



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

সিকিউরিটিজ কমিশন ভবন, ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭, বাংলাদেশ।

BSEC/Enforcement/3302/2022/1418

Dated: October 30, 2022

S.M. Fazlul Haque

(BO ID 1602170034343253 of Mercantile Bank Securities Limited
and BO ID 1204490034343253 of Bank Asia Securities Limited)

Room no: 314 (annex) building, Supreme court bar association, Ramna,
Dhaka. Mobile: 01712034450

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/3302/2022/895 Dated April 25, 2022 based on which the hearing was conducted on July 17, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated July 17, 2022, has decided to dispose of the matter against S.M. Fazlul Haque (BO ID 1602170034343253 of Mercantile Bank Securities Limited and BO ID 1204490034343253 of Bank Asia 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 the default.

For Bangladesh Securities and Exchange Commission,



30-10-2022

Mohammed Abu Hena Mostafa

Assistant Director (Enforcement)

Phone: 01816-243634

Email: mostafaanik@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O to Executive Director (SRI), BSEC
3. P.O to Executive Director (MIS)
4. M.D, DSE