

Bangladesh Securities and Exchange Commission

“মুজিববর্ষের অঙ্গীকার
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”

BSEC/Enforcement/2548/2018/455 504
Dated: March 29, 2022

IIDFC Securities Limited
(TREC Holder # 238)
PFI Tower (3rd Floor, South Side)
56-57, Dilkusha 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/2548/2018/320 Dated February 16, 2022 based on which the hearing was conducted on March 07, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated March 07, 2022 which was submitted at the time of hearing, has decided to dispose of the matter against you (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 the default.

For Bangladesh Securities and Exchange Commission,


U.D. 3. 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