



# বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

সিকিউরিটিজ কমিশন ভবন, ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭, বাংলাদেশ।

BSEC/Enforcement/2635/2018/ 533

Dated: 05 December , 2018

Rose Securities Limited  
(DSE TREC holder No. 125)  
Shahnawaz Bhaban, (6<sup>th</sup> floor)  
Room 702,  
9/C, Motijheel C/A, Dhaka-1000.

**By Special Messenger**

**Attention:** Managing Director/CEO

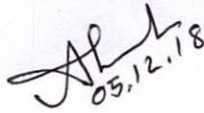
**Subject:** Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2635/2018/458 dated October 29, 2018 based on which the hearing was conducted on November 22, 2018.

The Commission, considering your explanation vide letter dated 22.11.2018 has decided to dispose of the proceedings against Rose 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,

  
05.12.18

**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