



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/3024/2021/1 ✓

By Courier Service

Dated: January 01, 2023

Mr. Mohammed Moazzem Hossain (Client Code CM293)

Client Code: CM293

City Bank Capital Resources Limited

Dhaka-1212.

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/3024/2021/169 dated January 24, 2022 based on which the hearing was scheduled and conducted on February 14, 2022.

The Commission, considering the explanation vide letter no. CBCRL/HO/PMD/2022/025 dated March 02, 2022 which was submitted at the time of hearing, has decided to dispose of the proceedings against Mohammed Moazzem Hossain 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,

Muhammad Sadequr Rahman Bhuiyan
Assistant Director (Enforcement)

Copy for information:

Chairman's Office, BSEC
Executive Director (SRI), BSEC
Executive Director (MIS), BSEC
Managing Director, Dhaka Stock Exchange Ltd.