

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3130/2021/ 769
Date: May 23, 2022

By Special Messenger

Dragon Securities Limited
(DSE TREC Holder No. 119)
Bilquis Tower (8th Floor), Plot-6(New)
Gulshan-2, Dhaka-1212, Bangladesh

o/c

Attention: Managing Director/CEO

Subject: Non-compliance of securities related laws: Dispose of the alleged matter.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3130/2021/811 dated: October 07, 2021, based on which the hearing was conducted on October 25, 2021.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated October 25, 2021 which was submitted at the time of hearing, has decided to dispose of the proceedings against you.

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,

MHS
23.05.2022

Md. Mahmudul Hasan
Assistant Director-v (Enf)
Mobile: 01515292195
E-mail- mahmudulhasan@sec.gov.bd

Copy for information:

1. Chief Executive Officer, Dhaka Stock Exchange Ltd.
2. Executive Director (SRI), BSEC
3. Chairman's Office, BSEC.