



“মুজিববর্ষের অঙ্গীকার  
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”

## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3217/2021/ 81

By Courier Service

Dated: January 12, 2022

NBL Securities Limited  
CSE TREC # 012  
18, Dilkusha Commercial Area (4th floor)  
Dhaka-1000

16.01.2022  
DD - 1 (MIS)

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/3217/2021/1185 dated December 19, 2021 and rescheduled notice no. BSEC/Enforcement/3217/2021/37 dated January 03, 2022 based on which the hearing was conducted on January 10, 2022.

The Commission, considering the explanation vide letter no. Nil dated January 10, 2022 which was submitted at the time of hearing, 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.

12.02.2022

Muhammad Sadequr Rahman Bhuiyan  
Assistant Director (Enforcement)

**Copy for information:**

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