

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

BSEC/Enforcement/3675/2024/704
Dated: September 10, 2024

By Special Messenger

- 01. Aries Securities Ltd. (DSE TREC No. 048), Room # 603, Modhumita Building (5th floor), 158 - 160, Motijheel C/A, Dhaka-1000.**
- 02. Mr. Masudul Haque, Managing Director & Compliance Authority, Aries Securities Ltd., Room # 603, Modhumita Building (5th floor), 158 - 160, Motijheel C/A, Dhaka-1000.**
- 03. Mr. Rashed Ahmed, Compliance Officer of Aries Securities Ltd., Room # 603, Modhumita Building (5th floor), 158 - 160, Motijheel C/A, Dhaka-1000.**
- 04. Mr. Saqib Qamar, Dhanmondi Branch In-Charge, Aries Securities Ltd., Room # 603, Modhumita Building (5th floor), 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/3675/2024/637 dated 29 July 2024 based on which the hearing was conducted on 01 September 2024.

The Commission, considering your explanation vide letter dated 25.08.2024 has decided to dispose of the proceedings against you/your's 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,


10-09-2024
Rubel Hossain
Assistant Director (Enforcement)
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Copy for information:

1. Chairman Office, BSEC.
2. PO to all Commissioner, BSEC.
3. PO to Executive Director (MIAD), BSEC; with reference to DSE letter no. DSE/MCD/BSEC/2024/019/2446 dated 23rd April 2024.
- ✓ 4. PO to Executive Director (ICTD), BSEC.
5. Managing Director, Dhaka Stock Exchange PLC.