

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Issuer Companies Affairs Section
www.sec.gov.bd

BSEC/Enforcement/2926/2020/232
Dated: 12 March, 2024

By Special Messenger

- 01. Thea Securities Limited**
(DSE TREC No. 130)
6, DIT Avenue (3rd Floor)
Motijheel C/A, Dhaka-1000
- 02. Mr. Touhidul Islam**
Compliance Officer
Thea Securities Limited.
- 03. Ibrahim Mia**
Accounts In-Charge
Thea Securities Limited

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/2926/2020/203, Date: 03 March, 2024 based on which the hearing was conducted on 10 March, 2024.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter dated 10 March, 2024 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,


Rabiul Islam
Assistant Director (Enforcement)
Mobile: 01731-421312
Email: rabiul@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.
5. Managing Director, Dhaka Stock Exchange Ltd.