



# BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3034/2021/1681  
December 28, 2022

By Courier Service

**Harpoon Securities Limited**  
Room # 236, DSE Tower (Level-12)  
Plot # 46, Road # 21, Nikunja-2  
Dhaka-1229

Attention: Managing Director/CEO

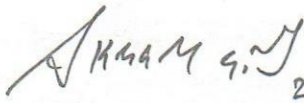
**Subject:** Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3034/2021/857 dated October 12, 2021 based on which the hearing was conducted on October 28, 2021.

Considering the explanation vide letter No. HSL/131/MONI/02/2021 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against Harpoon 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

  
28.12.2022

Akram Siraj  
Assistant Director (Enforcement)  
E-mail: [akram@sec.gov.bd](mailto:akram@sec.gov.bd)

**Copy for information:**

1. P.S. to Chairman, BSEC
2. P.O to Executive Director (Enforcement), BSEC
3. P.O.to Director (MIS), BSEC
4. Managing Director, DSE