

বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

BSEC/Enforcement/3287/2022/ 1462

Dated: November 14, 2022

By Special Messenger

Saad Securities Limited
(DSE TREC No. 118)
Karim Chamber (1st Floor), 99,
Motijheel C/A, Dhaka-1000
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/3287/2022/1205 dated September 15, 2022 based on which the hearing was schedule on October 02, 2022.

Considering the explanation vide letter dated October 02, 2022 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against the **Saad 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


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 (MIS), BSEC
4. P.O.to Executive Director (SRI), BSEC
5. MD, DSE