



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

JIBON BIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH

BSEC/Enforcement/2349/2016/43

Dated: January 18, 2017

Ms. Maliha Farrooz

(Daughter of Mr. Syed Md. Mahbubur Rahman)

House# 2F, Road#16, Sector#4,
Uttara, Dhaka-1230.

By Special Messenger

Attention: Managing Director/CEO, SCL Securities Limited

Subject: Non-compliance of securities laws: Warning.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2349/2016/444 dated November 17, 2016 based on which the hearing was conducted on November 28, 2016.

The Commission, considering your explanation vide letter No. dated November 28, 2016 has decided to dispose of the proceedings against you (Ms. Maliha Farrooz) 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. Yusuf Bhuiyan

Deputy Director (Enforcement)

Phone: 9573904

Copy for information:

1. Managing Director, SCL Securities Limited
2. PS to the Honorable Chairman, BSEC.
3. PO to Executive Director (SRI), BSEC.
4. PO to Executive Director (Registration), BSEC.
5. PO to Executive Director (MIS), BSEC



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

JIBON BIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH

BSEC/Enforcement/2349/2016/৭২

Dated: January 18 , 2017

Mr. Syed Md. Mahbubur Rahman

House# 2F, Road#16, Sector#4,
Uttara, Dhaka-1230.

By Special Messenger

Attention: Managing Director/CEO, SCL Securities Limited

Subject: Non-compliance of securities laws: Warning.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2349/2016/441 dated November 17, 2016 based on which the hearing was conducted on November 28, 2016.

The Commission, considering your explanation vide letter No. dated November 28, 2016 has decided to dispose of the proceedings against you (Mr. Syed Md. Mahbubur Rahman) 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. Yusuf Bhuiyan

Deputy Director (Enforcement)

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