



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2014/2047/468

Dated: November 28, 2016

Arena Securities Limited
DSE TREC holder No.025
Modhumita Building (2nd Floor)
160, Motijheel C/A
Dhaka-1000.

By Special Messenger

Attention: Managing Director/CEO


Subject: Non-compliance of securities laws: Warning.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2014/2047/289 dated June 19, 2014 based on which the hearing was conducted on July 07, 2014.

The Commission, considering your explanation vide letter No.ASL/F-59/2014 dated July 07,2014 has decided to dispose of the proceedings against Arena 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,


Md. Yusuf Bhuiyan
Deputy Director (Enforcement)
Phone: 9573904

Copy for information:

1. Managing Director, Dhaka Stock Exchange Ltd.
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