

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Issuer Companies Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3857/2024/231
Dated: 03 February, 2025

By Special Messenger

- 01. Globe Investment and Fintech Company Limited**
(DSE TREC No. 189)
Room # 302 & 314, Stock Exchange Building (2nd Floor)
9/F, Motijheel C/A, Dhaka-1000
- 02. Mr. Azizur Rahman**
Managing Director and Compliance Authority
Globe Investment and Fintech Company Limited
- 03. Md. Mosharraf Hossain**
Compliance Officer
Globe Investment and Fintech Company Limited
- 04. Mr. Sohel Pervez**
Mymensing Branch In-Charge
Globe Investment and Fintech Company Limited

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

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/3857/2024/62, Date: January 09, 2025 based on which the hearing was conducted on January 20, 2025.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter ref: GIFC/BSEC/Enforcement/2025/103 dated January 20, 2025 which was submitted at the time of hearing, has decided to dispose of the matter 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 the default.

For Bangladesh Securities and Exchange Commission,


Rabiul Islam
Assistant Director (Enforcement)
Mobile: 01731-421312
Email: rabiul@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. PO to Commissioner (Enforcement), BSEC
- ✓ 3. PO to Executive Director (MIS)
4. PO to Executive Director (MIAD) with reference to DSE letter No: DSE/MCD/BSEC/2024/019/2446, dated 23 April, 2024
5. PO to Director (Enforcement), BSEC
6. Managing Director, Dhaka Stock Exchange PLC.