

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2843/2019/934
November 1, 2021

By Courier Service

Federal Securities and Investment Limited
DSE TREC Holder No.045
Navana Tower (9th Floor), Block -D
45, Gulshan Avenue, Gulshan-1
Dhaka-1212

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/2843/2019/862 dated October 12, 2021 based on which the hearing was conducted on October 28, 2021.

Considering the explanation vide letter No.FSIL/pro:ka/admin-61 dated October 24, 2021 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against the Federal Securities And Investment 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. Yusuf Bhuiyan
Additional Director (Enforcement)
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Copy for information:

1. P.S. to Chairman, BSEC
2. P.O to Commissioner (Enforcement), BSEC
3. P.O to Executive Director (MIS), BSEC
4. P.O to Executive Director (Enforcement), BSEC
5. P.O.to Executive Director (SRI), BSEC