

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Issuer Companies Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3804/2024/60
Dated: 09 January, 2025

By Special Messenger

01. NBL Securities Limited

(DSE TREC No. 203)
Eunoos Trade Centre (Level-19, East part)
52-53, Dilkusha C/A, Dhaka-1000.

02. Mr. Zobayed Al-Mamun Hasan

Managing Director & Compliance
Authority
NBL Securities Limited

03. Mr. Md. Fazle Rabbi

Branch Manager
NBL Securities Limited

04. Mr. Md. Sayed Iqbal

Branch Compliance Officer
NBL Securities Limited

05. Mr. Md. Belal Hossain

Branch In-charge
NBL Securities Limited

06. Mr. Sakib Uddin Ahmed

Branch Compliance Officer
NBL Securities Limited

07. Mr. Taibur Rahman

Authorized Representatives
NBL Securities Limited

08. Mr. S.M. Zahid Hossain

Authorized Representatives
NBL Securities Limited

09. Mr. Md. Saddam Hossain

Authorized Representatives
NBL Securities Limited

10. Mr. Abu Talha

Authorized Representatives
NBL Securities Limited

11. Mr. Belal Hossain

Authorized Representatives
NBL Securities Limited

Subject: Warning to ensure compliance of all securities related law in future.

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/3804/2024/1067, Date: 08 December, 2024 based on which the hearing was conducted on 30 December, 2024.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter ref: NBLSL/HO/COM/2024/12/463 dated 30 December, 2024 which was submitted at the time of hearing, has decided to dispose of the matter 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.

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.



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For Bangladesh Securities and Exchange Commission,

09/01/2025

Rabiul Islam
Assistant Director (Enforcement)
Mobile: 01731-421312
Email: rabiul@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. ~~PO~~ to all Commissioner, BSEC
3. PO to Executive Director (MIS)
4. PO to Executive Director (MIAD), with reference to DSE letter No: DSE/MCD/BSEC/2024/6134, dated 08 October, 2024
5. PO to Director (Enforcement), BSEC.
6. Managing Director, Dhaka Stock Exchange PLC.