



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

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BSEC/Enforcement/3140/2021/1695

By Courier Service

Dated: December 28, 2022

NBL Securities Limited
DSE TREC No. 203
Head Office, 18 Dilkusha 'C/A
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/3140/2021/714 dated May 17, 2022 based on which the hearing was scheduled and conducted on June 05, 2022.

The Commission, considering the explanation vide letter ref. no. BSEC/MRG/June-2022 dated June 02, 2022, which was submitted at the time of hearing and letter ref. no. MRG/SEC/Sep-22/223 dated September 15, 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 the default.

For Bangladesh Securities and Exchange Commission,

Muhammad Sadequr Rahman Bhuiyan
Assistant Director (Enforcement)

Copy for information:

Chairman's Office, BSEC
Executive Director (SRI), BSEC
Executive Director (MIS), BSEC
Managing Director, Dhaka Stock Exchange Ltd.