



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3373/2022/315
April 09, 2023

By Courier Service

Anisul Islam Mahmud
(B.O account holder)
B.O ID: 1605860058154214
First Capital Securities Ltd.
Room # 422, DSE Annex Building
(3rd Floor), 9/E, Motijheel C/A
Dhaka-1000

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/3373/2022/1617 dated December 08, 2022 based on which the hearing was conducted on January 22, 2023.

Considering the explanation submitted at the time of hearing, the Commission has decided to dispose of the proceedings against Anisul Islam Mahmud 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

Akram Siraj 09.04.2023

Akram Siraj
Assistant Director (Enforcement)
Email: akram@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Director (MIS), BSEC
4. Managing director, DSE