



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/2937/2020/953

Dated: November 26, 2020

Race Portfolio and Issue Management Limited
(Merchant Banker)
BDBL Bhaban (Level-13),
8 Rajuk Avenue, Dhaka 1000.

By Special Messenger

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 /2937/2020/603 dated September 15, 2020 based on which the hearing was conducted on 28.09.2020.

The Commission, considering your explanation vide letter ref. No. RPIML/COM/ 2020/09/07 dated September 27, 2020 and RPIML/COM/ 2020/10/01/12 dated October 01, 2020 has decided to dispose of the proceedings against Race Portfolio and Issue Management 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,


26.11.2020
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.