

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section

www.sec.gov.bd

BSEC/Enforcement/3799/2024/281

By Special Messenger/Courier

Dated: February 06, 2025

First Capital Securities Ltd.
(DSE TREC No#070)
Room # 422, DSE Annex Building (3rd Floor),
9/E, Motijheel C/A, Dhaka-1000.

Mr. Kausar Al Mamun
CEO
First Capital Securities Ltd.
(DSE TREC No#070)
Room # 422, DSE Annex Building (3rd Floor),
9/E, Motijheel C/A, Dhaka-1000.

Mr. Md. Arifur Rahman
Compliance Officer
First Capital Securities Ltd.
(DSE TREC No#070)
Room # 422, DSE Annex Building (3rd Floor),
9/E, Motijheel C/A, Dhaka-1000.

Mr. Syed Md. Iftakher Emon
Accounts Officer
First Capital Securities Ltd.
(DSE TREC No#070)
Room # 422, DSE Annex Building (3rd Floor),
9/E, Motijheel C/A, Dhaka-1000.

Attention: Managing Director/CEO/Alleged Person

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/3799/2024/1154 dated December 29, 2024 and subsequent reschedule notice No. BSEC/Enforcement/3799/2024/121 dated January 19, 2025 based on which the hearing was scheduled on January 06, 2025 and the hearing was conducted on January 27, 2025.

The Commission, considering your degree of non-compliances vide letter dated January 27, 2025, 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.

You are hereby advised to follow up individual job responsibility of the employee and make them responsible about lapse found in the show cause 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.

By order of the Bangladesh Securities and Exchange Commission,



06.02.2025
Md. Mahmudul Hasan
Assistant Director (Enforcement)
Email: mahmudulhasan@sec.gov.bd

Copy for information:

PS to Chairman, BSEC.

PO to Commissioner (All), BSEC.

PO to Executive Director (MIAD), BSEC. With reference to SMMI IDM no# BSEC/SRI/CCA/DSE/2021/537 dated April 30, 2023.

✓ PO to Executive Director (ICTD), BSEC.