



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন
সিকিউরিটিজ কমিশন ভবন
ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭
www.sec.gov.bd



BSEC/Enforcement/2872/2020/856
Date: November 15, 2020

By Courier Service

Aries Securities Limited
DSE TREC Holder Number- 048
Room # 603, Modhumita Building (5th floor)
158 - 160, Motijheel C/A, Dhaka-1000

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

This refers to the Commission's show cause cum hearing notice number-BSEC/Enforcement/2872/2020/577 dated August 26, 2020 based on which the hearing was conducted on September 14, 2020.

The Commission, considering the explanation vide letter number- ASL/BSEC/2020/09/007 dated-September 13, 2020 which was submitted at the time of hearing, has decided to dispose of the proceedings against Aries 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.

Md. Mustafizur Rahman
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Copy for information:

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