

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3811/2024/70
Dated: January 13, 2025

By Special Messenger

01. **Quayum Securities Limited (DSE TREC # 038)**, Room # 188, DSE Tower (Level-10), Plot # 46, Road # 21, Nikunja-2, Dhaka-1229.
02. **Mr. Nayeem Md. Quayum, Managing Director**, Quayum Securities Limited, Room # 188, DSE Tower (Level-10), Plot # 46, Road # 21, Nikunja-2, Dhaka-1229.
03. **Ms. Nur-E-Nadiya, Compliance Authority**, Quayum Securities Limited, Room # 188, DSE Tower (Level-10), Plot # 46, Road # 21, Nikunja-2, Dhaka-1229.
04. **Mr. Ashikuzzaman, Banani Branch In-Charge** of Quayum Securities Limited, Room # 188, DSE Tower (Level-10), Plot # 46, Road # 21, Nikunja-2, Dhaka-1229.
05. **Mr. Md. Amzad Hossain, Banani Branch Compliance Officer** of Quayum Securities Limited, Room # 188, DSE Tower (Level-10), Plot # 46, Road # 21, Nikunja-2, Dhaka-1229.
06. **Mr. Md. Ariful Islam, Authorized Representatives** of Quayum Securities Limited, Room # 188, DSE Tower (Level-10), Plot # 46, Road # 21, Nikunja-2, Dhaka-1229.
07. **Ms. Momotaz Al Azad, Authorized Representatives** of Quayum Securities Limited, Room # 188, DSE Tower (Level-10), Plot # 46, Road # 21, Nikunja-2, Dhaka-1229.
08. **Mr. Ashrafuzzaman Chowdhury, Authorized Representatives** of Quayum Securities Limited, Room # 188, DSE Tower (Level-10), Plot # 46, Road # 21, Nikunja-2, Dhaka-1229.
09. **Mr. Rakesh Kumar Deb, Authorized Representatives** of Quayum Securities Limited, Room # 188, DSE Tower (Level-10), Plot # 46, Road # 21, Nikunja-2, Dhaka-1229.

Subject: Non-Compliances related to not maintaining proper signboard in front of the branch office and not informing the change of authorized representative to the Exchange and the Commission and shifting of TWS(s) : **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/3811/2024/1115 dated 22 December 2024 based on which the hearing was conducted on 06 January 2025.


Subsequently, you have submitted your replies vide letter ref: QSL/ADMN/BSEC/353 dated January 06, 2025, where you mentioned your compliance status.

The Commission, considering your degree of non-compliances, has decided to warn you to be careful in future and also suggested to be cautious about maintaining due diligence related to securities related laws. Any divergence of securities related laws and failing of lawful responsibilities will be taken seriously whereas you will be brought under appropriate enforcement action.

You are hereby advised to follow up individual job responsibility of the employee and make them responsible about lapse found in the above-mentioned show-cause letter.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of such default.

For Bangladesh Securities and Exchange Commission,


13-01-2025
Rubel Hossain

Assistant Director (Enforcement)

Copy for information:

1. Chairman Office, BSEC.
2. P.O. to all Commissioner (Enforcement), BSEC.
3. PO to Executive Director (MIAD), BSEC; with reference to DSE letter no. DSE/MCD/BSEC/2024/6134 dated 08th October 2024.
4. PO to Executive Director (ICTD), BSEC.
5. Managing Director, Dhaka Stock Exchange PLC.