



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2758/2019/ 308

Dated: July 03, 2019

By Special Messenger

First Capital Securities Limited
(DSE TREC No. 070)
Somobay Bhaban 9th Floor 9/D,
Mothijheel Commercial Area
Dhaka-1000

Attention: Managing Director/CEO

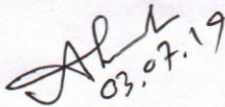
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2758/2019/270 dated May 27, 2019 based on which the hearing was conducted on June 19, 2019.

The Commission, considering your explanation vide letter (submission dated 19.06.2019) has decided to dispose of the proceedings against First Capital Securities 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 the default.

For Bangladesh Securities and Exchange Commission,


03.07.19

Mohammad Al Masum Mirdha

Deputy Director (Enforcement)

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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