



Bangladesh Securities and Exchange Commission

“মুজিববর্ষের অঙ্গীকার
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”

BSEC/Enforcement/2979/2020/503

Dated: March 28, 2022

Mondol Securities Ltd.

(TREC Holder #209)

Le Meridien (Commercial Space, 6th Floor), Block # 2

Plot # 79/A, Airport Road, Nikunja-2, Khilkhet
Dhaka-1229

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/2979/2020/376 Dated February 24, 2022 based on which the hearing was conducted on March 14, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated March 14, 2022 which was submitted at the time of hearing, has decided to dispose of the matter against you (Mondol Securities Ltd.) 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,

19.03.2022

Mohammed Abu Hena Mostafa

Assistant Director (Enforcement)

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Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Director (Enforcement), BSEC.
4. P.O. to Executive Director (MIS)
5. M.D, DSE