

Bangladesh Securities and Exchange Commission

Enforcement Division

Enforcement Department

Market, Market Intermediaries and Other Affairs Section

www.sec.gov.bd

BSEC/Enforcement/3455/2023/165

Dated: January 23, 2025

NRBC Bank Securities Limited

(DSE TREC No-082)

Hadi Mansion (3rd Floor, South Side),

2, Dilkusha C/A, Dhaka-1000

Kind Attention: Chief Executive Officer


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/3455/2023/506 Dated: July 09, 2023 based on which the hearing conducted on July 23, 2023.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter No. NRBCBSL/Com/2023/ dated July 23, 2023 which was submitted at the time of hearing, has decided to dispose of the matter against you (NRBC Bank 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,


23.01.2025

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), BSEC.
4. P.O to Executive Director (MSI), BSEC. (File Ref: BSEC/Surveillance/2003-227(Vol: 2)
5. P.O. to Director (Enforcement), BSEC.
6. Managing Director, Dhaka Stock Exchange Ltd. (Ref: DSE/2022/IED/1666 dated February 28, 2022)