



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2724/2019/1669
Dated: December 26, 2022

By Special Messenger

NBL Securities Ltd. (DSE TREC # 203 & CSE TREC # 012)
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/2724/2019/1342 dated October 19, 2022 based on which the hearing was conducted on November 27, 2022.

The Commission, considering your explanation vide letter dated 27.11.2022 has decided to dispose of the proceedings against NBL Securities Ltd. (DSE TREC # 203 & CSE TREC # 012) 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,

Rubel
26-12-2022

Rubel Hossain
Assistant Director (Enforcement)
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Copy for information:

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