



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন  
সিকিউরিটিজ কমিশন ভবন  
ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭  
www.sec.gov.bd



**BSEC/Enforcement/2988/2020/179**  
**Dated: March 10, 2021**

**By Special Messenger**

Rupali Bank Securities Limited  
(DSE TREC Holder No. 246)  
Ispahani Building, (6th floor, North side)  
14 15 Motijheel C/A,  
Dhaka.

**Attention: Managing Director/CEO**

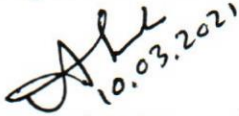
**Subject: Warning to ensure compliance of all securities related laws in future.**

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement /2988/2020/1164 dated December 29, 2020 based on which the hearing was conducted on 11.01.2021.

The Commission, considering your explanation vide letter ref. No. RBSL/HO/Compliance/2020/023 dated January 10, 2021 has decided to dispose of the proceedings against Rupali Bank 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,

  
10.03.2021

**Mohammad Al Masum Mirdha**

Deputy Director (Enforcement)

Phone : 55007147

Email: almasum@sec.gov.bd

**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.

“মুজিববর্ষের অঙ্গীকার  
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”