



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/2950/2020/11২২

Dated: December 28, 2020

Phoenix Securities Limited
(DSE TREC Holder No. 04)
Moon Mansion / Phoenix Bhaban (1st floor),
12, Dilkusha C/A, Motijheel,
Dhaka - 1000.

By Special Messenger

Attention: Managing Director/CEO

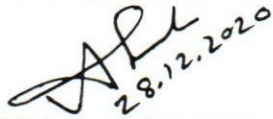
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement /2950/2020/827 dated November 10, 2020 based on which the hearing was conducted on 23.11.2020.

The Commission, considering your explanation vide letter ref. No. PSL/BSEC/Enforcement/2020/ dated 23th November 2020 and subsequent letter dated 23th December 2020 has decided to dispose of the proceedings against Phoenix 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 such default.

For Bangladesh Securities and Exchange Commission,


28.12.2020

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

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.

“মুজিববর্ষের অঙ্গীকার
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”