



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2654/2018/ 17

Dated: 03 January, 2019

By Special Messenger

Globe Securities Limited
(DSE TREC holder No. 189)
Room # 302 & 314
Stock Exchange Building
9/F, Motijheel C/A,
Dhaka-1000.

Attention: Managing Director/CEO

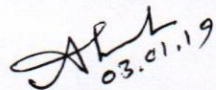
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2654/2018/507 dated November 26, 2018 based on which the hearing was conducted on December 12, 2018.

The Commission, considering your explanation vide letter no. GSL/BSEC/2018/3927 dated 11.12.18 has decided to dispose of the proceedings against Globe 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,


03.01.19

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

M/F