



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন
সিকিউরিটিজ কমিশন ভবন
ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭
www.sec.gov.bd



BSEC/Enforcement/2886/2020/২০৫

Dated: October 01, 2020

By Special Messenger

First Capital Securities Ltd.
(DSE TREC No. 70 and CSE TREC No. 11)
Somobay Bhaban, 9th Floor, 9/D,
Mothijheel Commercial Area
Dhaka-1000.

Attention: Managing Director/CEO

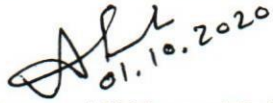
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notices No. BSEC/Enforcement/2886/2020/116 and BSEC/Enforcement/2886/2020/117 dated February 16, 2020 based on which the hearing was conducted on 17.08.2020.

The Commission, considering your explanation vide letters dated 17.08.2020 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,


01.10.2020

Mohammad Al Masum Mirdha
Deputy Director (Enforcement)
Phone : 55007147
Email: almasum@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC

“মুজিববর্ষের অঙ্গীকার
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”