



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন
সিকিউরিটিজ কমিশন ভবন
ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭
www.sec.gov.bd



BSEC/Enforcement/2872/2020/1073
Date: December 09, 2020

By Courier Service

Bank Asia Securities Limited
DSE TREC # 237
Hadi Mansion (2nd Floor)
2, Dilkusha C/A, Dhaka-1000

Attention: Managing Director/CEO

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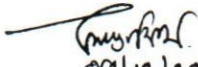
Subject: Warning to ensure compliance of all securities related law in future.

This refers to the Commission's show cause cum hearing notice number-BSEC/Enforcement/2872/2020/581 dated September 01, 2020 based on which the hearing was conducted on September 28, 2020.

The Commission, considering the explanation vide letter dated- September 28, 2020 which was submitted at the time of hearing, has decided to dispose of the proceedings against Bank Asia 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.


09/12/2020

Md. Mustafizur Rahman
Assistant Director (Enforcement)
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M/F

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