



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন
সিকিউরিটিজ কমিশন ভবন
ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭
www.sec.gov.bd



BSEC/Enforcement/2984/2020/187
Dated: March 10, 2021

By Special Messenger

NRBC Bank Securities Limited
(DSE TREC Holder No. 82)
Hadi Mansion, (7th Floor, North 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 /2984/2020/1166 dated December 29, 2020 based on which the hearing was conducted on 11.01.2021.

The Commission, considering your explanation vide letter ref. No. NRBCBSL/Admin/2021 dated January 10, 2021 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,


10.03.2021

Mohammad Al Masum Mirdha
Deputy Director (Enforcement)
Phone : 55007147
Email: almasum@sec.gov.bd

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.