

Bangladesh Securities and Exchange Commission  
Enforcement Division  
Enforcement Department  
Market, Market Intermediaries and Other Affairs Section  
[www.sec.gov.bd](http://www.sec.gov.bd)

**BSEC/Enforcement/3759/2024/1040**

By Special Messenger

Dated: December 01, 2024

01. **Sonali Securities Limited (DSE TREC # 261)**, City Centre (Level-32, North East Side), Unit-C, 90/1, Motijheel C/A, Dhaka 1000.
02. **Mr. Imranur Rahman Khan, Compliance Officer & Accounts Officer**, Sonali Securities Limited, City Centre (Level-32, North East Side), Unit-C, 90/1, Motijheel C/A, Dhaka 1000.

**Subject:** Non-Compliances related to maintaining deficit balance of TK. 1,07,64,337.63 in their Consolidated Customers' Account as on 03 November 2022: **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/3759/2024/913 dated 10 November 2024 based on which the hearing was conducted on 25 November 2024.

Subsequently, you have submitted your replies vide letter reference no. SSL/COMP/2024/075 dated November 25, 2024 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,



01-12-2024

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/2023/965 dated 13<sup>st</sup> February 2023.
4. PO to Executive Director (ICTD), BSEC.
5. Managing Director, Dhaka Stock Exchange PLC.