

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

**BSEC/Enforcement/2503/2018/115**  
**Dated: 14 March, 2018**

**By Special Messenger**

Shanta Securities Limited  
DSE Member # 39  
Room # 603 ( 5th Floor)  
Stock Exchange Building  
9/F, Motijheel C/A  
Dhaka-1000.

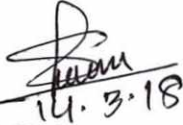
Sub: Non-compliance of securities laws.-Warning.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2503/2018/59 dated February 8, 2018 based on which the hearing was conducted on February 26, 2018.

The Commission, considering the explanation vide letter dated February 26, 2018 submitted at the time of hearing, has decided to dispose of the proceedings against Shanta 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-

  
14.3.18

Md. Shahnaws  
Assistant Director

Mob:01816810586

**Copy for information:**

Chairman's office, BSEC  
P.O to Commissioner (Enforcement), BSEC  
P.O to Executive Director (Enforcement), BSEC  
✓ P.O to Executive Director (MIS), BSEC  
P.O to Executive Director (SRI), BSEC  
P.O to Director (Enforcement), BSEC