বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন
জীবন বীমা টাওয়ার (১৫, ১৬, ১৭ ও ২১তম তলা), ১০ দিলকুশা বা/এ, ঢাকা-১০০০, বাংলাদেশ।
E-6/C, Agargaon, Shere Bangla Nagar, Dhaka-1207

BSEC/Enforcement/2142/2014/245 By Courier
July 11, 2018

Rose Securities Limited
Room # 421 (3rd Floor), 9/E
Motijheel C/A Dhaka-1000

Attn: Managing Director/CEO

Subject: Warning: Non compliance with the Securities laws in connection with non bidding of required quantity of shares of United Power Generation and Distribution Company Limited (UPGDCL)

Dear Sir,

This refers to BSEC's show cause-cum-hearing notice no. BSEC/Enforcement/2142/2014/163 dated April 12, 2018 and the accused's explanation letter no. NIL dated April 18, 2018 submitted to the Commission.

The Commission considering the accuseds apology and promise, has decided to dispose off the proceedings against them by placing on record the Commission's dissatisfaction on the defaults/contraventions made by them with a warning to ensure compliance of all securities related laws in future.

This disposal does not absolve Rose Securities Limited from its lawful responsibilities/obligations to any person, if affected as a result of the aforesaid default.

For Bangladesh Securities and Exchange Commission

Mustari Jahan
Deputy Director (Enforcement)
Phone : 55007137
Email :mustari@sec.gov.bd

Distribution:
Managing Director, Dhaka Stock Exchange Limited
Managing Director, Chittagong Stock Exchange Limited

Copy for information:
P.O to Commissioner (Enforcement), BSEC
P.O to Executive Director (SRMIC), BSEC
P.O to Executive Director (MIS), BSEC
Chairman's office, BSEC