

SEC/Enforcement/1025 /2012/ 128
April 03, 2012

By Special Messenger
Fax: 031- 717670

Royal Capital Limited
DSE's Membership # 21
Finlay House (Ground Floor)
Agrabad C/A
Chittagong.

Attention: Managing Director/CEO

Subject: Warning: Non-compliance of **AvPibiera ১, ২ ও ৭ of দ্বিতীয় তফসিল of mIKDriUR I G · tPÄ Kigkb (óK**
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This refers to SEC's show cause-cum-hearing notice No. SEC/Enforcement/1025/2012/91 dated March 12, 2012 and your reply letter no. NIL dated March 27, 2012 submitted to the Commission.

The Commission, considering your prayer, has decided to dispose off the proceedings against Royal Capital Limited (Stock Broker) by placing on record the Commission's dissatisfaction on the defaults/contraventions made with a warning to ensure compliance of all securities related laws in future.

Please note that this disposal does not absolve Royal Capital Limited (Stock Broker) from it's lawful responsibilities/obligations to any person, if affected as a result of the subject mentioned default.

For Securities and Exchange Commission

Mustari Jahan
Deputy Director (Enforcement Dept.)

Distribution:

Chief Executive Officer, Dhaka Stock Exchange Limited
Chief Executive Officer, Chittagong Stock Exchange Limited

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P.O to Executive Director (Surveillance), SEC
P.O to Executive Director (MIS), SEC
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