



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3306/2022/1074

Dated: December 07, 2023

Mr. Al-Hashim Md. Mahfuzul Ashraf

Authorized Representative

Work Station ABFTRDR002 of AB Bank Securities Ltd.

W W Tower (6th Floor), 68, Motijheel C/A, Dhaka-1000

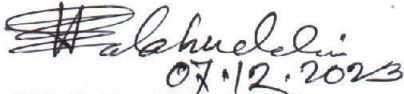
Subject: Non-compliance of securities related laws: -Warning.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3306/2022/705 Dated: September 18, 2023, based on which the hearing was conducted on October 08, 2023.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated October 08, 2023 which was submitted at the time of hearing, has decided to dispose of the matter 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 the default.

For Bangladesh Securities and Exchange Commission,


07.12.2023

Md. Sultan Salah Uddin

Deputy 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 Executive Director (Enforcement), BSEC.
4. P.O. to Executive Director (MSI), BSEC. (Ref: BSEC/MIS/2020/997)
5. P.O. to Director (Enforcement), BSEC.