

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

By Special Messenger

BSEC/Enforcement/3721/2024/312
Dated: February 11, 2025

01. **Mr. Kazi Firoz Rashid, Compliance Authority**, Kazi Firoz Rashid Securities Limited, Room # 408 & 409, Stock Exchange Building, 9/F Motijheel C/A, Dhaka-1000.
02. **Md. Shafi Hossain, Compliance Officer**, Kazi Firoz Rashid Securities Limited, 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/3721/2024/776 dated 08 October 2024 based on which the hearing was conducted on 28 October 2024.

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.

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.

By order of the 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/2024/4633, dated 01st August 2024.
- ✓ 4. PO to Executive Director (ICTD), BSEC.
5. Managing Director, Dhaka Stock Exchange PLC.