

## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3137/2021/827

Dated: June 01, 2022

First Capital Securities Ltd. (CSE TREC # 011)  
Somobay Bhaban, 9th Floor, 9/D  
Mothijheel Commercial Area Dhaka-1000.

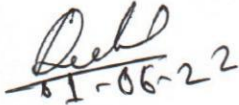
**Subject: Warning to ensure compliance of all securities related laws in future.**

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3137/2021/654 dated April 25, 2022 based on which the hearing was conducted on May 26, 2022.

The Commission, considering your explanation letter dated 26.05.2022 has decided to dispose of the proceedings against First Capital 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 such default.

For Bangladesh Securities and Exchange Commission,

  
01-06-22

Rubel Hossain  
Assistant Director (Enforcement)  
E-mail: rubel@sec.gov.bd  
Mobile : 01922-151361.

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (MSID), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Chittagong Stock Exchange Ltd.