



# বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

সিকিউরিটিজ কমিশন ভবন, ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭, বাংলাদেশ।

BSEC/Enforcement/2623/2018/ 483

Dated: 19 November, 2018

Azam Securities Ltd.  
(TREC holder No. 19)  
Room # 726-727 (6<sup>th</sup> floor)  
DSE Annex Building  
9/E, Motijheel C/A,  
Dhaka-1000.

**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/2623/2018/406 dated October 22, 2018 based on which the hearing was conducted on November 07, 2018.

The Commission, considering your explanation vide letter no. ASL/DSE-019/11/2018/SC-Reply/406 dated 07.11.18 has decided to dispose of the proceedings against Azam Securities 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,

*Almasum*  
19.11.18

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

Copy for information:

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

*Almasum*  
27.11.18

D(MIS)

*Almasum*  
27.11.18  
Mr. Gov., AD