

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/1020/2012/198
February 01, 2022

NBL Securities Limited
(DSE Member # 203)
Head Office, 18 Dilkusha C/A
Dhaka-1000

Attention: Managing Director/CEO

Subject: Regarding review letter No. NBLSL/SEC/2014/065 dated June 02, 2014 against
Commission's penalty Order No. এসইসি/এনফোর্সমেন্ট/১০২০/২০১২/২৩১ dated ১৮ মে ২০১৪.

This refers to your review letter No. NBLSL/SEC/2014/065 dated June 02, 2014 against penalty
imposed by the Commission vide Order No. এসইসি/এনফোর্সমেন্ট/১০২০/২০১২/২৩১ dated ১৮ মে ২০১৪.

The Commission has considered your request letter No. NBLSL/SEC/2014/065 dated June 02,
2014 as a review petition under Section 26 of the Securities and Exchange Ordinance, 1969 and
has decided to waived the penalty imposed vide the above stated Order.

The Commission has also decided to dispose of the matter against you 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.

By Order of the Securities and Exchange Commission,

Md. Sultan Salah Uddin
01.02.2022

Md. Sultan Salah Uddin
Deputy Director (Enforcement)
PABX: 88-02-55007131-2, Ext- 1306
E-mail: ssuddin@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Executive Director (MIS)
4. P.O. to Director (Enforcement), BSEC.

07.02.2022
DD-II (MIS)