



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2842/2019/605
Date: December 05, 2019

By Courier

Sinha Securities Ltd. (DSE TREC holder no. 67)
Rahman Mansion (3rd Floor, West Side) &
(5th Floor, Right Side, Room # 09),
161, Motijheel C/A, Dhaka-1000

Attn: Managing Director/CEO

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

This refers to the Commission's show cause cum hearing notice no. BSEC/Enforcement/2842/2019/464 dated September 23, 2019 based on which the hearing was conducted on October 23, 2019.

The Commission, considering the accused oral apology and written explanation vide letter Ref: -- dated October 21, 2019-which were 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 Sinha Securities Ltd., its Directors, Managing Director, Company Secretary and any other involved from their lawful responsibilities/obligations to any person, if affected, as a result of the default.

For Bangladesh Securities and Exchange Commission,


05.12.19

Md. Rafiqunnabi
Assistant Director
E-mail- rafiq@sec.gov.bd
Cell- 01786 327 667

Copy for information:

1. Chairman's Office, BSEC
2. Commissioner (Enforcement), BSEC
3. Executive Director (SRI), BSEC
4. Executive Director (R&D), BSEC
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