



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



By Courier

BSEC/Enforcement/2311/2016-740
Date: October 08, 2020

Bank Asia Securities Ltd
Hadi Mansion (2nd Floor)
2 Dilkusha C/A, Dhaka-1000.

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/2311/2016-410 dated October 23, 2018 based on which the hearing was conducted on November 15, 2018.

The Commission, considering the written explanation of the accused vide letter Ref: BASL/CO/Show-cause/2018/1369 dated November 15, 2018-which was submitted at the time of hearing, has decided to dispose-off the proceedings against you by placing on record the Commission's dissatisfaction on the default/contravention made by the accused with a '**Warning**' to ensure compliance of all securities related laws in future.

Please note that this disposal does not absolve Bank Asia Securities Ltd, its Directors, Managing Director, Company Secretary and any other officers who were involved from their lawful responsibilities/obligations to the person(s) who affected (if any), as a result of such default.

For Bangladesh Securities and Exchange Commission,



08.10.2020

Md. Rafiqunnabi
Assistant Director
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Cell- 01786 327 667

Copy for information:

1. Chairman's Office, BSEC
2. Commissioner (Enforcement), BSEC
3. Executive Director (CI), BSEC
4. Executive Director (MIS), BSEC
5. Office file

“মুজিববর্ষের অঙ্গীকার
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”