



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3400/2022/271
Dated: March 15, 2023

By Special Messenger

NRBC Bank Securities Limited (DSE TREC # 082)
Hadi Mansion (3rd Floor, South Side)
2, 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/3400/2022/1650 dated December 13, 2022 based on which the hearing was conducted on December 21, 2022.

The Commission, considering your explanation letter no. NRBCBSL/Com/2022 dated 21.12.2022 has decided to dispose of the proceedings against NRBC Bank Securities Limited (DSE TREC # 082) 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
15-03-2023

Rubel Hossain
Assistant Director (Enforcement)
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Mobile : 01922-151361.

Copy for information:

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