



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

JIBON BIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH

BSEC/Enforcement/2349/2016/45

Dated: January 18, 2017

Mr. Gulam Mustafa

Flat # A4, House # 25, Road # 9/A

Dhanmondi R/A, Dhaka-1209.

By Special Messenger

Attention: Managing Director/CEO, One Securities Limited

Subject: Non-compliance of securities laws: Warning.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2349/2016/445 dated November 17, 2016 based on which the hearing was conducted on November 28, 2016.

The Commission, considering your explanation vide letter No. dated November 28, 2016 has decided to dispose of the proceedings against you (Mr. Gulam Mustafa) 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. Yusuf Bhuiyan

Deputy Director (Enforcement)

Phone: 9573904

Copy for information:

1. Managing Director, One Securities Limited
2. PS to the Honorable Chairman, BSEC.
3. PO to Executive Director (SRI), BSEC.
4. PO to Executive Director (Registration), BSEC.
5. PO to Executive Director (MIS), BSEC