



# BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/1106/2013/1551

Dated: November 29, 2022

Pubali Bank Securities Ltd. (DSE TREC # 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/1106/2013/1329 dated October 18, 2022 based on which the hearing was conducted on November 06, 2022.

The Commission, considering your explanation letter ref no.PBSL/HO/BSEC/2096/2022 dated 03.11.2022 has decided to dispose of the proceedings against Pubali Bank Securities Ltd. (DSE TREC # 214) 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*  
29-11-2022

Rubel Hossain  
Assistant Director (Enforcement)  
E-mail: rubel@sec.gov.bd  
Mobile : 01922-151361.

Copy for information:

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