



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2758/2019/ 758

By Special Messenger

Dated: October 08, 2023

Mr. Md. Arifur Rahman
Compliance In-Charge
First Capital Securities Ltd.
(DSE TREC NO. 70)
Room No. 422, DSE Annex Building (3rd Floor)
9/E, Motijheel C/A, Dhaka-1000.

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/2758/2019/635 dated August 31, 2023 based on which the hearing was conducted on September 17, 2023.

The Commission, considering your explanation vide letter dated 17.09.2023 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


08.10.2023

Md. Mahmudul Hasan
Assistant Director (Enforcement)
Mobile: 01515292195
Email: mahmudulhasan@sec.gov.bd

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (MIAD), BSEC- With reference to memo No. BSEC/SMMI/ DSE-70/372 Dated August 23, 2023.
3. PO to Executive Director (ICTD), BSEC.
4. Managing Director, Dhaka Stock Exchange Limited- With reference No: DSE/MCD/BSEC/2023/019/4360 dated July 30, 2023.