



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2740/2019/280

Dated: June 12, 2019

By Special Messenger

Bank Asia Securities Ltd.
(DSE TREC No. 237)
Hadi Mansion (7th Floor)
2, Dilkusha C/A,
Dhaka 1000.

Attention: Managing Director/CEO

Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2740/2019/244 dated May 05, 2019 based on which the hearing was conducted on May 22, 2019.

The Commission, considering your explanation vide letter no. BASL/HO/SHOW-CAUSE/2019/516 dated 21.05.2019 has decided to dispose of the proceedings against Bank Asia Securities Ltd. 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,


12.06.19
Mohammad Al Masum Mirdha

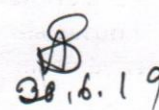
Deputy Director (Enforcement)

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Copy for information:

1. Managing Director, Dhaka Stock Exchange Ltd.
2. PS to the Honorable Chairman, BSEC.
3. PO to Executive Director (SRI), BSEC.
- ✓ 4. PO to Executive Director (MIS), BSEC


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Mr. GOURA