



Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2921/2020/019

Dated: January 03, 2022

City Brokerage Limited

(TREC Holder # 145)

Flat # 4/D Taj Casilina (3rd Floor) SW (I) 4

Stock Exchange Building, 25 Gulshan Avenue Gulshan-1

Dhaka-1212

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b.w (MIS)

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/Enforcement2921/2020/1146 Dated: December 15, 2021 based on which the hearing was conducted on December 30, 2021.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated December 30, 2021 which was submitted at the time of hearing, has decided to dispose of the matter against you (City Brokerage 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,

03.01.2022

Mohammed Abu Hena Mostafa

Assistant Director (Enforcement)

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Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Director (Enforcement), BSEC.
4. P.O to Executive Director (MIS)
5. M.D, DSE