



BANGLADESH SECURITIES AND EXCHANGE COMMISSION
Securities Commission Bhaban
E-6/C Agargaon, Sher-e-Bangla Nagar
Administrative Area, Dhaka 1207, Bangladesh



BSEC/Enforcement/2878/2020/860

By Courier Service

16 November, 2020

Bank Asia Securities Ltd (DSE TREC holder no-237)
Hadi Mansion (2nd Floor), 2, Dilkusha C/A, Dhaka-1000

Attention: Managing Director/CEO

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

This refers to the show cause cum hearing notice No. BSEC/Enforcement/2878/2020/183 Dated February 23, 2020 of the Commission based on which the hearing was conducted on March 5, 2020.

The Commission, considering the explanation vide letter dated March 5, 2020 submitted at the time of hearing and subsequent settlement of shares, has decided to dispose of the proceedings 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-

Md. Shahnaws ACMA
Assistant Director

Mob:01816810586

Copy for information:

Chairman's office, BSEC

P.O to Commissioner (Enforcement), BSEC

P.O to Executive Director (MIS), BSEC

P.O to Executive Director (Surveillance), BSEC

P.O to Director (Enforcement), BSEC

“মুজিববর্ষের অঙ্গীকার উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”