

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

BSEC/Enforcement/3806/2024/310
Dated: February 11, 2025

By Special Messenger

01. **Kazi Firoz Rashid Securities Ltd. (DSE TREC No. 029)**, Room # 408 & 409, Stock Exchange Building, 9/F Motijheel C/A, Dhaka-1000.
02. **Mr. Nannu Biswas, the Branch in-charge**, Kazi Firoz Rashid Securities Ltd., Room # 408 & 409, Stock Exchange Building, 9/F Motijheel C/A, Dhaka-1000.

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/3806/2024/143 dated 20 January 2025 based on which the hearing was conducted on 03 February 2025.


Subsequently, you have submitted your replies vide a letter at the time of hearing where you mentioned your compliance status.

The Commission, considering your degree of non-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 above-mentioned 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,


11-02-2025
Rubel Hossain
Assistant Director (Enforcement)

Copy for information:

1. Chairman Office, BSEC.
2. P.O. to all Commissioner (Enforcement), BSEC.
3. PO to Executive Director (MIAD), BSEC; with reference to DSE letter no. DSE/MCD/BSEC/2024/5510 dated 10th September 2024.
4. PO to Executive Director (ICTD), BSEC.
5. Managing Director, Dhaka Stock Exchange PLC.