

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3095/2021/ ~~589~~ 587
Dated: April 13., 2022

By Special Messenger

Mika Securities Limited
(DSE TREC Holder No. 215)
9th Floor, Simple Tree Light House
53, Kamal Ataturk Avenue, Dhaka-1213.

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/3095/2021/642 dated September 14, 2021 based on which the hearing was conducted on September 27, 2021.

The Commission, considering your explanation vide letter dated 27.09.2021 has decided to dispose of the proceedings against Mika 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,


13.04.2022

Md. Mahmudul Hasan
Assistant Director-v (Enforcement)
Mobile: 01515292195
Email: mahmudulhasan@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.