

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3074/2021/ ৩ 1
Dated: January 13, 2022

By Special Messenger

SCL Securities Limited
DSE TREC No.121
Modhumita Building (1st Floor)
160, 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/3074/2021/1203 dated December 20, 2021 based on which the hearing was conducted on December 29, 2021.

The Commission, considering your explanation vide letter dated 29.12.2021 has decided to dispose of the proceedings against SCL 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

13.01.22

Md. Mahmudul Hasan
Assistant Director-v (Enforcement)
Mobile: 01515292195
Email: mahmudulhasan@sec.gov.bd

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
- ~~3. PO to Executive Director (MIS), BSEC.~~
4. Managing Director, Dhaka Stock Exchange Ltd.