বাংলাদেশের সুবর্ণজয়ন্তী Bangladesh 50

"মুজিববর্ষের অঙ্গীকার
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার"

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2984/2020/561

By Special Messenger

April 07, 2022

NRBC Bank Securities Limited
(DSE TREC holder no.082)
Hadi Mansion (3rd Floor, South Side)
2, Dilkusha C/A, Dhaka-1000

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/2984/2020/438 dated March 09, 2022 based on which the hearing was conducted on March 21, 2022.

The Commission, considering your explanation vide letter Ref: NRBCBSL/Com/HO/2022 dated March 20, 2022 has decided to dispose of the proceedings against 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 such default.

For Bangladesh Securities and Exchange Commission

Mahmuda Shireen
07.04.22

Mahmuda Shireen
Deputy Director (Enforcement)
E-mail: shireen@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O.to Executive Director (SRI), BSEC
3. P.O to Executive Director (MIS), BSEC
4. Managing Director, Dhaka Stock Exchange Limited