Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section
www.sec.gov.bd

BSEC/Enforcement/2585/2018/Part-2/772 **By Special Messenger**
Dated: 26 June 2025

01. Mr. Kabirul Islam, Head of Finance & Accounts, Dhanmondi Securities Limited (DSE TREC # 98), Suite # 903 (8th Floor), Modhumita Building,158-160 Motijheel C/A, Dhaka-1000.
02. Alauddin Ahmed Sr. Executive (Client Code # A0884), Dhanmondi Securities Limited (DSE TREC # 98), Suite # 903 (8th Floor), Modhumita Building,158-160 Motijheel C/A, Dhaka-1000.
03. Mohammad Zakir Hossain (Staff Assistant), Dhanmondi Securities Limited (DSE TREC # 98), Suite # 903 (8th Floor), Modhumita Building,158-160 Motijheel C/A, Dhaka-1000.
04. Md. Robiul Islam (Staff Assistant), Dhanmondi Securities Limited (DSE TREC # 98), Suite # 903 (8th Floor), Modhumita Building,158-160 Motijheel C/A, Dhaka-1000.
05. Md. Shahid Uzzaman (Executive & AR), Dhanmondi Securities Limited (DSE TREC # 98), Suite # 903 (8th Floor), Modhumita Building,158-160 Motijheel C/A, Dhaka-1000.
06. Md. Harun Or Rashid (Branch Incharge & AR), Dhanmondi Securities Limited (DSE TREC # 98), Suite # 903 (8th Floor), Modhumita Building,158-160 Motijheel C/A, Dhaka-1000.
07. Md. Kamal Uddin (Sr. Executive & AR), Dhanmondi Securities Limited (DSE TREC # 98), Suite # 903 (8th Floor), Modhumita Building,158-160 Motijheel C/A, Dhaka-1000.
08. Md. Moniruzzaman (Executive & AR), Dhanmondi Securities Limited (DSE TREC # 98), Suite # 903 (8th Floor), Modhumita Building,158-160 Motijheel C/A, Dhaka-1000.
09. Md. Rayhan Molla (Ur. Executive & AR), Dhanmondi Securities Limited (DSE TREC # 98), Suite # 903 (8th Floor), Modhumita Building,158-160 Motijheel C/A, Dhaka-1000.
10. Mr. Alauddin (Sr. Executive), Dhanmondi Securities Limited (DSE TREC # 98), Suite # 903 (8th Floor), Modhumita Building,158-160 Motijheel C/A, Dhaka-1000.

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/2585/2018/Part-2/676 dated 13 September 2023 and reschedule notice no. BSEC/Enforcement/2585/2018/Part-2/769 dated 10 October 2023 based on which the hearing was conducted on 05 November 2023.

Subsequently, you have submitted your replies vide letter ref. DSL/T-098/BSEC/2023/05 dated 05.11.2023, ref. DSL/T-098/BSEC/2024/15 dated 5th September 2024 and ref. DSL/T-098/BSEC/2024/17 dated 17th September 2024 where you mentioned your compliance status.

The Commission, considering your degree of non-compliances, has decided to warn you to be careful in future and also suggested to be cautious about maintaining due diligence related to securities related laws. Any divergence of securities related laws and failing of lawful

responsibilities will be taken seriously whereas you will be brought under appropriate enforcement action.

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.

By order of the Bangladesh Securities and Exchange Commission,

26-06-2025
Rubel Hossain
Assistant Director (Enforcement)

Copy for information:
1. Chairman Office, BSEC.
2. P.O. to all Commissioner (Enforcement), BSEC
3. PO to Executive Director (MIAD), BSEC; with reference to DSE letter no. with reference to BSEC IDM no. BSEC/SRI/DSE-098/2023/557, dated 14th May 2023.
4. PO to Executive Director (ICTD), BSEC.