



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3354/2022/554

Dated: August 03, 2023

Mr. Shankar Kumar Roy

(BOID: 1602170025636002 and client code 2360

and 1204590025636002 and client code 002471)

105, Central Road, Dhaka- 1205.


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/3354/2022/528 Dated: July 12, 2023 based on which the hearing was conducted on July 30, 2023.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated July 30, 2023 which was submitted at the time of hearing, has decided to dispose of the matter 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 from your lawful responsibilities/ obligations to any person, if affected, as a result of the default.

For Bangladesh Securities and Exchange Commission,


03.08.2023

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)
4. P.O. to Director (Enforcement), BSEC.