

**Bangladesh Securities and Exchange Commission**  
**Enforcement Division**  
**Enforcement Department**  
**Market, Market Intermediaries and Other Affairs Section**

[www.sec.gov.bd](http://www.sec.gov.bd)

BSEC/Enforcement/3603/2024/597  
Dated: July 11, 2024

By Special Messenger

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| 01. Global Securities Ltd.<br>(DSE TREC Holder No# 060)<br>Room # 801 & 803 (7th Floor),<br>Samabaya Bank Bhaban, 9/D,<br>Motijheel C/A, Dhaka-1000.   | 04. Mr. Md. Faizul Bashar<br>Farmgate Brach In-Charge<br>Global Securities Ltd.<br>(DSE TREC Holder No# 060)<br>Room # 801 & 803 (7th Floor),<br>Samabaya Bank Bhaban, 9/D,<br>Motijheel C/A, Dhaka-1000.        |
| 02. Mr. Richard D'Rozario<br>Managing Director<br>Global Securities Ltd.<br>(DSE TREC Holder No# 060)<br>Room # 801 & 803 (7th Floor),<br>Samabaya Bank Bhaban, 9/D,<br>Motijheel C/A, Dhaka-1000. | 05. Mr. Mohammad Shahidul Islam<br>Branch Compliance Officer<br>Global Securities Ltd.<br>(DSE TREC Holder No# 060)<br>Room # 801 & 803 (7th Floor),<br>Samabaya Bank Bhaban, 9/D,<br>Motijheel C/A, Dhaka-1000. |
| 03. Mr. Farid Ahmed<br>Compliance Authority<br>Global Securities Ltd.<br>(DSE TREC Holder No# 060)<br>Room # 801 & 803 (7th Floor),  |  |

**Attention: Managing Director/CEO/Alleged Person**

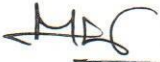
**Subject:** Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3603/2024/513 dated June 09, 2024 based on which the hearing was conducted on June 24, 2024.

The Commission, considering your adjustment of irregularities vide your letter dated 24.06.2024 has decided to dispose of the proceedings against you 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,



11.07.2024

**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 (SMMID), BSEC. With reference to the note dated: January 25, 2024.
3. PO to Executive Director (ICTD), BSEC.
4. Managing Director, Dhaka Stock Exchange PLC. With reference no. DSE/MCD/BSEC/2024/019/155 Dated: January 09, 2024.

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