



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

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

BSEC/Enforcement/3303/2022/1147

By Special Messenger

Dated: August 29, 2022

Bank Asia Securities Limited
(DSE TREC holder no.237)
Hadi Mansion (2nd 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/3303/2022/947 dated June 28, 2022 based on which the hearing was conducted on July 17, 2022.

The Commission, considering your explanation vide letter Ref: BASL/HO/SHOW-CAUSE/2022/431 dated July 17, 2022 has decided to dispose of the proceedings against Bank Asia Securities Limited 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 such default.

For Bangladesh Securities and Exchange Commission

Mahmuda Shireen

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Mahmuda Shireen

Deputy Director (Enforcement)

E-mail: shireen@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O. to Executive Director (MSI), BSEC
3. P.O. to Executive Director (MIS), BSEC
4. Managing Director, Dhaka Stock Exchange Limited