



Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3129/2021/03
Dated: January 02, 2022

By Special Messenger

Thea Securities Limited
DSE TREC No.130
6, DIT Avenue (3rd Floor)
Motijheel C/A, Dhaka-1000.

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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/3129/2021/1202 dated December 20, 2021 based on which the hearing was conducted on December 29, 2021.

The Commission, considering your explanation vide letter dated 29.12.2021 has decided to dispose of the proceedings against Thea 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 such default.

For Bangladesh Securities and Exchange Commission,

02.01.2022

Md. Mahmudul Hasan
Assistant Director-v (Enforcement)
Mobile: 01515292195
Email: mahmudulhasan@sec.gov.bd

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
- ~~3. PO to Executive Director (MIS), BSEC.~~
4. Managing Director, Dhaka Stock Exchange Ltd.



Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2926/2020/11
Dated: January 02, 2022

Thea Securities Limited
(TREC Holder # 130)
6, DIT Avenue (3rd Floor)
Motijheel C/A
Dhaka- 1000

(2)
9.1-22
Jm (MIS)

Attention: Managing Director/CEO

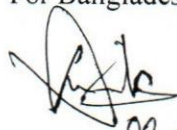
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement2926/2020/1143 Dated: December 15, 2021 based on which the hearing was conducted on December 29, 2021.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated December 29, 2021 which was submitted at the time of hearing, has decided to dispose of the matter against you (Thea 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,


02.01.2022

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 Commissioner (Enforcement), BSEC
3. P.O. to Director (Enforcement), BSEC.
4. P.O to Executive Director (MIS)
5. M.D, DSE