

বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

BSEC/Enforcement/3129/2021/ 1014

By Special Messenger

Dated: November 23, 2021

Thea Securities Limited
(DSE TREC holder no. 130)
Room-707, 9/F,
Dhaka Stock Exchange Building,
Motijheel, Dhaka-1000.

06 DEC 2021

08/12/2021
Director (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/Enforcement/3129/2021/818 dated October 7, 2021 based on which the hearing was conducted on October 25, 2021.

The Commission, considering your explanation vide letter dated 25.10.2021 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,


22.11.2021

Md. Mahmudul Hasan
Assistant Director (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.