



Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2707/2019/5)

January 09, 2022

By Courier Service

K.H.B. Securities Ltd.
City Centre (Level-12)
Unit # 11-B
(South-West Side)
90/1, Motijheel C/A
Dhaka-1000

16-01-2022
DD-1 (MIS)

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/2707/2019/1095 dated December 08, 2021 based on which the hearing was conducted on December 22, 2021.

Considering the explanation vide letter KHB/BSEC/12-21/440 dated December 21, 2021 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against K.H.B. Securities Ltd. 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.

Akram Siraj

Akram Siraj 09.01.2022

Assistant Director (Enforcement)

E-mail: akram@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O to Executive Director (SRI), BSEC
3. P.O.to Director (MIS), BSEC
4. Managing Director, DSE