

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3126/2021/1217

Dated: December 22, 2021

BRAC EPL Stock Brokerage Limited

(DSE TREC No. 011)

Room # 1002, DSE Annex Building (9th 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/3126/2021/1036 Dated: November 28, 2021 based on which the hearing was conducted on December 13, 2019.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter No. BSEC-HO/ICC-2158 dated December 13, 2021 which was submitted at the time of hearing, has decided to dispose of the matter against you (BRAC EPL Stock Brokerage 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,

Md. Sultan Salah Uddin
22.12.2021

Md. Sultan Salah Uddin

Deputy Director (Enforcement)

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Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Executive Director (MIS)
4. P.O. to Director (Enforcement), BSEC.
5. Managing Director, Dhaka Stock Exchange Ltd.

02.01.22
DW (MIS)