



# BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

**BSEC/Enforcement/3456/2023/598**

**Dated: August 13, 2023**

**Mr. Gulam Mustafa**

(BO ID # 1203520039802787)

Flat # A/4, House # 25, Road # 9/A

Dhanmondi, Dhaka.

**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/3456/2023/508 Dated: July 10, 2023 based on which the hearing was conducted on August 06, 2023.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated August 06, 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,

  
13.08.2023

**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 (Surveillance Department) (File Ref: BSEC/MSI/2023-1103)
- ✓ 4. P.O to Executive Director (MIS)
5. P.O. to Director (Enforcement), BSEC.
6. Managing Director, Dhaka Stock Exchange Ltd. (Ref: DSE/2023/IED/217 dated January 11, 2023)