

বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

BSEC/Enforcement/3028/2021-747

Date: September 28, 2021

By Courier service

Mr. Md. Farid Ahmed
BO ID # 1204490033765937
Client Code # 4191
Bank Asia Securities Limited
Hadi Mansion (2nd Floor) 2, Dilkusha, Dhaka-1000.

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

This refers to the Commission's show cause cum hearing notice no. BSEC/Enforcement/3028/2021-505, dated- August 16, 2021 based on which the hearing was conducted on September 07, 2021.

The Commission, considering the accused apology and written explanation vide letter no- --- dated September 07, 2021, which was submitted at the time of hearing, has decided to dispose of the proceedings against you 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 and any other involved from their lawful responsibilities/obligations to any person, if affected, as a result of the default.

For Bangladesh Securities and Exchange Commission,

(Md. Rafiqunnabi)
Deputy Director (Enforcement)
E-mail- rafiq@sec.gov.bd

Copy for information:

1. Chairman's Office, BSEC
2. Commissioner (Enforcement), BSEC
3. Executive Director (MSI), BSEC
4. Executive Director (MIS), BSEC
5. Office file