

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

BSEC/Enf/3731/2024/589

Date: August 18, 2026

Ali Securities Co. Ltd.

Room # 608, Stock Exchange Building
9/F, Motijheel C/A, Dhaka-1000

Mr. Mamun Akbar

CEO & Compliance Officer
Ali Securities Co. Ltd.
Room # 608, Stock Exchange Building
9/F, Motijheel C/A, Dhaka-1000

Mr. Md. Abdul Halim

Accounts Officer
Ali Securities Co. Ltd.
Room # 608, Stock Exchange Building
9/F, Motijheel C/A, Dhaka-1000

Subject: Non-Compliance related to not maintaining sufficient fund of customers' in the Consolidated Customers' Account of the Company: 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/3713/2024/881 dated 07 November, 2024 based on which the hearing was conducted on 18 November, 2024.

Subsequently, you have submitted your replies vide letter reference no. ASCO-LETTER-20241113-0017 dated November 13, 2024 where you mentioned your compliance status.

The Commission, considering your degree of non-compliance, 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



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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,



Muhammad Sadequr Rahman Bhuiyan

Assistant Director (Enforcement)

E-mail: msrahman@sec.gov.bd

Copy for information:

1. Chairman Office, BSEC
2. PO to Commissioners, BSEC
3. PO to Executive Director (MIAD)
4. PO to Executive Director (ICTD), BSEC
5. Managing Director, Dhaka Stock Exchange PLC