

Bangladesh Securities and Exchange Commission
Securities Commission Bhaban
E-6/C, Agargaon
Sher-e-Bangla Nagar Administrative Area
Dhaka-1207, Bangladesh.

BSEC/Enforcement/2509/2018/318

By Special Messenger

Dated: 28 August, 2018

Alliance Securities & Management Ltd
DSE Member # 137
Rahman Chamber (3rd floor),
12-13 Motijheel C/A, Dhaka - 1000.

Attention: Managing Director/CEO

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

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2509/2018/50 dated 8 February, 2018 based on which the hearing was conducted on February 26, 2018.

The Commission, considering the explanation vide letter dated February 26, 2018 submitted at the time of hearing, has decided to dispose of the proceedings against Alliance Securities & Management Ltd 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-


28.8.18

Md. Shahnaws
Assistant Director

Mob:01816810586

Copy for information:

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


30.8.18

(MIS)