

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3167/2021/1255

By Special Messenger

December 26, 2021

Kazi Firoz Rashid Securities Limited
(DSE TREC No.29)
Room # 408 & 409, Stock Exchange Building
9/F Motijheel 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/3167/2021/995 dated November 18, 2021 and subsequent correspondence, based on which the hearing was conducted on December 06, 2021.

The Commission, considering your explanation vide letter dated December 01, 2021 has decided to dispose of the proceedings against Kazi Firoz Rashid 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

Mahmuda Shireen

26.12.21

Mahmuda Shireen
Deputy Director (Enforcement)
E-mail: shireen@sec.gov.bd

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Copy for information:

1. P.S. to Chairman, BSEC
2. P.O. to Executive Director (SRI), BSEC
3. P.O. to Executive Director (MIS), BSEC
4. Managing Director, Dhaka Stock Exchange Limited