



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/2958/2020/1181

Dated: December 31, 2020

Western Securities Investment Management Limited  
(CSE TREC Holder No. 120)  
Shahnewaz Bhaban (3<sup>rd</sup> Floor),  
Room No.-412,  
9/C Motijheel C/A,  
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 /2958/2020/822 dated November 10, 2020 based on which the hearing was conducted on 23.11.2020.

The Commission, considering your explanation vide letter ref. No. WSL/2014/2020 dated 22 November 2020 has decided to dispose of the proceedings against Western Securities Investment Management 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,

*Signature*  
31.12.2020

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

Copy for information:

M/F

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