

Bangladesh Securities and Exchange Commission  
Enforcement Division  
Enforcement Department  
Market, Market Intermediaries and Other Affairs Section  
[www.sec.gov.bd](http://www.sec.gov.bd)

**BSEC/Enforcement/3782/2024/55**  
**Dated: January 07, 2025**

By Special Messenger

01. **Harpoon Securities Limited (DSE TREC # 131)**, Room # 236, DSE Tower (Level-12), Plot # 46, Road # 21, Nikunja-2, Dhaka-1229.
02. **Mr. Muhammad Anwarul Haque, MD and Compliance Authority**, Harpoon Securities Limited, Room # 236, DSE Tower (Level-12), Plot # 46, Road # 21, Nikunja-2, Dhaka-1229.
03. **Mr. Md. Rezaul Amin, Kafrul Branch Office In-Charge** of Harpoon Securities Limited, Room # 236, DSE Tower (Level-12), Plot # 46, Road # 21, Nikunja-2, Dhaka-1229.

**Subject:** Non-Compliances related to closing/relocating the Branch Office without prior permission from the BSEC and the DSE: **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/3782/2024/1089 dated 11 December 2024 based on which the hearing was conducted on 30 December 2024.


Subsequently, you have submitted your replies vide letter ref: HSL/TREC-131/Show cause/01/2024 dated December 30, 2024, where you mentioned your compliance status.

The Commission, considering your degree of non-compliances, has decided to warn you to be careful in future and also suggested to be cautious about maintaining due diligence related to securities related laws. Any divergence of securities related laws and failing of lawful responsibilities will be taken seriously whereas you will be brought under appropriate enforcement action.

You are hereby advised to follow up individual job responsibility of the employee and make them responsible about lapse found in the above-mentioned show-cause letter.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of such default.

For Bangladesh Securities and Exchange Commission,

  
07-01-2025

Rubel Hossain  
Assistant Director (Enforcement)

Copy for information:

1. Chairman Office, BSEC.
2. P.O. to all Commissioner (Enforcement), BSEC.
3. PO to Executive Director (MIAD), BSEC; with reference to DSE letter no. DSE/MCD/BSEC/2024/5498 dated 10<sup>th</sup> September 2024.
4. PO to Executive Director (ICTD), BSEC.
5. Managing Director, Dhaka Stock Exchange PLC.