

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3175/2021/1298

By Special Messenger

December 29, 2021

Mika Securities Limited
(DSE TREC No.215)
Simpletree Lighthouse (9th Floor)
53, Kemal Ataturk Avenue, Banani, 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/3175/2021/1071 dated December 05, 2021 based on which the hearing was conducted on December 15, 2021.

The Commission, considering your explanation vide letter dated December 15, 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

Mahmuda Shireen

29.12.21

Mahmuda Shireen
Deputy Director (Enforcement)
E-mail: shireen@sec.gov.bd

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Copy for information:

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