

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2861/2019/ 786

Dated: May 25, 2022

By Special Messenger

Globe Securities Limited
(DSE TREC No. 189)
Baitul View Tower (10th Floor)
Unit-C, 56/1, Purana Paltan,
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/2861/2019/963 dated November 11, 2021 based on which the hearing was conducted on November 22, 2021

The Commission, considering your explanation vide letter dated 21.11.2021 has decided to dispose of the proceedings 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 such default.

For Bangladesh Securities and Exchange Commission,


25.05.2022

Md. Mahmudul Hasan
Assistant Director-v (Enforcement)
Mobile: 01515292195
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Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.