019.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter No. MFCSL/BSEC/2021/08 Dated December 23, 2021 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,

**Md. Sultan Salah Uddin**

**Deputy Director (Enforcement)**

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*02.01.2022*  
*Dir (MIS)*

**Copy for information:**

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