



# বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

সিকিউরিটিজ কমিশন ভবন, ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭, বাংলাদেশ।

**BSEC/Enforcement/2950/2020/1132**

Dated: August 24, 2022

Phoenix Securities Limited  
(TREC Holder #04)  
Moon Mansion (1st floor)  
12, Dilkusha C/A, Dhaka-1000

**Attention: Managing Director/CEO**

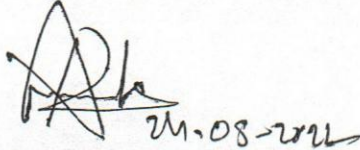
**Subject: Warning to ensure compliance of all securities related laws in future.**

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/2950/2020/814 dated Dated: May 31, 2022 based on which the hearing was conducted on June 19, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated June 19, 2022, has decided to dispose of the matter against Phoenix 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,



**Mohammed Abu Hena Mostafa**  
Assistant Director (Enforcement)  
Phone: 01816-243634  
Email: mostafaanik@sec.gov.bd

**Copy for information:**

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