

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2031/2014/ 533

By Special Messenger

Dated: April 03, 2022

Saad Securities Ltd.
TREC Holder Number (DSE 118)
Karim Chamber (1st Floor),
99, Motijheel C/A, Dhaka-1000.

Attention: Managing Director/CEO

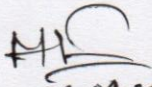
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2031/2014/206 dated February 02, 2022 based on which the hearing was conducted on February 14, 2021.

The Commission, considering your explanation vide letter dated 14.02.2022 has decided to dispose of the proceedings against Saad Securities Ltd. 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


03.04.2022

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.