



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2775/2019/424
Date: August 29, 2019

By Courier

Raja Securities Ltd. (CSE TREC holder no. 074)
1095/B, Asadgonj Mohammadi Building, 1st Floor,
Asadgonj, Chittagong

Attn: Managing Director/CEO

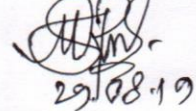
Sub: Warning to ensure compliance of all securities related law in future.

This refers to the Commission's show cause cum hearing notice no. BSEC/Enforcement/2775/2019/311-312 dated July 07, 2019 based on which the hearing was conducted on July 31, 2019.

The Commission, considering the accused apology and written explanation vide letter no-RSL/19/175 dated 31.07.2019-which were 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 Raja Securities Ltd, 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,



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