



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3460/2023/675

Dated: September 12, 2023

Globe Securities Limited

(DSE TREC holder # 189)

Room # 302 & 314, Stock Exchange Building (2nd Floor)

9/F, Motijheel C/A, Dhaka-1000.

Kind 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/3460/2023/623 Dated: August 27, 2023 based on which the hearing was conducted on September 10, 2023.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter reference: জিএসএল/বিসইসি/২০২৩/৫৭৫৯ dated September 10, 2023 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,


12.09.2023

Md. Sultan Salah Uddin

Deputy Director (Enforcement)

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E-mail: ssuddin@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC.
2. P.O. to Commissioner (Enforcement), BSEC.
3. P.O to Executive Director (MSI), BSEC. (Ref: BSEC/Surveillance/2020-943)
- ✓ 4. P.O to Executive Director (MIS), BSEC.
5. P.O. to Director (Enforcement), BSEC.
6. Managing Director, Dhaka Stock Exchange Ltd. (Ref: DSE/2022/IED/6454 dated: October 20, 2022)