



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhavan, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/2486/2018-227

Dated: March 02, 2020.

By Courier Service

Bali Securities Limited (DSE TREC # 153),
Suit No-637-638, Level-5,
9/E, Motijeel C/A, Dhaka-1000.

Attention: Managing Director/CEO

Sub: 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/2486/2018/61 dated February 04, 2019 based on which the hearing was scheduled on March 06, 2019.

The Commission, considering your explanation vide letter dated March 05, 2019 submitted at the time of hearing, has decided to dispose of the proceedings against Bali Securities Limited (DSE TREC # 153) 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 stated default.

For Bangladesh Securities and Exchange Commission

Hafiz
02.03.20
Hafiz Mohammed Harunur Rashid

Deputy Director (Enforcement)

Phone: 55007148

e-mail: hafiz@sec.gov.bd

Copy for information:

Commissioner (Enforcement), BSEC
Executive Director (Surveillance), BSEC
Executive Director (Law), BSEC
Executive Director (MIS), BSEC
Chairman's Office