

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2766/2019/ 12 ১৬
Dated: December 29, 2021

By Special Messenger

Harpoon Securities Limited
(DSE TREC NO. 131)
Modhumita Cinema Building (9th Floor)
158-160, Motijheel C/A
Dhaka-1000.

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/2766/2019/1114 dated December 09, 2021 based on which the hearing was conducted on December 22, 2021.

The Commission, considering your explanation vide letter dated 21.12.2021 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 such default.

For Bangladesh Securities and Exchange Commission,

29.12.2021

Md. Mahmudul Hasan
Assistant Director-v (Enforcement)
Mobile: 01515292195
Email: mahmudulhasan@sec.gov.bd

02.01.2022
Dm (MIS)

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.