



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhavan, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/2340/2016-560
Date: October 24, 2019

a/c

By Courier Service

EC Securities Ltd,
Kazi Tower (5th Floor)
86, Inner Circular Road
Naya Paltan, Dhaka-1000.

Attention: Managing Director/CEO.

Sub: 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/2340/2016-418 dated October 23, 2018 based on which the hearing was conducted on November 15, 2018.

The Commission, considering the accused apology and written explanation vide letter no- --- dated November 15, 2018 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 the accused with a **Warning** to ensure compliance of all securities related laws in future.

Please note that this disposal does not absolve EC Securities Ltd and any other involved from their lawful responsibilities/obligations to any person, if affected, as a result of the default.

For Bangladesh Securities and Exchange Commission,

24.10.19

Md. Rafiqunnabi
Assistant Director
E-mail- rafiq@sec.gov.bd
Cell- 01786 327 667

Copy for information:

1. Chairman's Office, BSEC
2. Commissioner (Enforcement), BSEC
3. Executive Director (SRI), BSEC
4. ☒ Executive Director (R&D), BSEC
5. Office file

27.10.2019

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27.10.19

Mr. Goutam AD