



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2660/2018/37

Dated: 14 January, 2019

By Special Messenger

S. B. Securities Limited
(DSE TREC No. 51)
Room 410, 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/2660/2018/556 dated December 11, 2018 based on which the hearing was conducted on December 24, 2018.

The Commission, considering your explanation vide letter no. SBS/BSEC/Admin/2018/03660 dated 23.12.18 has decided to dispose of the proceedings against S. B. 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,


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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