

BSEC/Enforcement/2135/2014/ 312
Dated: July 9, 2014

By Special Messenger

KHB Securities Limited
DSE Member No. 143
Room No-701, DSE Annex Building
9/E, Motijheel, C/A
Dhaka-1000

Attention: Managing Director/CEO

Sub: Non-compliance of securities laws: -Warning.

Dear Sir,

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2135/2014/282 dated June 12, 2014 based on which the hearing was conducted on June 18, 2014.

The Commission, considering the explanation vide letter No. KHB/ADMIN/2013/342 dated March 25, 2013 submitted at the time of hearing, has decided to dispose of the proceedings against KHB 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. Mustafizur Rahman
Assistant Director (Enforcement)

Copy for information:

Managing Director, Dhaka Stock Exchange Ltd.
Executive Director (SRI), BSEC
Executive Director (R&D), BSEC
Chairman's Office, BSEC