



# BANGLADESH SECURITIES AND EXCHANGE COMMISSION

JIBON BIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH

**BSEC/Enforcement/2286/2016/143**

**Date: - April 12, 2016**

**By Special Messenger**

Client Name: Mr. Uthpal Mazumder

Client Code: FS0261

Reliance Brokerage Services Ltd.

68, WW Tower, Level 14

Dhaka 1000, Bangladesh

**Attention:** Managing Director/CEO

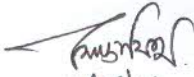
**Sub: Non-compliance of securities laws: -Warning.**

This refers to the Commission's show cause cum hearing notice no. **BSEC/Enforcement/2286/2016/74** dated March 01, 2016 based on which the hearing was conducted on March 31, 2016.

The Commission, considering the explanation vide letter dated March 31, 2016 submitted at the time of hearing, has decided to dispose of the proceedings against Mr. Uthpal Mazumder, (Client Code: FS0261) Reliance Brokerage Services 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 the default.

For Bangladesh Securities and Exchange Commission.



12/04/16

Md. Mustafizur Rahman

Assistant Director (Enforcement)

Copy for information:

Managing Director, Dhaka Stock Exchange Ltd.

Executive Director (Surveillance), BSEC

Executive Director (R&D), BSEC

Chairman's Office, BSEC