

Bangladesh Securities and Exchange Commission  
Enforcement Division  
Enforcement Department  
Issuer Companies Affairs Section  
[www.sec.gov.bd](http://www.sec.gov.bd)

BSEC/Enforcement/2758/2019/49  
Dated: 24 January, 2024

By Special Messenger

- 01. First Capital Securities Ltd.**  
(DSE TREC No. 070)  
Room # 422, DSE Annex Building (3rd Floor),  
9/E, Motijheel C/A, Dhaka-1000
- 02. Mr. Md. Arifur Rahman**  
Compliance Officer  
First Capital Securities Limited.
- 03. Mr. Syed Md. Iftakher Emon**  
Accounts In-Charge  
First Capital Securities Limited

Attention: **Managing Director/CEO**

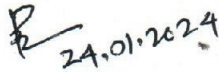
**Subject: Warning to ensure compliance of all securities related law in future.**

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/2758/2019/1101, Date: 14 December, 2023 based on which the hearing was conducted on 15 January, 2024.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter dated January 11, 2024 which was submitted at the time of hearing, has decided to dispose of the matter against you 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,

  
24.01.2024

Rabiul Islam  
Assistant Director (Enforcement)  
Mobile: 01731-421312  
Email: rabiul@sec.gov.bd

**Copy for information:**

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Executive Director (MIS)
4. P.O. to Director (Enforcement), BSEC.
5. Managing Director, Dhaka Stock Exchange Ltd.