



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3072/2021/1232
Dated: September 22, 2022

By Special Messenger

NBL Securities Ltd (DSE TREC # 203)
Head Office, 18 Dilkusha C/A
Dhaka-1000.

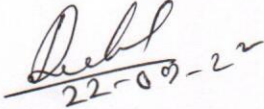
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3072/2021/341 dated February 22, 2022 based on which the hearing was conducted on March 07, 2022.

The Commission, considering your explanation vide letter dated 07.03.2022 subsequent adjustment has decided to dispose of the proceedings against NBL Securities Ltd. 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,


22-09-22

Rubel Hossain
Assistant Director (Enforcement)
E-mail: rubel@sec.gov.bd
Mobile : 01922-151361.

Copy for information:

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