

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

(The same memorial and date will be replaced)

BSEC/Enforcement/3479/2023/105

Dated: January 31, 2024

1. **SBC Securities & Investment Limited**
(DSE TREC # 071)
Sadharan Bima Bhaban, Head Office
33 Dilkusha C/A, Dhaka-1000
2. **Managing Director/CEO**
SBC Securities & Investment Limited
Sadharan Bima Bhaban, Head Office
33 Dilkusha C/A, Dhaka-1000
3. **Mr. Khair Muhammad Jalal, Compliance Officer & Accounts in-Charge**
SBC Securities & Investment Limited
Sadharan Bima Bhaban, Head Office
33 Dilkusha 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/3479/2023/843 Dated: November 02, 2023 based on which the hearing was conducted on November 19, 2023.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter No. 53.07.0000.110.32.054.23/401 dated November 16, 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,



Md. Sultan Salah Uddin

Deputy Director (Enforcement)

IP PABX: 88-02-09609-100600, Ext- 1220

E-mail: ssuddin@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 (SMMID) [Ref: BSEC/SMMID/CCA/DSE/2023/666 dated September 27, 2023]
4. P.O to Executive Director (MIS), BSEC
5. P.O to Executive Director (Enforcement), BSEC
6. P.O to Director (Enforcement), BSEC.