

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2861/2019/923
Dated: June 22, 2022

Globe Securities Limited
(TREC Holder #189)
Room # 302 & 314, Stock Exchange Building (2nd Floor)
9/E, Motijheel C/A
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/2861/2019/1253 Dated December 26, 2021 based on which the hearing was conducted on May 29, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated May 29, 2022 which was submitted at the time of hearing, has decided to dispose of the matter against 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,


22.06.2022

Mohammed Abu Hena Mostafa
Assistant Director (Enforcement)
Phone: 01816-243634
Email: mostafaanik@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Director (Enforcement), BSEC.
4. P.O. to Executive Director (MIS)
5. M.D, DSE