



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/2624/2018/28

By Special Messenger

Dated: 04 January, 2024

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. Md. Shafi Hossain**
Compliance Officer
Kazi Firoz Rashid Securities Limited.
03. **Ms. Nadia Nasrin**
Accounts In-Charge
Kazi Firoz Rashid Securities Limited.

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

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/2624/2018/1102, Date: 14 December, 2023 based on which the hearing was conducted on 31 December, 2023.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter dated December 28, 2023 which was submitted at the time of hearing, has decided to dispose of the matter against you 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,

R. 04.01.2024

Rabiul Islam
Assistant Director (Enforcement)
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Email: rabiul@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O to Executive Director (MIS)
4. P.O. to Director (Enforcement), BSEC.
5. Managing Director, Dhaka Stock Exchange Ltd.