

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

**BSEC/Enforcement/3479/2023/97**

**Dated: January 31, 2024**

1. **Surma Securities Holding Company Limited**  
(DSE TREC # 111)  
Room # 627, 9/E, Motijheel C/A, Dhaka-1000
2. **Mr. Mansoor Mumin, Director**  
Surma Securities Holding Company Limited  
Room # 627, 9/E, Motijheel C/A, Dhaka-1000
3. **Md. Helal Uddin Chowdhury, Head of Accounts**  
Surma Securities Holding Company Limited  
Room # 627, 9/E, Motijheel C/A, Dhaka-1000
4. **Mr. Khair Muhammad Jalal, Compliance Officer**  
Surma Securities Holding Company Limited  
Room # 627, 9/E, Motijheel C/A, Dhaka-1000

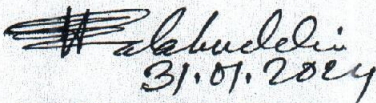
**Subject: Warning to ensure compliance of all securities related laws in future.**

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/3479/2023/852 Dated: November 02, 2023 based on which the hearing was conducted on November 19, 2023.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated November 19, 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,

  
31.01.2024

**Md. Sultan Salah Uddin**  
**Deputy Director (Enforcement)**  
IP PABX: 88-02-09609-100600, Ext- 1220  
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 (SMMID) [Ref: BSEC/SMMID/CCA/DSE/2023/666 dated September 27, 2023]
4. P.O to Executive Director (MIS), BSEC
5. P.O to Executive Director (Enforcement), BSEC
6. P.O to Director (Enforcement), BSEC.