



BANGLADESH SECURITIES AND EXCHANGE COMMISSION
Securities Commission Bhaban
E-6/C Agargaon, Sher-e-Bangla Nagar
Administrative Area, Dhaka 1207, Bangladesh



BSEC/Enforcement/2878/2020/259
April 04, 2021

Nizam's Shares & Securities Limited
(CSE TREC 029)
Ample Tower (6th Floor),
2315 Sk. Mujib Road, Agrabad C/A, Chattogram

Attention: Managing Director/CEO

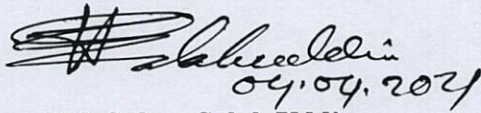
Subject: Warning to ensure compliance of all securities related law in future.

This refers to the show cause cum hearing notice No. BSEC/Enforcement/2878/2020/722 Dated October 05, 2020 of the Commission based on which the hearing was conducted on October 18, 2020.

The Commission, considering the explanation vide letter dated October 15, 2020 submitted at the time of hearing and subsequent settlement of shares, has decided to dispose of the proceedings 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,


04.04.2021

Md. Sultan Salah Uddin
Assistant Director (Enforcement)
PABX: 88-02-55007131-2, Ext- 1318
E-mail: ssuddin@sec.gov.bd

Copy for information:

1. Chairman's office, BSEC
2. P.O to Commissioner (Enforcement), BSEC
3. P.O to Executive Director (MIS), BSEC
4. P.O to Executive Director (Surveillance), BSEC
5. P.O to Director (Enforcement), BSEC.

“মুজিববর্ষের অঙ্গীকার উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”