



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/2950/2020/1172

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 23<sup>th</sup> November 2020 and subsequent letter dated 23<sup>th</sup> 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”