

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3335/2022/809
Dated: October 16, 2024

By Special Messenger

Habibur Rahman Securities Ltd.
(DSE TREC Holder No# 187)
2-3, Wapda Building, Motijheel C/A, Dhaka-1000.

Attention: Managing Director/CEO/Alleged Person

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

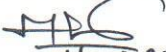
This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3335/2022/743 dated September 19, 2024 based on which the hearing was conducted on September 30, 2024.

Whereas you have submitted your replies letter dated September 29, 2024 where you mentioned your compliance status. The Commission, considering your degree of non-compliances and subsequent submission of required documents as a proof of compliances, has decided to warn you to be careful in future and also suggested to be cautious about maintaining due diligence related to securities related laws. Any divergence of securities related laws and failing of lawful responsibilities will be taken seriously whereas you will be brought under appropriate enforcement action.

You are hereby advised to follow up individual job responsibility of the employee and make them responsible about lapse found in the show cause letter.

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,


16.10.2024

Md. Mahmudul Hasan
Assistant Director (Enforcement)
Phone: 01515292195
Email: mahmudulhasan@sec.gov.bd

Copy for information:

PS to Chairman, BSEC.

PO to Commissioner (All)

PO to Executive Director (MIAD), BSEC. With reference to Surveillance note dated November 28, 2016.

PO to Executive Director (ICTD), BSEC.

Managing Director, Dhaka Stock Exchange PLC. With file reference no# DSE/2016/IED/6388 dated September 22, 2016.