

**SEC/Enforcement/618/2007/12078**  
**December 17, 2007**

**By Registered A/D**  
**By Fax: 031-714101**

Chittagong Stock Exchange Ltd.  
1080 Sheikh Mujib Road  
Agrabad  
Chittagong.

Attention: **Chief Executive Officer**

Sub: **Regarding Holy City Securities Ltd. (Stock Broker), Member No.093: Warning**

Reference is made to the Commission's letter No.SEC/Enforcement/618/2007/1108 dated October 2, 2007 and your letter No.Compliance/Mem093/SBDRC/Ren/2007/549 dated October 29, 2007 regarding Holy City Securities Ltd. (Stock Broker), Member No.093. The explanation, which you have submitted through your above mentioned letter concerning validity date of stock broker's registration certificate, is not acceptable. Mentionable that you misguided the said stock broker vide your letter No. Compliance/Mem093/SDBRC/Ren/2006/602 dated October 3, 2006 by mentioning wrong expiry date of registration certificate on November 27, 2006 instead of November 27, 2005.

The Commission, considering the Stock Exchange Ltd.'s explanations/submissions, has decided to dispose of the proceedings against you 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. Moreover, you are directed to put up this letter in the CSE's next board meeting and confirm it to the Commission.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of your above said default/contravention.

For Securities and Exchange Commission

**Md. Mizanur Rahman**  
**Director**

**CC:**

P. O. to Executive Director (SRMID), SEC  
P. O. to Executive Director (R & D), SEC  
P. O. to Executive Director (Surveillance), SEC  
P. O. to Executive Director (Registration), SEC  
Director (MIS), SEC  
Chairman's Office, SEC