



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন
সিকিউরিটিজ কমিশন ভবন
ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭
www.sec.gov.bd



BSEC/Enforcement/2740/2019 / 184
Dated: March 10, 2021

By Special Messenger

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

Attention: Managing Director/CEO

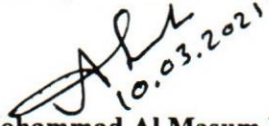
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement /2740/2019/39 dated January 14, 2021 based on which the hearing was conducted on 01.02.2021.

The Commission, considering your explanation vide letter ref. No BASL/CO/SHOW-CAUSE-2019/2021/61 dated February 01, 2021 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,


10.03.2021
Mohammad Al Masum Mirdha
Deputy Director (Enforcement)
Phone : 55007147
Email: almasum@sec.gov.bd

Copy for information:

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