

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3121/2021/907
October 26, 2021

By Courier Service

Nizam's Shares & Securities Limited
(CSE TREC No. 29)
House Building Finance Corporation Building
(1st Floor), 1/D Agrabad C/A
Chittagong, Bangladesh.

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/3121/2021/789 Dated- 05th October 2021 based on which the hearing was conducted on October 11, 2021.

Considering the explanation vide letter dated October 11, 2021 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against the Nizam's Shares & 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 the default.

For Bangladesh Securities and Exchange Commission

Amirul Islam 26.10.2021
Md. Amirul Islam
Assistant Director (Enforcement)
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Copy for information:

1. P.S. to Chairman, BSEC
2. P.O to Commissioner (Enforcement), BSEC
3. P.O to Executive Director (Enforcement), BSEC
4. P.O. to Executive Director (SRI), BSEC