



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3315/2022/1116

Dated: August 23, 2022

Mona Financial Consultancy and Securities Ltd. (DSE TREC # 164)
Room # 413 & 417, DSE Building
9/F Motijheel C/A, Dhaka-1000.

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/3315/2022/876 dated June 16, 2022 based on which the hearing was conducted on June 27, 2022.

The Commission, considering your explanation letter ref no. MFCSL/BSEC/2022/05 dated 26.06.2022 and updated report submitted by DSE ref no. DSE/MCD/SI/T-164/2022/154/5027, dated-August 10, 2022 has decided to dispose of the proceedings against Mona Financial Consultancy and Securities Ltd. (DSE TREC # 164) 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,

Rubel Hossain
Assistant Director (Enforcement)
E-mail: rubel@sec.gov.bd
Mobile : 01922-151361.

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.