



BANGLADESH SECURITIES AND EXCHANGE COMMISSION
Securities Commission Bhaban
E-6/C Agargaon, Sher-e-Bangla Nagar
Administrative Area, Dhaka 1207, Bangladesh



BSEC/Enforcement/2878/2020/ 854
November 12, 2020

By Courier Service

Azam Securities Ltd. (DSE TREC holders no-019)
Room # 726 (6th Floor), 9/E, Motijheel C/A, Dhaka-1000

Attention: Managing Director/CEO

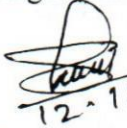
Subject: Warning to ensure compliance of all securities related law in future.

This refers to the show cause cum hearing notice No. BSEC/Enforcement/2878/2020/175 Dated February 18, 2020 of the Commission based on which the hearing was conducted on February 27, 2020.

The Commission, considering the explanation vide letter dated February 27, 2020 submitted at the time of hearing and subsequent settlement of shares, has decided to dispose of the proceedings against you 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-



12.11.20

Md. Shahnaws ACMA
Assistant Director

Mob:01816810586

Copy for information:

- Chairman's office, BSEC
- P.O to Commissioner (Enforcement), BSEC
- ✓ P.O to Executive Director (MIS), BSEC
- P.O to Executive Director (Surveillance), BSEC
- P.O to Director (Enforcement), BSEC

15.11.2020

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“মুজিববর্ষের অঙ্গীকার উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”