

Bangladesh Securities and Exchange Commission

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

BSEC/Enforcement/2413/2017/346
September 11, 2018

By Special Messenger
Fax: 9568175

Client Name: Mr. Anis uddin
BOID : 1204490000055746
Bank Asia Securities Limited
(DSE Mem. No. 237)
Hadi Mansion (7th floor),
2. Dilkusha C/A,
Dhaka - 1000.

Attention: Managing Director/CEO

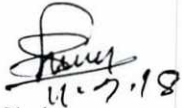
Sub: Warning to ensure compliance of all securities related law in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2413/2017/269 dated September 13, 2017 based on which the hearing was conducted on October 09, 2017.

The Commission, considering the explanation vide letter dated October 09, 2017 submitted at the time of hearing, has decided to dispose of the proceedings against Mr. Anis uddin 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. Shahnaws
Assistant Director

Mob:01816810586

Copy for information:

Chairman's office, BSEC
P.O to Commissioner (Enforcement), BSEC
P.O to Executive Director (Enforcement), BSEC
P.O to Executive Director (MIS), BSEC
P.O to Executive Director (Surveillance), BSEC
P.O to Director (Enforcement), BSEC