

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Issuer Companies Affairs Section
www.sec.gov.bd

BSEC/Enforcement/2617/2018/214
Dated: 06 March, 2024

By Special Messenger

- 01. S & H Equities Limited (DSE TREC No. 002)**
Room # 56, Alam Arcade (Amena Welfare Trust, 2nd Floor)
43, North Gulshan C/A, Gulshan-2, Dhaka-1212.
- 02. Ms. Hosne Ara Begum**
Managing Director, CEO and Compliance Authority
S & H Equities Securities Limited.
- 03. Mr. A.S. Shawkatul Alam**
Gulshan Branch In-Charge
S & H Equities Limited
- 04. Mrs. Sarah Alam**
Compliance Officer of Gulshan Branch
S & H Equities Limited
- 05. Mr. Md. Nurul Islam**
Compliance Officer of Gulshan Branch
S & H Equities Limited
- 06. Mr. Md. Jashim Uddin Khan**
Traders (Authorized Representatives) of Gulshan Branch
- 07. Mr. Al Amin**
Traders (Authorized Representatives) of Gulshan Branch

Attention: **Managing Director/CEO**

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

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/2617/2018/124, Date: 01 February, 2024 based on which the hearing was conducted on 29 February, 2024.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter Ref. No. S&H EQU/2024/008 dated February 29, 2024 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.

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Issuer Companies Affairs Section
www.sec.gov.bd

For Bangladesh Securities and Exchange Commission,

R 06/03/24

Rabiul Islam
Assistant Director (Enforcement)
Mobile: 01731-421312
Email: rabiul@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 (MIS)
4. P.O. to Director (Enforcement), BSEC.
5. Managing Director, Dhaka Stock Exchange Ltd.