



Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3117/2021/955

By Special Messenger

Dated: November 10, 2021

Ettihad Securities Limited
(DSE TREC holder no. 110)
Room Number-1003, Modhumita Building (9th floor)
158-160, Motijheel C/A
Dhaka-1000

17 NOV 2021
D/MIS
DD-I (MIS)

Attention: Managing Director/CEO

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/3117/2021/731 dated September 26, 2021 based on which the hearing was conducted on October 04, 2021.

The Commission, considering your explanation vide letter dated 04.10.2021 has decided to dispose of the proceedings against Ettihad Securities 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 such default.

For Bangladesh Securities and Exchange Commission,


0.11.2021

Md. Mahmudul Hasan
Assistant Director (Enforcement)
Mobile:01515292195
Email: mahmudulhasan@sec.gov.bd

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.