



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/2766/2019/951

Dated: November 26, 2020

By Special Messenger

Harpoon Securities Ltd.
(DSE TREC No. 131)
Suite # 1007, Modhumita Cinema Building (9th Floor),
158-160, Motijheel C/A,
Dhaka-1000.

Attention: Managing Director/CEO

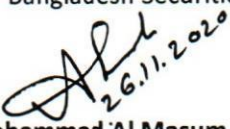
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notices No. BSEC/Enforcement /2766/2019/770 and BSEC/Enforcement /2766/2019/774 dated October 14, 2020 based on which the hearing was conducted on 02.11.2020.

The Commission, considering your explanation vide letters ref. No. HSL/TREC-131/DSE-Insp/01/2020 and HSL/TREC-131/DSE-Insp/02/2019 dated 01 November, 2020 has decided to dispose of the proceedings against Harpoon Securities Ltd. 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,


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”