



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3297/2022/117

By Special Messenger

Dated: January 19, 2023

NBL Securities Limited
(DSE TREC Holder No# 203)
Rahmat Tower (4th Floor),
19 Dilkusha C/A, Motijheel, Dhaka -1000.

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/Enforcement/3297/2022/1663 dated December 14, 2022 based on which the hearing was conducted on December 22, 2022.

The Commission, considering your explanation vide letter dated 22.12.2022 has decided to dispose of the proceedings against NBL Securities 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 such default.

For Bangladesh Securities and Exchange Commission,


19.01.2023

Md. Mahmudul Hasan
Assistant Director (Enforcement)
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Copy for information:

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