



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

সিকিউরিটিজ কমিশন ভবন, ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭, বাংলাদেশ।

OC

BSEC/Enforcement/2780/2019/615
Date: December 09, 2019

By Courier

North West Securities Limited (CSE TREC # 019)

Aktharuzzaman Center (6th Floor),
21-22 Agrabad Commercial Area,
Chittagong, Bangladesh

Attn: 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/2780/2019/447 dated September 19, 2019 based on which the hearing was conducted on October 23, 2019.

The Commission, considering the accused oral apology and written explanation vide letter Ref: NWSL/Clarification/BSEC/2019/October/01 dated October 10, 2019-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 North West Securities Limited, its Directors, Managing Director, Company Secretary 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,

[Signature]
09/12/19

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