



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন
সিকিউরিটিজ কমিশন ভবন
ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭
www.sec.gov.bd



BSEC/Enforcement/2848/2019-880
Date: 18 November, 2020

Dragon Securities Limited
Bilquis Tower (8th Floor, North Side & 3rd Floor),
Plot # 6 (New), 2nd Circle,
Gulshan, Dhaka-1212.

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/2848/2019-57 dated January 26, 2020** based on which the hearing has been conducted on February 05, 2020.

The Commission, considering your apology and written explanation- which was submitted at the time of hearing, has decided to dispose off the proceedings 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 and any other who involved from their lawful responsibilities/obligations to any person, if affected, as a result of such default.

For Bangladesh Securities and Exchange Commission,


18.11.2020

Md. Rafiqunnabi
Assistant Director
e-mail- rafiq@sec.gov.bd

Copy for information:

1. Honorable Chairman's Office, BSEC
2. Commissioner (Enforcement), BSEC
3. Executive Director (MIS), BSEC
4. Office file