



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3486/2023/ 1037
Dated: November 26, 2023

By Courier Service

Rose Securities Limited (TREC# 125)

Room # 702, Shahnewaz Bhaban (6th Floor), 9/C, Motijheel C/A
Dhaka-1000

Mr. Shah Md. Faruque
CEO & Compliance Officer
Rose Securities Limited (TREC# 125)

Md. Lokman Hossain Khan
Accounts in charge
Rose Securities Limited (TREC# 125)

Subject: Warning to ensure compliance with all securities-related laws in the future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3486/2023/817 dated October 29, 2023, based on which the hearing was conducted on November 12, 2023.

The Commission, considering the explanation vide letter no. Nil dated 12.11.2023, which was submitted at the time of the hearing has decided to dispose of the proceedings against Rose Securities Ltd. and the responsible persons by placing on record the Commission's dissatisfaction with the default/contravention made by you with a warning to ensure compliance with 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

Muhammad Sadequr Rahman Bhuiyan
Assistant Director (Enforcement)

Copy for information:

Chairman's Office, BSEC
Managing Director, Dhaka Stock Exchange Ltd.
Executive Director (SMMID), BSEC
Executive Director (ICTD), BSEC