



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2839/2019/604

Date: December 05, 2019

By Courier

AB & Co. Ltd. (DSE TREC Holder No. 43)

Room # 505, 9/F, Motijheel C/A,
Dhaka-1000.

Attn: Managing Director/CEO

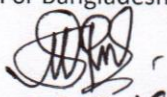
Sub: Warning to ensure compliance of all securities related law in future.

This refers to the Commission's show cause cum hearing notice no. BSEC/Enforcement/2839/2019/445 dated September 19, 2019 based on which the hearing was conducted on October 23, 2019.

The Commission, considering the accused oral apology and written explanation vide letter Ref: ABC/DSETREC-043/2019/1166 dated October 23, 2019-which was submitted at the time of hearing, has decided to dispose-off the proceedings against you by placing on record the Commission's dissatisfaction on the default/contravention made by the accused with a **Warning** to ensure compliance of all securities related laws in future.

Please note that this disposal does not absolve AB & Co. Ltd., its Directors, Managing Director, Company Secretary and any other involved from their lawful responsibilities/obligations to any person, if affected, as a result of the default.

For Bangladesh Securities and Exchange Commission,


05.12.19

Md. Rafiqunnabi

Assistant Director

E-mail- rafiq@sec.gov.bd

Cell- 01786 327 667

Copy for information:

1. Chairman's Office, BSEC
2. Commissioner (Enforcement), BSEC
3. Executive Director (SRI), BSEC
- ✓ 4. Executive Director (R&D), BSEC
5. Office file