



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

JIBON BIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH

E-6/C, Agargaon, Shere Bangla Nagar, Dhaka-1207

SEC/Enforcement/2167/2014/74

Date: March 19 , 2017

Shahiq Securities Limited
Suit no.603 &605, DSE Building (5th floor)
9/F, Motijheel C/A
Dhaka-1000

Subject: Warning: Non-compliance with securities law in connection with share sale declaration

Dear Sir,

This refers to BSEC's show cause-cum-hearing notice no. SEC/Enforcement/2167/2014/314 dated July 26 , 2016 and the accused's explanation letter no. NIL dated August 03, 2016 submitted to the Commission.

The Commission considering the accused's explanation, has decided to dispose off the proceedings against it by placing on record the Commission's dissatisfaction on the defaults/contraventions made by it with a warning to ensure compliance of all securities related laws in future.

This disposal does not absolve Shahiq Securities Limited as provided from his lawful responsibilities/obligations to any person, if affected as a result of the aforesaid default.

For Bangladesh Securities and Exchange Commission

Mustari Jahan
Deputy Director (Enforcement)

Distribution:
Managing Director, Dhaka Stock Exchange Limited
Managing Director, Chittagong Stock Exchange Limited

Copy for information:
P.O to Commissioner (Enforcement), BSEC
P.O to Executive Director (SRMIC), BSEC
✓ P.O to Executive Director (MIS), BSEC
Chairman's office, BSEC



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

~~H/ON BIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH~~

R/F

E-6/C, Agargaon, Shere Bangla Nagar, Dhaka-1207

SEC/Enforcement/2167/2014/73

Date: March 19 , 2017

Mr.Saidur Rahman Khan
Client code no.18628 (BO-1203490040281271), Shahiq Securities Limited
Suit no.603 &605, DSE Building (5th floor)
9/F, Motijheel C/A
Dhaka-1000

Subject: Warning: Non-compliance with securities law in connection with share sale declaration

Dear Sir,

This refers to BSEC's show cause-cum-hearing notice no. **SEC/Enforcement/2167/2014/313** dated **July 26, 2016** and the accused's explanation letter no. AR/SEC/Aug/2016 dated August 04, 2016 submitted to the Commission.

The Commission considering the accused's explanation, has decided to dispose off the proceedings against him by placing on record the Commission's dissatisfaction on the defaults/contraventions made by it with a warning to ensure compliance of all securities related laws in future.

This disposal does not absolve Mr.Saidur Rahman Khan as provided from his lawful responsibilities/obligations to any person, if affected as a result of the aforesaid default.

For Bangladesh Securities and Exchange Commission

Mustari Jahan
Deputy Director (Enforcement)

Distribution:

Managing Director, Dhaka Stock Exchange Limited
Managing Director, Chittagong Stock Exchange Limited

Copy for information:

P.O to Commissioner (Enforcement), BSEC
P.O to Executive Director (SRMIC), BSEC
✓ P.O to Executive Director (MIS), BSEC
Chairman's office, BSEC