



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3442/2023/493

By Special Messenger

June 26, 2023

Galaxy Capital Limited (TREC no. CSE 085)
Eastern Arjoo Complex (7th Floor)
61 Bijoy Nagar, 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/3442/2023/393 dated May 14, 2023 based on which the hearing was conducted on June 11, 2023.

The Commission, considering your explanation vide letter Ref: GCL/HO/1974 dated June 11, 2023 has decided to dispose of the proceedings against Galaxy Capital 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 such default.

For Bangladesh Securities and Exchange Commission

Mahmuda Shireen

26.06.23

Mahmuda Shireen

Joint Director (Enforcement)

E-mail: shireen@sec.gov.bd

Copy for information:

1. Chairman Office, BSEC
2. P.O. to Executive Director (MIAD), BSEC
3. P.O. to Executive Director (ICTD), BSEC
4. Managing Director, Chittagong Stock Exchange Limited