



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2605/2018/572

Dated: 23 December, 2018

By Special Messenger

IIDFC Securities Limited
(DSE TREC Holder # 238)
Eunoos Trade Centre (Level 7)
52-53, Dilkusha 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/2605/2018/459 dated October 29, 2018 based on which the hearing was conducted on November 22, 2018.

The Commission, considering your explanation vide letter no. IIDFCSL/BSEC/2018-5516 dated 22.11.18 has decided to dispose of the proceedings against IIDFC 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,


23.12.18
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.
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