



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enf/ 3310/2022/ 485

Dated: June 25, 2023

By Courier Service

Nurunnesa Saki

Client Code # 27005

Shanta Securities Limited

Glass House (Level-04 & 10, Eastern Side)

S.E (B)-2, 38, Gulshan-1

Dhaka-1212

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/Enf/3310/2022/386 dated May 10, 2022 based on which the hearing was scheduled on May 28, 2023 but you failed to appear before the hearing. As per your request, the hearing was rescheduled vide letter ref. no. BSEC/Enf/3310/2022/454 dated June 12, 2023 and conducted on June 18, 2023.

The Commission, considering the explanation vide letter No. Nil dated June 17, 2023 which was submitted at the time of hearing, has decided to dispose of the proceedings against Nurunnesa Saki 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,

Muhammad Sadequr Rahman Bhuiyan

Assistant Director (Enforcement)

Copy for information:

Chairman's Office, BSEC

Executive Director (MSI), BSEC

Executive Director (MIS), BSEC

Managing Director, Dhaka Stock Exchange Ltd.