



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

JIBON BIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH

BSEC/Enforcement/2301/2016/230

Dated: June 14 , 2016

NBL Securities Limited
DSE TREC holder No.203
18, Dilkusha C/A, (4th floor)
Dhaka-1000.

By Special Messenger

Attention: Managing Director/CEO

Subject: Non-compliance of securities laws: Warning.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2301/2016/185 dated May 08, 2016 based on which the hearing was conducted on May 22, 2016.

The Commission, considering your explanation vide letter No.NBL/SL/SEC/2016/0126 dated May 22,2016 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 the default.

For Bangladesh Securities and Exchange Commission,

Md. Yusuf Bhuiyan
Deputy Director (Enforcement)
Phone: 9573904

Copy for information:

1. Managing Director, Dhaka Stock Exchange Ltd.
2. PS to the Honorable Chairman, BSEC.
3. PO to Executive Director (Enforcement), BSEC
4. PO to Executive Director (SRI), BSEC.
- ✓ 5. PO to Executive Director (Registration), BSEC.
6. PO to Executive Director (MIS), BSEC