



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/2773/2019/ 402

Dated: 20 August, 2019

By Special Messenger

AA Securities Limited
CSE TREC Holder # 32
K.N. Tower (4th Floor),
18, Agrabad C/A, Badamtoli Moor,
Chittagong.

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/ 2773/2019/319 dated July 07, 2019 based on which the hearing was conducted on July 29, 2019.

The Commission, considering your explanation vide letter dated 29.07.2019 has decided to dispose of the proceedings against AA 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,

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

Copy for information:

1. Managing Director, Chittagong Stock Exchange Ltd.
2. PS to the Honorable Chairman, BSEC.
3. PO to Executive Director (SRI), BSEC.
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