Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3827/2024/ 884
Dated: August 06, 2025

By Special Messenger/Courier

1. ETBL Securities & Exchange Ltd.
(DSE TREC Holder No. 31)
Sonargaon Plaza (2nd Floor),
Flat-2A, 57/12, East Raja Bazar,
West Panthapath, Dhaka1205.

2. Mr. Rezwan-Ur-Rahman
Managing Director & Compliance Authority
ETBL Securities & Exchange Ltd.
(DSE TREC Holder No. 31)
Sonargaon Plaza (2nd Floor),
Flat-2A, 57/12, East Raja Bazar,
West Panthapath, Dhaka1205.

3. Mr. Taufique Kamal Khan
CEO
ETBL Securities & Exchange Ltd.
(DSE TREC Holder No. 31)
Sonargaon Plaza (2nd Floor),
Flat-2A, 57/12, East Raja Bazar,
West Panthapath, Dhaka1205.

4. Mr. A.K. Mohin Uddin
Branch Manager
ETBL Securities & Exchange Ltd.
(DSE TREC Holder No. 31)
Sonargaon Plaza (2nd Floor),
Flat-2A, 57/12, East Raja Bazar,
West Panthapath, Dhaka1205.

Attention: Managing Director/CEO/Alleged Person

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/3827/2024/760 dated June 19, 2025 and subsequent reschedule letter no# BSEC/Enforcement/3827/2024/778 dated July 01, 2025 based on which the hearing was scheduled on June 30, 2025 and July 14, 2025. The hearing was conducted on July 14, 2025.

The Commission, considering your adjustment of irregularities vide letter dated July 09, 2025 has decided to dispose of the proceedings against you 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.

You are hereby advised to follow up individual job responsibility of the employee and make them responsible about lapse found in the show cause letter.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of such default.

For Bangladesh Securities and Exchange Commission,

06.08.2025

Md. Mahmudul Hasan
Assistant Director (Enforcement)
Email: mahmudulhasan@sec.gov.bd

Copy for information:
PS to Chairman, BSEC.
PO to Commissioner (All), BSEC.
PO to Executive Director (MIAD), BSEC. With reference to SMMI Department note dated March 11, 2024.
PO to Executive Director (ICTD), BSEC.
PO to Executive Director (Enf.), BSEC.
Managing Director, Dhaka Stock Exchange PLC.