

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3666/2024/658

Dated: August 12, 2024

01. **Sinha Securities Limited (DSE TREC No. 067)**, Rahman Mansion (3rd Floor, West Side), 161, Motijheel C/A, Dhaka-1000.
02. **Mr. Mohammad Mahabubul Alam, TREC Representative** of Sinha Securities Limited, Rahman Mansion (3rd Floor, West Side), 161, Motijheel C/A, Dhaka-1000.
03. **Mr. Reza - Ur- Rahman Sinha, Compliance Authority**, Sinha Securities Limited, Rahman Mansion (3rd Floor, West Side), 161, Motijheel C/A, Dhaka-1000.
04. **Ms. Kakali Debnath, Formar Branch In-Charge, Elephant Road Branch**, Sinha Securities Limited, Rahman Mansion (3rd Floor, West Side), 161, Motijheel C/A, Dhaka-1000.


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/3666/2024/601 dated 16 July 2024 based on which the hearing was conducted on 04 August 2024.

The Commission, considering your explanation vide letter dated 30.07.2024 has decided to dispose of the proceedings against you/your's 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 such default.

For Bangladesh Securities and Exchange Commission,


12-08-2024

Rubel Hossain
Assistant Director (Enforcement)

Copy for information:

1. Chairman Office, BSEC.
2. PO to Executive Director (MIAD), BSEC; with reference to DSE letter no. DSE/MCD/BSEC/2024/019/3350 dated 30th May 2024.
3. PO to Executive Director (ICTD), BSEC.
4. Managing Director, Dhaka Stock Exchange PLC.