

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2758/2019/ ২৫
Dated: January 12, 2022

By Special Messenger

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

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DD-1 (MIS)

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/2758/2019/1120 dated December 09, 2021 based on which the hearing was conducted on December 29, 2021.

The Commission, considering your explanation vide letter dated 21.12.2021 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

MHC

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Md. Mahmudul Hasan
Assistant Director-v (Enforcement)
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Copy for information:

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