



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2766/2019/404

Dated: 20 August, 2019

By Special Messenger

Harpoon Securities Limited
(DSE TREC No. 131)
Suite # 1007, 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/2766/2019/294 dated June 25, 2019 based on which the hearing was conducted on July 10, 2019.

The Commission, considering your explanation vide letter no. HSL/TREC-131/DSE Moni/Insp/02/2019 dated 10 July, 2019 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 the default.

For Bangladesh Securities and Exchange Commission,

[Signature]
20.08.19

Mohammad Al Masum Mirdha

Deputy Director (Enforcement)

Phone : 55007147

Email: almasum@sec.gov.bd

Copy for information:

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