



## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2809/2019/018  
Dated: January 03, 2022

Pubali Bank Securities Limited  
(TREC Holder # 214)  
A-A Bhaban (7th Floor)  
Motijheel C/A  
Dhaka- 1000

*9.1.22*  
*Dir (MIS)*

Attention: **Manging 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/Enforcement2809/2019/1208 Dated: December 21, 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)  
Phone: 01816-243634  
Email: mostafaanik@sec.gov.bd

**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