

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3208/2021/73
January 12, 2022

By Courier Service

Farida Raquib Securities Ltd.
Room # 307
Stock Exchange Building
9/F, Motijheel C/A
Dhaka-1000
Attention: Managing Director/CEO

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16.01.22
DD-1 (MIS)

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/3208/2021/1151 dated December 15, 2021 based on which the hearing was conducted on December 22, 2021.

Considering the explanation vide letter dated December 22, 2021 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against Farida Raquib Securities Ltd. 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 12.01.2022
Assistant Director (Enforcement)
E-mail: akram@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O to Executive Director (SRI), BSEC
3. P.O. to Director (MIS), BSEC
4. Managing Director, DSE