

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3066/2021/ 736
September 27, 2021

Firstlead Securities Limited
(CSE TREC Holdership: 122)
Al-Hamra Shopping City (4th Floor)
Zindabazar, Sylhet-3100.

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 BSEC/Enforcement/3066/2021/612 dated September 07, 2021 based on which the hearing conducted on September 20, 2021.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated September 11, 2021 which was submitted at the time of hearing, has decided to dispose of the matter against you (Firstlead Securities Limited) 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 the default.

For Bangladesh Securities and Exchange Commission,

Md. Sultan Salah Uddin
Deputy Director (Enforcement)
PABX: 88-02-55007131-2, Ext- 1306
E-mail: ssuddin@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Director (Enforcement), BSEC.