



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2714/2019/ 307

Dated: July 03, 2019

By Special Messenger

Raja Securities Ltd.
CSE TREC Holder # 074
1095/B, Asadgonj,
Mohammadi Building
Kotwali, Chittagong.

Attention: Managing Director/CEO

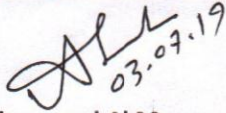
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2714/2019/96 dated March 06, 2019 based on which the hearing was conducted on March 25, 2019.

The Commission, considering your explanation vide letter no. RSL/19/80 dated 25.03.2019 and subsequent letters dated RSL/19/131 dated 20.05.2019 and RSL/19/155 dated 13.06.2019 has decided to dispose of the proceedings against Raja Securities Ltd. 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)
Phone : 55007147
Email: almasum@sec.gov.bd

Copy for information:

1. Managing Director, Chittagong Stock Exchange Ltd.
2. PS to the Honorable Chairman, BSEC.
3. PO to Executive Director (SRI), BSEC.
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