



BANGLADESH SECURITIES AND EXCHANGE COMMISSION  
Securities Commission Bhaban  
E-6/C Agargaon, Sher-e-Bangla Nagar  
Administrative Area, Dhaka 1207, Bangladesh



BSEC/Enforcement/2605/2018/২০  
Dated: January 28, 2021

By Special Messenger

IIDFC Securities Limited  
(DSE TREC Holder No. 238)  
Eunoos Trade Center (Level-7)  
52-53, Dilkusha C/A,  
Motijheel,  
Dhaka - 1000.

**Attention:** Managing Director/CEO

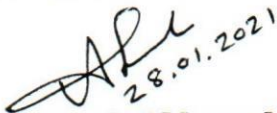
**Subject: Warning to ensure compliance of all securities related laws in future.**

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement /2605/2018/990 dated November 30, 2020 based on which the hearing was conducted on 21.12.2020.

The Commission, considering your explanation vide letter ref. No. IIDFCSL/2020/1272 dated 21.12.2020 has decided to dispose of the proceedings against IIDFC 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,

  
28.01.2021  
**Mohammad Al Masum Mirdha**  
Deputy Director (Enforcement)  
Phone : 55007147  
Email: almasum@sec.gov.bd

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.

“মুজিববর্ষের অঙ্গীকার উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”