



BANGLADESH SECURITIES AND EXCHANGE COMMISSION
Securities Commission Bhaban
E-6/C Agargaon, Sher-e-Bangla Nagar
Administrative Area, Dhaka 1207, Bangladesh



BSEC/Enforcement/2938/2020/539
Dated: 25 July, 2023

By Special Messenger

Pioneer Shares & Securities Ltd.

(CSE TREC No. 034)

Elias Brothers Market (2nd Floor)

171/A Momin Road

Anderkilla, Chattogram. Bangladesh.

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

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/2938/2020/445, Date: 30 May, 2023 based on which the hearing was conducted on 23 July 2023.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter Ref: No. BSEC/Hearing_445/2023/01 dated 19 July, 2023 which was submitted at the time of hearing, has decided to dispose of the matter against you (Pioneer Shares & 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,

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25.7.23

Rabiul Islam

Assistant Director (Enforcement)

Mobile: 01731-421312

Email: rabiul@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 (MIAD), BSEC (Ref. No. BSEC/SRI/RI/CSE/2020/Part-XIV/34, dated February 08, 2023.
4. P.O to Executive Director (ICT), BSEC
5. P.O to Director (Enforcement), BSEC.
6. Managing Director, Chittagong Stock Exchange Ltd.

“মুজিববর্ষের অঙ্গীকার উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”