

**SEC/Enforcement/1028/2012/ 255**

**May 22, 2012**

**By Special Messenger**

**Fax: 880-2- 9565913**

City Brokerage Limited  
DSE's Membership No.145  
Jiban Bima Tower (1<sup>st</sup> and 2<sup>nd</sup> Floor)  
10,Dilkusha C/A  
Dhaka-1000.

**Attention: Managing Director/CEO**

**Subject: WARNING: Non-compliance of ৭ of দ্বিতীয় তফসিল and বিধি ১১ of সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (স্টক ডিলার, স্টক ব্রোকার ও অনুমোদিত প্রতিনিধি) বিধিমালা, ২০০০.**

This refers to SEC's show cause-cum-hearing notice No. SEC/Enforcement/1028/2012/119 dated March 19, 2012 and your explanation letter no. CBL/ICC/2012/04-340 dated April 10, 2012 submitted to the Commission.

The Commission, considering your explanation and promise to be more cautious in future, has decided to dispose off the proceedings against City Brokerage Limited (Stock broker and dealer) 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 City Brokerage Limited (Stock broker and dealer) from its 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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Chairman's office, SEC