

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2020/2013/352
Dated: February 23, 2022

By Special Messenger

Pubali Bank Securities Ltd. (Member No. 214)
A-A Bhaban (7th Floor), 23
Motijheel C/A, Dhaka-1000.

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/2020/2013/146 dated January 24, 2022 based on which the hearing was conducted on February 07, 2022.

The Commission, considering your explanation vide letter dated 06.02.2022 has decided to dispose of the proceedings against Pubali Bank Securities Ltd. 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 such default.

For Bangladesh Securities and Exchange Commission,

Rubel
23-02-22

Rubel Hossain
Assistant Director (Enforcement)
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Mobile : 01922-151361.

Copy for information:

1. PO to Executive Director (Surv.), BSEC.
2. PO to Executive Director (MIS), BSEC.
3. PS to Chairman, BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.