

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2922/2020/ 899

Dated: June 21, 2022

Rupali Bank Securities Limited
(TREC Holder #246)
Ispahani Building (6th Floor, North Side)
14-15, 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/2922/2020/811 dated Dated: May 31, 2022 based on which the hearing was conducted on June 19, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated June 19, 2022, has decided to dispose of the matter 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 the default.

For Bangladesh Securities and Exchange Commission,

Mohammed Abu Hena Mostafa

Assistant Director (Enforcement)

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Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Director (Enforcement), BSEC.
4. P.O. to Executive Director (MIS)
5. M.D, DSE