



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/3375/2022/252

By Special Messenger

March 05, 2023

Federal Securities and Investment Limited
DSE TREC No.: 045
Navana Tower (18th Floor), Flat # 18C
Plot # 45, Gulshan South 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/3375/2022/1541 dated November 29, 2022 based on which the hearing was conducted on December 05, 2022.

The Commission, considering your explanation vide letter dated December 05, 2022 and the up-dated report of DSE dated February 20, 2023 has decided to dispose of the proceedings against 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.

You are also requested to submit an up-dated status on full compliance of all securities related laws within 1 (one) month of receipt of this letter.

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

Mahmuda Shireen

05.03.23

Mahmuda Shireen
Joint Director (Enforcement)
E-mail: shireen@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O.to Executive Director (SRI), BSEC
3. P.O to Executive Director (MIS), BSEC
4. Managing Director, Dhaka Stock Exchange Limited