

BSEC/Enforcement/3042/2021/440  
Dated July 28, 2021

By Special Messenger

Surma Securities Holding Company Limited  
(DSE TREC Holder No. 111)  
Room # 627, 9/E,  
Motijheel 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/3042/2021/343 dated May 24, 2021 based on which the hearing was conducted on 27.06.2021.

The Commission, considering your explanation vide letter dated 23.06.2021 has decided to dispose of the proceedings against Surma Securities Holding Company 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 such default.

For Bangladesh Securities and Exchange Commission,



**Mohammad Al Masum Mirdha**  
Additional Director (Enforcement)  
Phone : 55007147  
Email: almasum@sec.gov.bd

**Copy for information:**

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange l