



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

M/F

BSEC/Enforcement/3284/2022/1674

Dated: December 28, 2022

Mr. James Martin Das

(BO ID # 1203880053783131, BO ID # 1204090045082699, BO ID # 1204090000031470)
2/7/K/1-A, Tolarbag, Mirpur-1, Dhaka.

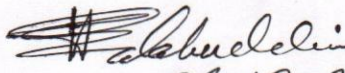
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3284/2022/1590 Dated: December 05, 2022 based on which the hearing conducted on December 21, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated December 20, 2022 which was submitted at the time of hearing, has decided to dispose of the matter against you (Mr. James Martin Das) 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,


28.12.2022

Md. Sultan Salah Uddin
Deputy Director (Enforcement)
PABX: 88-02-55007131-2, Ext- 1306
E-mail: ssuddin@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Executive Director (MIS), BSEC
4. P.O. to Director (Enforcement), BSEC.