

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

BSEC/Enforcement/3843/2024/ ১৩৩

Dated: February 13, 2025

DSFM Securities Ltd.

(DSE TREC No. 133)

Room # 196, DSE Tower (Level-10), Plot # 46, Road # 21, Nikunja-2
Dhaka-1229

Mr. MD. Rafiqul Bari

CEO

DSFM Securities Ltd.

Mr. Poritosh Kumar Saha

Compliance Officer and Accounts In-charge

DSFM Securities Ltd.

Subject: Warning to Ensure Compliance with All Securities-Related Laws in the Future.

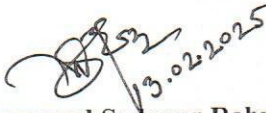
This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3843/2024/111 dated 19 January 2025, based on which the hearing was scheduled and conducted on February 03, 2025.

The Commission, considering the explanation vide letter no. Nil dated January 23, 2025, which was submitted at the time of the hearing, has decided to **warn** you to be careful in the future and also suggested that you be cautious about maintaining due diligence related to securities-related laws. Any divergence of securities-related laws and failing of lawful responsibilities will be taken seriously whereas you will be brought under appropriate enforcement action.

You are hereby advised to follow up individual job responsibilities of the employee and make them responsible for the lapse found in the above-mentioned 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 the default.

For the Bangladesh Securities and Exchange Commission,


Muhammad Sadequr Rahman Bhuiyan
Assistant Director (Enforcement)

Copy for information:

Chairman's Office, BSEC

Executive Director (MIAD), BSEC

Executive Director (ICTD), BSEC

Managing Director, Dhaka Stock Exchange Ltd.