

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2861/2019/1346
Dated: 19 October, 2022

By Special Messenger

Globe Securities Limited
(DSE TREC No. 189)
Room # 302 & 314, Stock Exchange Building (2nd Floor)
9/F, Motijheel C/A, Dhaka-1000.

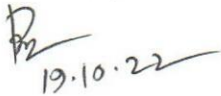
Subject: Warning to ensure compliance of all securities related law in future.

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/2861/2019/998, Date: 21 July, 2022 based on which the hearing was conducted on 07 August, 2022.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter Ref: GSL/BSEC/2022/5240 dated 04 August, 2022 which was submitted at the time of hearing, has decided to dispose of the matter against you (Globe 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,


19.10.22

Rabiul Islam
Assistant Director (Enforcement)
Mobile: 01731-421312
Email: rabiul@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 (MIS)
4. P.O. to Director (Enforcement), BSEC.
5. Managing Director, Dhaka Stock Exchange Ltd.